



University of the
West of England

UNIVERSITY OF THE WEST OF ENGLAND

ACADEMIC REGULATIONS AND PROCEDURES

July 2008

Changes to note for 2008/2009:

- | | |
|-------------------|---|
| D1.3R | New regulation : provision for a 5 credit module within the University's Modular Framework to support the delivery of continuing professional development provision |
| D2.3R | |
| D9.2P | |
| E7.2.11P | New procedure : to clarify that the latest module enrolment point will be three weeks after the start of teaching on the module. |
| F16.2.2.3R | New regulation : provision at award boards for representation, as appropriate, from partner international and/or UWE Federation partners |
| G1.8.6R | New regulation : setting out the requirements for awarding a Foundation degree with distinction |
| G1.8.7R | New regulation : setting out the requirements for awarding a Foundation degree with merit degree |
| G6.30P | New procedure : publishing within the regulatory framework existing guidance in respect of dealing with groupwork offences |
| G6.31R | New regulation : enabling the University to take copies of students' work as is considered necessary or expedient for the detection of assessment offences. |
| G17 | Revised regulations and procedures : relating to the professorial appointment process |
| Appendix 3 | University Intellectual Property Rights policy |

ACADEMIC REGULATIONS AND PROCEDURES 2008/2009

The Academic Regulations and Procedures (hereafter known as "The Academic Regulations") of the University provide:

- (i) the framework of principles and rules governing academic practice relating to the provision of learning and teaching leading to awards of the University of the West of England
- (ii) the basis for the assurance and maintenance of academic standards.

The Academic Regulations apply to all categories of students, all academic programmes and all types of award.

The Academic Regulations are approved by, and operate with, the authority of the Academic Board. They may be up-dated, reviewed or amended as determined by the Academic Board.

The Academic Regulations may only be varied for a particular award following approval by the Academic Board.

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

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ACADEMIC REGULATIONS AND PROCEDURES OF THE UNIVERSITY

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A INTRODUCTION TO THE ACADEMIC REGULATIONS

A1 SCOPE AND PURPOSE

A1.1 This introductory section describes the University's approach to the management of academic standards and outlines the principal ways in which the quality of learning, teaching and assessment and the student experience at the University of the West of England are assured and enhanced.

A1.2 The University of the West of England is an autonomous degree awarding body and as such has a significant amount of independence in determining how it organises and regulates itself. The University requires a comprehensive, consistent and coherent framework of academic regulations, procedures and working practices in order to enable the assurance of academic standards and the consistent and equitable treatment of all its students wherever they are located. The Academic Regulations therefore are intended to:

- be deployed consistently across all areas of the University's operations
- be fit for purpose, up to date and approved by the Academic Board
- provide a single point of reference on academic regulations and procedures across the University
- inform all decision making designed to enhance the quality of educational provision at the University
- be written in clear language and are available in a range of forms upon request across the University
- be known and understood in all areas of the University
- provide a framework for the development of learning, teaching and assessment

A1.3 Academic Board is responsible for approving all amendments/additions to the Academic Regulations prior to their formal ratification by the Board of Governors. Advice on amending the regulations is available from the Academic Registrar.

A1.4 The Academic Regulations are updated annually by the Academic Registrar and reflect any changes that may have been approved by Academic Board during the previous year. The Academic Regulations are published annually on 1 August each year on the Academic Registry website together with a clear statement about changes that have been made since the previous publication. Staff will be notified via Heads of Service and Faculty Academic Registrars of the publication and of any agreed changes since the previous year. Faculty Academic Registrars are responsible for ensuring that faculty handbooks and websites are updated. The Academic Registrar will liaise with the Director of Student Services to ensure that the Student Handbook is updated annually.

A1.5 There will be a quinquennial review of the Academic Regulations.

A2. PRINCIPLES

A2.1 The University has corporate responsibility for the academic standards of its awards, for the quality of the educational programmes of study delivered in its name and for the equitable and consistent treatment of its students. It must therefore regulate these areas to ensure that its responsibilities are appropriately discharged.

A2.2 Supporting the need for the University to maintain appropriate institutional oversight of learning, teaching and assessment activities, the Academic Regulations are structured in terms of a hierarchy of compliance requirements:

Principles – these inform the Academic Regulations and set out the reason(s) for regulating.

Regulations (R) – compliance is non-negotiable. Failure to adhere to the regulation may put the University at unacceptable risk, threaten the standards of its awards, run counter to principles of natural justice, be in breach of external legislation and/or jeopardise the quality of the student experience.

Procedures (P) – reflect established good practice, represent the most efficient and effective way of working and comply with the principles and regulations. The expectation is that procedures will normally be followed at all levels. Any departure from these procedures must have a rationale to be approved by the Academic Board that demonstrates the academic or logistical need for the variation and which shows how the alternative procedure reflects the principles and regulations.

Working Practices (WP) – describe the detailed administrative and system (ISIS) processes. These may vary between different areas of work and over time within the explicit approval by Academic Board.

A3 RELEVANT LEGISLATION, CODES OF PRACTICE AND PROCEDURES

A3.1 The autonomy of Higher Education Institutions is mediated by legislation, external regulation and procedures, and external codes of practice and guidelines. The University's Academic Regulations are informed and comply/align with the following:

A3.2 Principles of Good Practice:

- i. principles of academic freedom
- ii. cognisance of the work of the Better Regulation Task Force (BRTF) – an independent advisory body set up in 1997 "to advise the Government on action to ensure that regulation and its enforcement are proportionate, accountable, consistent, transparent and targeted."

A3.3 National Legislation:

- i. Data Protection Act 1998
- ii. Freedom of Information Act 2000
- iii. Equal Opportunities legislation
- iv. Human Rights Act 1998
- v. Disability Discrimination Act 2005
- vi. Sex Discrimination Act 1975
- vii. Race Relations Amendment Act 2000
- viii. Intellectual Property Rights and copyright legislation
- ix. Contract Law

A3.4 Higher Education Agency Requirements:

- i. HEFCE regulations, procedures and codes of practice
- ii. DIUS regulations, procedures and codes of practice
- iii. Universities UK regulations and guidance
- iv. QAA Academic Infrastructure including Subject Benchmark Statements, the Code of Practice, the Higher Education Qualifications Framework, Programme

Specifications and Progress Files

<http://www.qaa.ac.uk/academicinfrastructure/default.asp>

- v. Research Councils regulations and guidance
- vi. Other external funding bodies' regulations and guidance

A3.5 Professional Statutory and Regulatory Bodies (PSRBs)

A3.6 University of the West of England Strategic Plan and supporting documents which include:

- i. Strategic Plan
- ii. Learning, Teaching and Assessment Strategy
- iii. Research Strategy
- iv. Internationalisation Strategy
- v. UWE Federation Strategy
- vi. Ethics Policy
- vii. Equal Opportunities Policy
- viii. Sustainability Strategy

A4 LEARNING, TEACHING AND ASSESSMENT STRATEGY

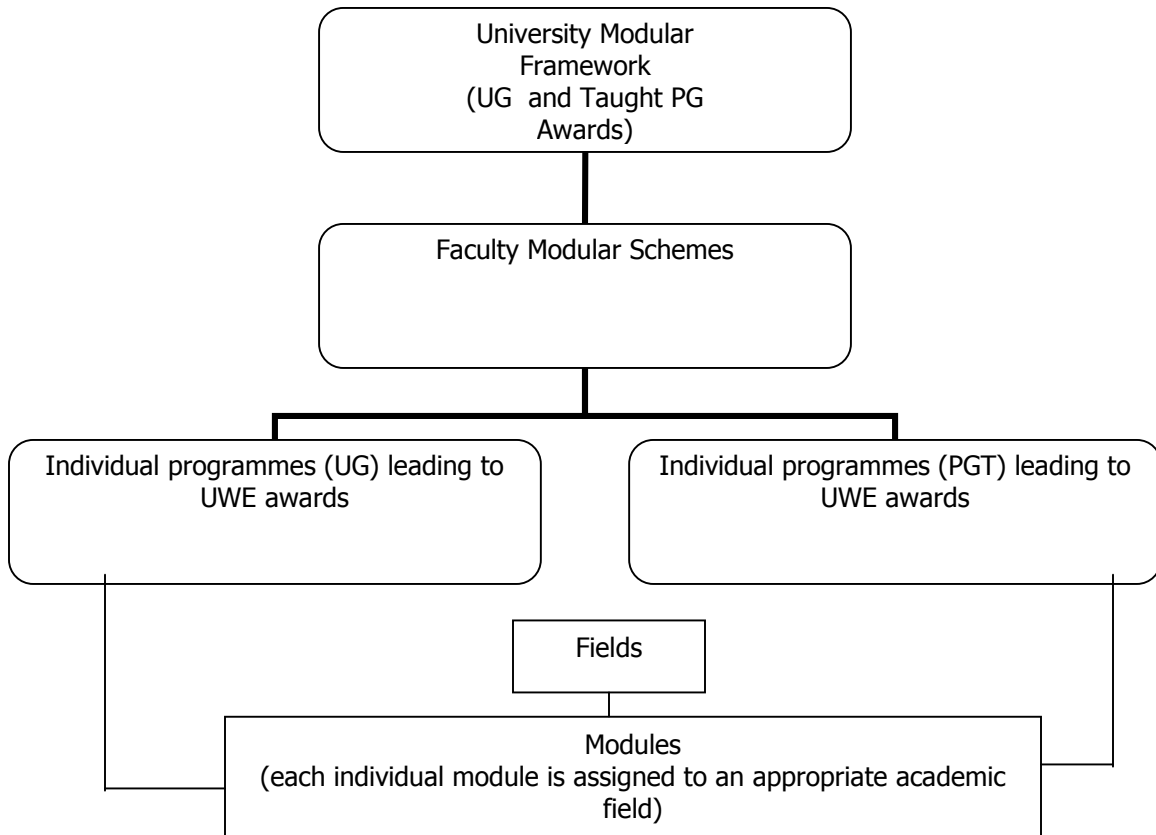
A4.1 The University of the West of England Learning, Teaching and Assessment Strategy states that the University aims:

- to be a learning-centred university in all that it does
- to develop approaches to learning, teaching and assessment that are underpinned by shared values and ethical frameworks, sound health and safety practices and are informed by research and professional practice
- to develop inclusive, flexible and accessible curricula, learning spaces and resources that enable personalised learning in campus, placement and work based settings
- to provide diverse modes of assessment both for and of learning
- to develop learners who know and value themselves as open-minded, reflective and inter-dependent learners, and participants, employees, self-employed professionals and entrepreneurs in global settings and as global citizens
- to develop self critical learners who value others as collaborators in their learning and co-constructors of knowledge and its exchange

A5 THE UNIVERSITY'S MODULAR FRAMEWORK

A5.1 Teaching and learning at the University of the West of England is based on modules within a credit accumulation framework. Students become eligible for awards through the accumulation of credit and progression is governed by the achievement of academic pre-requisites. The Framework applies to almost all taught awards offered to undergraduate and postgraduate students across the University. Unless specifically exempted, all awards of the University are defined in terms of their minimum credit requirements. To be eligible for an award students must have successfully completed the required number of credits at the level(s) as specified for that award except where an examining board determines otherwise (e.g. aegrotat or posthumous awards). Only modules which are approved for a named award may contribute to the credit requirements for that award. The Framework reflects the University's commitment to consistent and rigorous academic standards across the very wide range of subjects and programmes that lead to its awards; at the same time

it enables students to select from a module diet covering different aspects or pathways within a subject or subjects.



A5.2 Modularity is a method of breaking down learning into manageable units to support student choice and promote flexibility in the design of individual programmes of study. Students are assessed during and at the end of each module and may also be assessed during the module. At UWE, modules may be of different lengths depending on their credit value: 1 credit equals 10 notional hours of study including formal contact time, self-directed study and assessment.

A5.3 Fields - all modules belong to fields which are defined as groups of cognate modules within which learning, teaching and assessment are organised. In some faculties fields are synonymous with departments/subjects; in other faculties fields may represent a group of disciplinary or professionally-related modules. Field Leaders have important responsibilities in relation to the quality assurance of modules. The importance of fields in the University's quality management and enhancement framework is recognised by the requirement that proposals for new fields or reconfigurations of existing fields must be considered and approved by the University.

A5.4 Modules are the academic building blocks for programmes in the University's Modular Framework and form the basis for assessment and the award of credit. Modules are offered at specified academic levels and lead to specified amounts of credit. Each module is assessed separately and as a whole. All modules have

specified assessment requirements. These are set out in the module specification. Successful completion of assessment leads to the award of credit. All modules are classified as one of four types: standard, professional practice, project, or masters dissertation. The reason for differentiating modules is to recognise the range of learning, teaching and assessment needs and to supply the following parameters for them:

A standard module is usually classroom- or laboratory-based, although it need not be so. Some assessment is carried out under controlled conditions (see F7.8R below).

A professional practice module is normally undertaken outside the University in a professional setting, combining practice with related study. Assessment of competence in professional practice must involve an appropriately qualified practitioner.

A project module requires the completion of a project, dissertation or similar piece of extended, individual or group work.

A Masters dissertation is a particular form of project module. It is only available at level M and is undertaken as the final part of a Masters award.

The approved and authoritative statement of the teaching, learning and assessment requirements for a module are contained within module specifications which set out the learning outcomes and the ways in which the module will be taught and assessed.

A5.5 Awards and Programmes – modules make up programmes; programmes lead to university awards. The approved and authoritative statements of the teaching, learning and assessment requirements for programmes and the modules that make up programmes are contained within programme specifications.

A5.6 Credit – modularity and credit are closely related. Credit recognises and provides a means of recording student achievement, incrementally and cumulatively – the credit tariff reflects the number of hours on average that a student is expected to study to achieve the specified learning outcomes at a specified **level** (a credit level is an indicator of the relative demand, complexity and depth of learning and of the autonomy expected of the learner). The amount of credit carried by a module is linked to the notional study time expected of students in order to succeed at the stated level. Notional study time includes staff/student contact, independent study, private study, time spent in professional practice when required, revision and the completion of assessment requirements. 1 credit involves 10 hours of notional study time. The accumulation of credit takes students along the path to a university award. If students decide to change direction, the University Modular Framework allows them to transfer credit already achieved to a different award (as long as the learning already achieved matches the requirements of that award). If students choose or find it necessary to end their studies sooner than planned, the accumulation of credit makes it possible to obtain a university award at a level determined by the amount of credit that has been achieved at the point of departure. All credit achieved is recorded on a student's Certificate of Credit. This is issued to a student on completion of the award or at the point at which a student's award registration or module enrolment with the University ceases.

A5.7 Key features of the Modular Framework are therefore:

- the Framework, and all university awards within it, are credit based
- credit is awarded for successful completion of module(s) or units of study
- a student's learning leads to credit; credit accumulation can lead to award(s)
- a commitment to parity of treatment for all students by the application of standard assessment regulations across the University
- the maintenance of a clear distinction between 'Fields' (a subject or discipline area or group of cognate modules) and 'Awards' (qualifications for which designated amounts of credit at specified level(s) are required)
- existence of professionally accredited recognised awards within module programmes
- requirement for external examiners to be appointed to discipline specific fields where credit for learning is awarded
- requirement for a chief external examiner appointed to each faculty modular scheme, to be responsible for the overall assessment process and for assuring parity of approach to assessment across all awards available within the programme

A5.8 The University does exceptionally permit 'non-standard' regulations for awards where there are specific professional body requirements that cannot be accommodated within the Modular Framework – information is available from the Academic Registrar on request.

A6 ACADEMIC STRUCTURES AND QUALITY MANAGEMENT AND ENHANCEMENT RESPONSIBILITIES

A6.1 Academic Structure

A6.1.1 Academic departments, schools, research centres and institutes are largely based on academic subjects/disciplines and are organised into cognate groupings to form five faculties each led by an Executive Dean: Bristol Business School, Creative Arts, Environment and Technology, Health and Life Sciences, Social Sciences and Humanities.

A6.1.2 In addition there are a number of central professional services that are involved in providing and supporting the student learning environment and enhancing the student experience.

A6.2 University Level Responsibilities

A6.2.1 At institutional level responsibility for learning, teaching and assessment and quality assurance procedures resides in the Academic Board which is empowered to make decisions on matters relating to the direction, regulation and promotion of the teaching of the University, the conduct of examinations, and the award of degrees. In practice the Academic Board delegates responsibility for quality assurance to a range of standing committees with specific terms of reference. The Academic Board acts on behalf of, and reports to, the Board of Governors.

A6.2.2 The Vice-Chancellor, who chairs Academic Board, delegates responsibility for learning, teaching and assessment and for quality management and enhancement to a named member of the Senior Management Team who exercises this

responsibility through designated members of academic staff and the professional services.

A6.2.3 Drawing on the expertise of faculties and the advice of the Academic Board, the Vice-Chancellor is responsible for:

- ensuring that the over-riding duty of the Academic Board to set, maintain and assure academic standards is promulgated, understood and respected
- securing standards at an appropriate level across the University
- providing students on all awards with a consistently high quality educational experience
- putting in place procedures that are appropriate, fair, transparent and applied consistently and equitably across the University
- ensuring that students leave the University in possession of qualifications, knowledge and skills that are recognised and valued by the outside world
- ensuring that quality management and enhancement systems operating throughout the University are robust and fit for purpose
- ensuring that any delegation of power by the Academic Board to validate or review programmes of study is properly defined and exercised
- ensuring that educational standards and quality at the University satisfy external requirements and scrutiny
- ensuring that the provision of the physical learning environment is properly co-ordinated and used to best effect

A6.3 Faculty Level Responsibilities

A6.3.1 Faculties are responsible for managing the quality and the delivery of teaching, learning and assessment in all provision. Each faculty normally has a number of modular schemes within which the management and administration of individual programmes of study which lead to UWE awards are organised. A matrix of academic leadership roles exists in faculties and these involve specific responsibilities for aspects of module, programme and award management. Throughout the faculties, each member of staff has clear responsibilities for the quality of their teaching and support for student learning. This process shall always include:

- designation of an individual responsible for the faculty's learning teaching and assessment provision as a whole, including programme development, approval, monitoring and review – usually called an Associate Dean
- designation of individual(s) responsible for the overall direction of the faculty's undergraduate and postgraduate modular scheme(s) – usually called a Modular Scheme Director (undergraduate and/or postgraduate)
- designation of an individual with overall responsibility for each award, field, module or unit of study – respectively called Programme Leader, Field Leader and Module Leader
- designation, where appropriate, of admission, year, placement and professional practice tutors
- designation of individuals with particular responsibilities for student academic guidance

A6.3.2 Executive Deans are therefore responsible for:

- approving academic strategies for individual departments

- formally monitoring the structure and content of programmes of study and modules
- monitoring, evaluating and enhancing academic quality and standards across the faculty
- ensuring that appropriate and sufficient resources are available for the delivery of agreed provision

A6.3.3 The roles and responsibilities of academic leaders within the faculty are for the Executive Deans to determine but there are certain common responsibilities as follows:

Associate Dean (Learning and Teaching) – as a member of the faculty executive team the associate dean is responsible for cross faculty academic leadership in the areas of curriculum development, monitoring and review

Field Leader (who may also be a Head of Department) - oversight of the academic coherence of the modules within the field, maintaining the formal record of modules within the field, contributing to the smooth running of the field boards, liaison with the leaders of the modules within the field and ensuring that the field operates within the Academic Regulations

Scheme Leader - overall academic management for a cluster of related academic awards.

Award Leader - overall academic management of the programme, leadership of the Programme Team and day-to-day management of the programme

Module Leader – overall academic management of the module including determining content for a module, planning its delivery, co-ordinating the module team, ensuring quality assurance and enhancement of the module

A6.3.4 The academic leadership roles in faculties are supported by professional administrators operating at faculty executive level (Faculty Academic Registrar), at cross-faculty level (Deputy Faculty Academic Registrars), and at school, department and programme level.

A6.3.5P Management of Schemes and Awards - each faculty shall establish an appropriate committee responsible for the oversight of the management of each approved scheme or award located in and managed by the faculty. Such a committee (hereinafter referred to as 'the management committee' shall have particular responsibility for quality management and quality improvement. The terms of reference and composition of the management committee shall be approved as part of the validation of the scheme or award conducted in accordance with University procedures. Faculties may establish such other additional group or groups as they deem necessary, providing that any such groups report to the management committee. These might include, for example, an executive committee, a management group, year committee, staff/student committee, advisory committee, award committee. The management committee shall formally consider annually the outcome of its monitoring and evaluation of the scheme.

A6.3.6P The terms of reference of the management committee shall include, at minimum, responsibility: through the scheme director(s) to the Executive Dean of the faculty

for the management and quality of the scheme, including for:

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

and to the faculty board for:

- ix. the monitoring and evaluation of the academic standards and quality of the scheme
- x. assessment requirements and regulations
- xi. the approval of the annual report of the monitoring and evaluation of the scheme
- xii. considering and recommending new scheme or award content, modules, units of study and any necessary changes to regulations, prior to their submission for validation where necessary, and for the approval of modifications following their consideration by the management committee
- xiii. making proposals for the appointment of external examiners.

A6.3.7P The management committee will be expected to have consulted the Executive Dean of the faculty before modifications are considered and approved so as to ensure that the changes are consistent with the faculty's planning agreement and are feasible within the faculty's resources. The management committee shall consult with and receive advice from the relevant examining board(s) before recommending any changes to the regulations of the scheme. The task of monitoring and evaluation of the scheme or award as a whole may not be delegated to a sub group.

A6.3.8P The composition of the management committee shall include:

- i. the scheme or award director appointed by the Executive Dean of the faculty in which the scheme or award is located who shall serve as chair
- ii. the Executive Dean of the faculty in which the scheme or award is located or her or his nominee
- iii. academic staff with responsibility for key aspects of the scheme or award
- iv. representatives of the group of staff teaching each major element or field in the scheme or award, regardless of the faculty providing that element or field
- v. students registered on the scheme to a total of 25% of the total membership of the management committee.

The composition of the management committee is also likely to include:

- i. members of the other categories of staff providing professional support for the scheme (e.g. representatives of the Library service, the information technology service, technicians, administrative staff)

- ii. co-opted members, not exceeding 25% of the total membership or three, whichever is the smaller.

A6.3.9P When proposing the actual composition for a management committee account should be taken of the need to limit its size so as to ensure that it can fulfil its terms of reference effectively. The quorum for meetings of the management committee shall be one third of the members eligible to attend. The management committee shall be free to invite appropriate persons, from inside and outside the University, to attend its meetings as observers (i.e. non members).

A6.4 Student Representation

A6.4.1 UWESU is responsible for the co-ordination and training of student representatives who serve on all university committees involved in learning, teaching and assessment and quality assurance. All faculties have a system of student representation on committees.

A6.5 Quality Management and Enhancement

A framework of linked processes relating to programme design, approval, evaluation and review and the regulation of admissions and of assessment exists at faculty level to support departments/schools/fields in fulfilling their responsibilities and to enable the University to exercise its overarching responsibility for the academic standards of awards and the quality of the student experience. These internal processes reflect the QAA Academic Infrastructure:

- Programme design and approval (Section C)
- Programme monitoring and review (Section C)
- External participation in the programme design, approval and review process (Section C)
- Regulation of admissions (Section E)
- Regulation of assessment (Section F)
- External examiners and their reports (Section F)
- Reviews and appeals (Section G)
- Complaints (Section D)
- Professional and statutory regulatory bodies' accreditation (Section C)
- Collaborative provision (Section H)

B ACADEMIC STANDARDS: THE REGULATION OF AWARDS

Definition – academic standards are a way of describing the level of achievement that a student has to reach to gain an academic award (for example, a degree). They should be at a similar level across the UK and informed by the QAA Academic Infrastructure (i.e. Framework for Higher Education Qualifications, Subject Benchmark Statements, Code of Practice)

B1 PRINCIPLES

B1.1 The University must have confidence that the academic standard of its awards and the quality of the programmes leading to those awards in terms of the level of study, the demands placed on students and the standards of attainment expected of students are broadly equivalent across the University and are comparable to similar awards and programmes elsewhere in the HE sector

B1.2 Fundamental to the assurance of academic standards and quality are practices and processes for the design, approval, evaluation and review of programmes of study and modules that are widely promulgated, well understood and take account of:

- the need to support academic staff in the design, delivery and continuous improvement of their programmes of study and modules
- the need for engagement of staff and students at all levels in all processes
- existing provision within the University, including any awards that may be offered in collaboration with other UK or overseas organisations
- external reference points including: knowledge of how the subject is taught in other HEIs, external examiners' comments; advice from subject-based learning and teaching support networks; the requirements of professional statutory and regulatory bodies; employers; any relevant QAA subject benchmark statements; the QAA Code of Practice and its Framework for Higher Education Qualifications (FHEQ) and any credit frameworks to which the University subscribes
- the need to have admissions criteria that will secure an appropriate match between the abilities and aptitudes of applicants and the demands of the programme of study, enabling the admission of students who can be reasonably expected to attain the required standard for the award
- the need for assessment processes that enable students to demonstrate that they have attained the levels of achievement appropriate to the award they receive and that facilitate student learning and progression
- whether proposals for new and revised programme of study related developments are consistent with institutional plans and strategic academic and resource planning
- the level and types of resources and facilities necessary to deliver the proposed programme of study consistently to the required standard.

B2 AWARDS OF THE UNIVERSITY

Definition: an award (e.g. BA (Hons)) is granted to a student who successfully completes an approved programme of study.

B2.1 List of Awards

B2.1.1R The University may grant awards as provided for in Ordinance 1.1 and as further specified and approved by Academic Board.

B2.1.2P Link to <http://acreg.uwe.ac.uk/> (University Ordinances)

B2.1.3R The following awards may be granted to persons who successfully complete the required taught route and satisfy the conditions in the Academic Regulations:

Certificate

Certificate (Cert)
Certificate in Education (Learning and Skills) (Cert Ed (L&S))
Certificate of Advanced Professional Studies in Education (CAPSE)
Certificate of Higher Education (CertHE)
Certificate in Professional Development (CertPD)

Diploma

Diploma (Dip)
Diploma of Extension Studies (Dip Ext St)
Diploma in Professional Studies (DPS)
Diploma of Higher Education (DipHE)

Foundation degree

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

Degree and degree with honours

Bachelor of Arts (BA)
Bachelor of Education (BEd)
Bachelor of Engineering (BEng)
Bachelor of Laws (LLB)
Bachelor of Science (BSc)

Degree

Bachelor of Town Planning (BTP)
Bachelor of Architecture (BArch)

Integrated bachelor/masters degree

Master of Engineering (MEng)
Master of Planning (MPlan)

Graduate entry certificate and diploma

Graduate Certificate (GradCert)
Graduate Diploma (GradDip)
Professional Graduate Certificate in Education (ProfGCE)

Postgraduate certificate and diploma

Postgraduate Certificate (PGCert)
Postgraduate Certificate in Education (PGCE)
Postgraduate Diploma (PGDip)

Taught higher degree

Master of Arts (MA)
Master of Business Administration (MBA)
Master of Design (MDes)
Master of Education (MEd)
Master of Laws (LLM)

Master of Science (MSc)
Master of Fine Art (MFA)

Research Degrees

Research awards granted by the University can be found in section K of the Academic Regulations.

B2.1.4R Awards of other awarding bodies

The University may grant the following awards to persons who successfully complete the approved taught route and satisfy the conditions in the Academic Regulations for:

Higher National Certificate
Higher National Diploma

B3 Standard of Awards

Definition: The academic standard of an award is defined by reference to the threshold knowledge and skills required of a student on entry to an award and by reference to the stated learning outcomes required for successful completion of the prescribed study or supervised research. Such learning outcomes shall be stated in the approved programme specification for each award and are informed by the QAA Framework for Higher Education Qualifications and Subject Benchmark Statements.

B3.1R For taught awards the standard shall be expressed by reference to the minimum number of credits at specified levels which a student must obtain from assessed learning. Learning achieved outside the University may, within limits set by the Academic Regulations, contribute to an award of the University where it has been accredited or otherwise certificated by an institution of higher education or body and is recognised for credit purposes by the University, or where it results from experiential learning which has been successfully assessed and awarded credit by the University.

B3.2P Every taught programme leading to an award of the University, and every programme or module which may lead to the award of credit, are credit rated. Faculties are required to ensure that the University's credit structure and requirements are met in the development and review of programmes and awards. The distribution of credit within a taught programme and/or award must be in keeping with the University's credit requirements for level of study; credit tariff (i.e. the amount of learning achieved at a specified level with reference to notional student study time); and with the assessment regulations for the named award. The distribution of credit must be broadly consistent with the distribution of notional student study hours (i.e. 1 credit equates to 10 hours of notional study time including formal contact). The distribution of credit must also be consistent with the relative importance of the various elements of assessment required of students – faculties are however encouraged to avoid the pitfalls in a modular scheme of over-assessing students and to consider innovative approaches to module assessing learning outcomes.

B3.3P The Academic Registrar, as Secretary to Academic Board, is responsible for advising faculties and external institutions on the maintenance and observation of the University's credit requirements and for ensuring that proposed new taught programmes and awards meet the University's credit requirements. This is done

through the scrutiny of documentation and provision of advice to the Vice-Chancellor or nominee, to such groups and committees as have responsibility for approval of programmes, new modules or units of study.

B3.4R The standard of Certificate awards shall be defined as:

Certificate – the standard expected of a student with prior knowledge and skills equivalent to five GCSE passes who has successfully completed the prescribed study

Certificate in Education (Further Education) – the standard expected of a student with prior knowledge and skills satisfying the University's general entrance requirements who has successfully completed prescribed study of the theory and practice of teaching education and who has demonstrated practical competence in teaching

Certificate of Advanced Professional Studies in Education The standard expected of a qualified teacher who has successfully completed prescribed study relevant to the practice of teaching

Certificate of Extension Studies The standard expected of a graduate who has successfully completed prescribed study designed to broaden skills or knowledge in a given area or who has undertaken a structured investigation

Certificate of Higher Education The standard expected of a student with prior knowledge and skills appropriate for the University's general entrance requirements who has successfully completed prescribed study

Certificate in Professional Development The standard expected of a student with the prior knowledge and skills appropriate for entry to an award route leading to a certificate, diploma or first degree, who has successfully completed a coherent area of study of a professional nature

B3.5R The standard of Diploma awards shall be defined as:

Diploma The standard expected of a student with prior knowledge and skills satisfying the University's general entrance requirements who has successfully completed prescribed study

Diploma of Extension Studies The standard expected of a graduate who has successfully completed a programme designed to broaden skills or knowledge in a given area or who has undertaken a structured investigation

Diploma of Higher Education The standard expected of a student with prior knowledge and skills satisfying the University's general entrance requirement who has successfully completed prescribed study

Diploma in Professional Studies The standard expected of a person with a relevant professional qualification and a specified period of professional experience who has successfully completed prescribed study of a professional nature

B3.6R The standard of Foundation Degrees awards shall be defined as:

Foundation degree The standard expected of a student with prior knowledge and skills satisfying the University's general entrance requirements who has successfully completed required study which includes appropriate work related study

B3.7R The standard of first degree awards shall be defined as:

Degree The standard expected of a student with prior knowledge and skills meeting the University's general entrance requirement who has successfully completed prescribed study

Degree with Honours The standard expected of a student with prior knowledge and skills meeting the University's general entrance requirement who has successfully completed prescribed study including having demonstrated the capacity for sustained independent work

Integrated bachelor/masters degree The standard expected of a student with prior knowledge and skills appropriate for the University's general entrance requirement who has successfully

B3.8R The standard of graduate awards shall be defined as:

Graduate Certificate The standard expected of a graduate on entry who has successfully completed a prescribed programme, including a specified minimum of credit at levels 2 and 3, designed to build on existing intellectual attainment and develop new knowledge and skills in a professional discipline

Graduate Diploma The standard expected of a graduate on entry who has successfully completed a prescribed programme, including a specified minimum of credit at level 3 and above, designed to build on existing intellectual attainment and develop new knowledge and skills in a professional discipline

Professional Certificate in Education The standard expected of a graduate who has successfully completed prescribed study of the theory and practice of teaching and who has demonstrated practical competence in teaching. Such students shall satisfy any additional requirements as determined from time to time by the Secretary of State for Education

B3.9R The standard of postgraduate awards shall be defined as:

Postgraduate Certificate The standard expected of a graduate having successfully completed prescribed study

Postgraduate Certificate in Education The standard expected of a graduate who has successfully completed prescribed study of the theory and practice of teaching and who has demonstrated practical competence in teaching. Such students shall satisfy any additional requirements as determined from time to time by the Secretary of State for Education

Postgraduate Diploma The standard expected of a graduate who has successfully completed prescribed study

Masters Degree The standard is that expected of a graduate who has successfully completed prescribed study including successful completion of a compulsory element of advanced independent work

B4 INTERIM AWARDS

Definition: an award for which a student may qualify at defined points during their progress on a programme of study having obtained a credit total which is less than is required for the highest award available.

B4.1R An award may be approved to include interim awards at intermediate points of assessment.

B4.2R Acceptance by a student of an interim award terminates the student's registration on the award.

B4.3R Where an award board accepts extenuating circumstances and recommends an award for a student who has achieved at least 80% of the credit required for the award, the student may decline to accept the award and may enrol on a module or modules in order to achieve the credit required. This is possible only where the student has not already exhausted the assessment opportunities for modules valid for the award. (See D4.5R and G2.1R below)

B4.4R Where an award board recommends a lower award than that for which a student is registered, the student may decline the lower award and enrol on further modules to gain the necessary credits. This is possible only where the student has not already exhausted the assessment opportunities for modules valid for the award and, where relevant, that the student has not failed a professional practice module.

B5 **DEFAULT AWARDS**

Definition: a named award available only on a programme leading to a professionally recognised or accredited award and awarded where the credit requirements of the University are met but where the additional requirements of a professional body are not met.

B5.1R A student who is unable or elects not to undertake a sandwich placement or who is deemed not to have completed satisfactorily a sandwich placement but who otherwise completes the requirements for a named award is eligible for that award in the full-time mode. Such an award may carry a different title to the award specifying the sandwich mode.

B5.2R The University reserves the right to terminate a student's registration for a named award incorporating professional practice where:

- a. the student voluntarily withdraws from a compulsory professional practice module whether or not the withdrawal from the module occurs within one quarter of the module delivery period or before the deadline for the submission of the first assessment, or
- b. the student is deemed by the Executive Dean and the Vice-Chancellor to be unfit to undertake the professional practice module.

B6 **DIFFERENTIAL LEVELS OF AWARDS**

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

B6.1R An award may be granted with Merit, Distinction, or with Honours classification where:

- a. Regulations B6.2, B6.3 and B6.4 below permit the granting of Merit, Distinction or Honours classification; and
- b. the approved assessment regulations specify the criteria for the granting of such differentiations

B6.2R Awards granted with Merit are permitted for (see G1.8 and G1.9 below):

- a. Foundation degree
- b. Postgraduate certificate
- c. Postgraduate diploma
- d. Masters
- e. otherwise only where Merit is specifically requested by a professional or statutory body

B6.3R The following awards may be granted with Distinction (see G1.8 G1.9 below)

- a. Certificate of Higher Education
- b. Diploma of Higher Education
- c. Foundation Degree
- d. Degree
- e. Integrated bachelor/masters
- f. Graduate Certificate
- g. Graduate Diploma
- h. Postgraduate Certificate
- i. Postgraduate Certificate in Education
- j. Postgraduate Diploma
- k. Masters

B6.4R First Degrees with Honours are awarded with the following classifications:

- First Class
- Second Class (Upper Division)
- Second Class (Lower Division)
- Third Class

B6.5R The University may approve other forms of award differentiation where specifically required by a professional or statutory body and agreed by the University for the purpose of the professional recognition or accreditation of a University award

B7 AEGROTAT AWARDS

Definition : an unclassified award granted to a student who is unable for reasons of illness or similar incapacity to complete or be assessed for the award.

B7.1R An award may be granted in aegrotat form to a student who satisfies the general conditions for the award and who is unable for reasons of illness or similar cause accepted by the examining board to complete or be assessed for the award. An aegrotat award is not classified neither is it awarded with merit, distinction or other differential level

B7.2P A report of Aegrotat Awards will be made to Academic Board as and when they are awarded.

B8 POSTHUMOUS AWARDS

Definition: an award granted to a registered student at the time of their death and for whom there is sufficient work available to enable an examining board to recommend an award.

B8.1R Any award may be granted posthumously, either in normal or aegrotat form, in

respect of a deceased student who was a registered student at the time of death and who satisfied the remaining general conditions for granting of the award so far as practicable and for whom sufficient assessable work was available at the time of death to enable the examining board to recommend an award.

B8.2P A report of Posthumous Awards will be made to Academic Board as and when they are awarded.

B9 PROFESSIONALLY RECOGNISED OR ACCREDITED NAMED AWARDS

Definition: a professionally recognised or accredited named award is an award of the University that has been approved/accredited by a named professional or statutory body as enabling the student to be admitted as a member to a professional body and/or granting the student licence to practice.

B9.1R The Academic Regulations apply to awards recognised or accredited by professional or statutory bodies. If specific professional body requirements conflict with the Academic Regulations then the Academic Regulations may only be varied with the agreement of the University to conform to those specific professional body requirements. Any such variations are documented in approved programme specifications and set out in the Academic Regulations.

B9.2P Awards which are validated by an accredited institution as leading to an award of the University, or which are validated by the University to be offered by an external institution leading to an award of the University, are required to adopt the same credit structure as that used by the University.

B9.3R If a professionally accredited award includes requirements equal to or in excess of the minimum credit requirements under the Academic Regulations, a default award conforming to the University's minimum credit requirements for an award at the same level will be available. Students who do not meet the additional requirements for the professionally accredited award but who satisfy the minimum credit requirement for an award at the same level shall be eligible for the default award. See B5 above.

B10 AWARD TITLES

Definitions :

an award title is a university qualification (e.g. BA(Hons) History granted to a student for successful completion of a programme of prescribed and assessed learning at a specified level conforming with the relevant provisions of the Academic Regulations.

an award descriptor is additional information provided in an award title to explain what has been studied (e.g. BA(Hons) History (Medieval)

B10.1R Awards granted for successful completion of taught study may be named or unnamed. Named awards shall have entry conditions, curriculum and other particular requirements specified as necessary for the award.

B10.2R Students may obtain a named award only by satisfying the requirements for that award as set out in the approved programme specification.

B10.3R Joint or combined awards may be granted with descriptors showing the main fields of study. Such award descriptors shall be specified in the programme specification and assessment regulations for these awards

B10.4P Where changes are approved to the title of an award after students have registered but before some or all students have completed the programme and taken an award any student who has not taken an award may choose either the original title or the new title. Faculties should ensure that all students able to choose are given the opportunity to choose and exercise that opportunity to confirm which title they would prefer to have conferred.

B11 UNNAMED AWARDS

Definition: an award which can be achieved by the accumulation of credit outside of a prescribed programme of study or curriculum or where a student has failed to meet the specified curriculum requirements for a named award but has achieved the minimum required credit for a university award. An unnamed award is not available for HNC/HND or integrated Masters awards.

B11.1R Students who satisfy the minimum credit requirements for a University award but do not meet the requirements of the named award for which they are registered shall be entitled to receive an unnamed award.

B11.2R The University does not permit application to unnamed awards. Students are not permitted register at the point of entry to the University for an unnamed award.

B11.3R Students may become eligible for an unnamed award solely by credit accumulation. Faculty Award Boards determine eligibility for an unnamed award.

B11.4R An award may be unnamed:

- a where the award itself is insufficiently descriptive; or
- b where the award is an unnamed University award as permitted in the Academic Regulations

B11.5R Unnamed awards are not permitted for the HNC, HND, the integrated bachelor/masters degree and the masters degree

B11.6R A student may enrol on a module without registering for an award

B12 MINIMUM AND MAXIMUM LENGTH OF TAUGHT AWARD ROUTES

B12.1R The following minimum periods of defined study for awards normally apply to award routes designed to admit to the start of the programme students meeting the University's general entrance requirements:

	Minimum Number of Weeks	Credit Total	Notional Study Time
Certificate	15 weeks	60 credits	600 hours
Certificate of Advanced Professional Studies in Education	15 weeks	120 credits	1200 hours
Certificate in Professional Development	15 weeks	120 credits	1200 hours
Certificate of Extension Studies	15 weeks	120 credits	1200 hours
Certificate in Education (Further Education)	30 weeks	120 credits	1200 hours
Certificate of Higher Education	30 weeks	120 credits	1200 hours
Diploma	60 weeks	200 credits	2000 hours

Diploma in Extension Studies	30 weeks	240 credits	2400 hours
Diploma in Professional Studies	30 weeks	240 credits	2400 hours
Diploma of Extension Studies	30 weeks	240 credits	2400 hours
Diploma of Higher Education	60 weeks	240 credits	2400 hours
Foundation Degree	60 weeks	240 credits	2400 hours
Degree	90 weeks	300 credits	3000 hours
Honours Degree	90 weeks	360 credits	3600 hours
Graduate Certificate	30 weeks	60 credits	600 hours
Graduate Diploma	30 weeks	120 credits	1200 hours
Postgraduate Certificate in Education	36 weeks	60 credits	600 hours
Postgraduate Certificate	15 weeks	60 credits	600 hours
Postgraduate Diploma	30 weeks	120 credits	1200 hours
Masters Degree	45 weeks	180 credits	1800 hours
Integrated Masters Degree		480 credits	4800 hours

B12.2R The normal maximum period for completion of an award shall be determined by the assessment regulations for that award, including the maximum permitted opportunities for assessment.

B12.3R For awards which are recognised or accredited by professional bodies, where specific maximum registration periods may be required in order to safeguard continuing currency of knowledge and its application in a professional context

B12.4R The maximum period within which a student may complete the route to a specified award including permitted reassessment may also be constrained by limitations on the life span of a module or group of modules in order to safeguard the currency of knowledge and/or by the availability of resources to deliver a module or group of modules.

B12.5R The period of study for an award may be shorter or longer than the normal expectation stated in the regulations for the award depending on whether a student enters with knowledge or skills higher or lower than those specified for the award and on the rate of progress through the award

B13 REGISTRATION FOR AWARDS

Definition : following admission to the University all students are required to register at the start of their studies and in each subsequent year of study. Registration is the procedure by which students confirm personal information about themselves, pay their tuition (and other university) fees. Registration leads to the creation of an individual student record to provide the student with access to university facilities and resources and to enable the University to record academic information against the student record for the duration of their registration. Registration is also the means by which students formally agree to abide by the University's rules and regulations.

B13.1R A student may register for more than one specific award simultaneously subject to not exceeding the maximum number of credits for which enrolment is permitted at any one time.

B13.2R A student may not receive more than one award of the University as a result of a continuous period of registration for a specific award

B13.3R When a student achieves the credits required for the award on which the student is

registered, that award will be made and the student's registration will be terminated. (See C6 below).

- B13.4R** Acceptance by the student of the highest award for which the student is eligible as determined by the decision of an examining board constitutes termination of the registration for that award. A student may, subject to gaining admission, commence a new registration for a higher award within the same subject or programme, or register for a different award. Such registration shall be treated as a new registration for the purpose of eligibility for that award. (See B4 below.)
- B13.5R** Registration for an award and enrolment on a module is subject to gaining admission to the award or module
- B13.6P** Link to <http://acreg.uwe.ac.uk/> (guidance on registration and enrolment)

C QUALITY MANAGEMENT AND ENHANCEMENT FRAMEWORK

C1 APPROVAL AND VALIDATION OF AWARDS

Definition: university procedures for the approval and validation of new programmes, awards and modules and changes to existing provision. The procedures set out the criteria against which proposals are required to be tested and agreed in terms of level of study, educational aims, learning teaching and assessment strategies.

C1.1R The Academic Board shall have overall responsibility for the approval of awards and the validation of routes leading to awards of the University whether such routes are taught by the University or by another organisation operating in an approved relationship with the University

C1.2R The Academic Board shall establish procedures to enable proposed new awards and award routes to be validated and for the validation process to provide assurance of the standards of awards and the quality of learning and teaching in accordance with the objectives and policies of the University

C1.3R For each award of the University, and for each award of an external body for which the University offers taught provision, there shall be an approved programme specification stating the award, award structure, curriculum, assessment regulations and other requirements as prescribed by the Academic Board. The programme specification shall be completed by the faculty taking responsibility for the award no later than the date set for this purpose by the validation process. The programme specification shall be made accessible throughout the University in conformity with arrangements approved by the Academic Board.

C1.4R For each module there shall be an approved module specification stating the module learning outcomes and the means by which these outcomes are achieved and demonstrated.

C1.5R Academic Board may charge a committee or body established by such a committee to undertake on its behalf validation of programmes leading to awards of the University

C1.6R The Academic Board shall establish procedures enabling approved awards, award routes, fields and modules to be modified and for the programme specifications of all such provision to be amended and maintained as accurate, accessible and comprehensive records of learning and teaching as offered to students.

C1.7P The following are subject to approval through the University's central procedures:

- i. approval of new programmes and awards
- ii. changes to existing award title
- iii. any variation to the mode(s) of delivery to that/those approved at the original validation.

C1.8P The process has three elements:

- i. executive approval of proposals for new programmes, awards and

additional mode(s) of delivery, which permits a validation process to proceed

- ii. executive approval of proposals to change existing award titles
- iii. central validation of a new programme or award, or the addition of a new mode of delivery to an approved programme.

C1.9P University validation arrangements come within the overall responsibility of the Quality and Standards Committee. Executive authority is exercised by the chair of the Quality and Standards Committee as the Vice-Chancellor's nominee. Validation is managed and serviced by the Academic Registry under the executive direction of the Vice-Chancellor or his/her nominee.

C1.10P Approval of new programmes and awards and changes to existing award titles are subject to decision by the Vice-Chancellor or nominee in accordance with the requirements of the University's annual academic planning process.

C1.11P Faculties are responsible for developing new proposals for programmes and awards in accordance with procedures approved by the Quality and Standards Committee. All proposals shall have the signature of the Executive Dean, or authorised nominee, signifying that the faculty's declared procedures have been invoked before the proposal is forwarded to the Vice-Chancellor or nominee for approval. A new programme will not be allocated a place in the University's validation schedule until initial approval has been given by the Vice-Chancellor or his/her nominee.

C1.12P Faculties may choose to involve persons external to the faculty and/or the University, including, where appropriate, external examiners, in the development of new proposals prior to validation.

C1.13P The Vice-Chancellor or his/her nominee is responsible for determining the most appropriate method for validation of a new proposal, advised by the Academic Registry. Where an award or programme is subject to approval by an external professional or validating body, the Academic Registrar shall be responsible for contacting the external body about its procedures and requirements. Wherever possible, the University will conduct a joint validation event with the external body. Where this is not possible the timetable of the external approval will be taken into account when deciding the University's schedule.

C1.14P Validation shall normally take one of the following forms:

- i. a validation panel, including external members in the number judged to be necessary for the task, and preceded by a preliminary scrutiny by the panel of which the programme/award team will be informed of the outcome; or
- ii. validation, including external persons, conducted by correspondence, including a preliminary scrutiny; or
- iii. officer scrutiny.

The form of the validation process will take account of the nature of the programme or award. The Vice-Chancellor or his/her nominee shall have discretion to vary this procedure to take account of unusual circumstances or emergency needs.

C1.15P Documentation - documentation for validation will be submitted in three separate parts:

- i. the programme specification in the format specified at C2.1 below
- ii. specifications for all modules or units of study, existing and new, proposed for inclusion
- iii. contextual documentation, which will be specific to the proposal under consideration, and will help the validation panel to satisfy itself:
 - a. that the programme or award appropriately addresses internal and external reference points (such as the Framework for Higher Education Qualifications and Subject Benchmark Statements)
 - b. as to the demand for the programme or award and how it is met by the proposal
 - c. that proposed staffing is appropriate
 - d. that the programme or award will be underpinned by appropriate staff development and research
 - e. that the programme or award can be offered at a satisfactory standard and achieve quality within its defined resource base
 - f. that the proposed assessment regulations are clearly specified
 - g. that the quality assurance and management of the proposed programme or award can be accommodated within the Faculty's processes.

C1.16P Where the preliminary scrutiny suggests that the proposal is seriously deficient the Academic Registry shall, after consultation with the Vice-Chancellor or nominee, notify the programme or award team that the validation may not proceed in accordance with the original timetable and that a new document must be submitted to a new timetable. At this stage the team may be offered an advisory meeting with core members of the panel.

C1.17P The Academic Registry will normally send the programme or award leader and panel members full documentation, including details of the award event, two weeks before the validation date.

C1.18P Validating panel - the members and chair of the validating panel are appointed by the Vice-Chancellor or nominee acting on advice from the Academic Registry and where appropriate from external organisations and individuals. The composition of a validating panel will provide a sufficient range of experience and expertise to ensure the quality of the approval process. The membership of the panel will normally include members of the Quality and Standards Committee, other University staff from faculties and/or central services, and persons from outside the University. The size of the panel will reflect the scale and nature of the programme or award and will normally include at least one external member.

C1.19P Validating panels will be serviced by an officer from the Academic Registry.

C1.20P Arrangements and agenda for validation events - the arrangements and agenda for a validation event will be determined according to the scale and nature of the proposal. The event may be organised in any manner appropriate to the fulfilment of the panel's responsibilities but it is likely to include the opportunity for a presentation by the programme or award team, discussion with senior staff and the team covering: the context of the programme or award; its

place in the faculty's academic strategy; academic executive responsibility for quality and standards; demand for the programme or award; issues of aims, rationale, structure, delivery and assessment; programme or award content and related research; resources for teaching and learning; student support; and management issues. Where appropriate there may also be discussion with students and consultation with external contacts.

C1.21P Outcome of validation - whatever form of validation is used, the outcome of validation, may be one of the following:

- i. approval of the proposal
- ii. approval of the proposal, subject to conditions which must be met before the date proposed for the commencement of the programme
- iii. approval of the proposal, subject to conditions that include a deferred date for the commencement of the programme
- iv. approval of the proposal with/without conditions and with commendations relating to identified good practice
- v. refusal to approve the proposal. Such a decision will be accompanied by a full explanation.

The outcome of the validation may also include recommendations to the programme or award team.

C1.22P The officer for the validation will produce a written report of the findings of the validation which will be provided to the programme or award leader, the relevant Executive Dean or Associate Dean, all members of any validating panel, and the Faculty Academic Registrar.

C1.23P In the event of the programme or award team failing to meet the conditions of approval, awards to any students who may already have been recruited cannot be confirmed until the conditions have been met, and approval for further intakes may be withdrawn. The Executive Dean of the faculty will be notified if the programme or award team fails to meet conditions of approval.

C2 DEFINITIVE PROGRAMME AND MODULE (OR UNIT OF STUDY) SPECIFICATIONS

C2.1P Programme specification - the programme or award team is required to submit a definitive programme or award specification to the Academic Registry within 3 months of approval of the programme or award in a manner and form which accords with the University's Academic Regulations. The definitive version of the programme or award specification will be a revised version of the documentation submitted for validation amended in the light of validation. The programme or award specification will be checked by the Academic Registry and confirmed as 'approved for delivery' following validation.

C2.2P The programme or award specification should be concise and clearly presented and must conform to University requirements. It must include the following information set out in clearly headed separate sections:

- i. target award title; other (default) final award title(s); intermediate award titles
- ii. relevant QAA subject benchmarking groups

- iii. a succinct statement of the educational aims of the programme or award;
- iv. learning outcomes in terms of: knowledge and understanding; intellectual skills; subject, professional and/or practical skills; transferable and/or key skills
- v. teaching, learning and assessment methods used to enable learners to achieve and demonstrate these outcomes clearly cross-referenced to the learning outcomes specified
- vi. summary of programme or award structure, referring to levels, modules/units of study and credits (including details of contributing fields, the modules in each field, inter-relationship between various awards, requirements of various awards and any requirement for professional body accreditation); together with diagram(s) clearly setting out the award structure and modules contributing to it
- vii. entry requirements for the proposed programme or award
- viii. details of the assessment regulations which apply to the programme or award
- ix. distinctive features of the student learning experience and support for it
- x. an indication of the extent to which relevant internal and external reference points have been addressed by the programme.

C2.3P **Module specification** - following approval of new modules at validation or by internal faculty processes, the faculty must ensure that a definitive module or unit of study specification is created and appropriately disseminated.

C2.4P All module specifications must conform to University requirements.

C2.5P **Maintenance of definitive programme, module and unit of study specifications** - faculties have responsibility for creating and maintaining the definitive version of all programme, module and unit of study specifications in the form approved by the University. Faculty procedures must ensure that:

- i. all definitive programme, module and unit of study specifications are created promptly following approval and updated promptly in the light of approved modifications
- ii. all programme, module and unit of study specifications are always available in electronic form
- iii. the historic record (i.e. previous versions) of all specifications is appropriately maintained
- iv. access to all definitive electronic versions is available to the Academic Registry.

C3 APPROVAL OF NEW MODULES OR UNITS OF STUDY

C3.1P Proposals for new modules to contribute towards existing modular programmes or for new units of study to contribute to non modular programmes may be approved by the faculty processes which have been approved for this purpose by Quality and Standards Committee.

C3.2P Proposals for new modules or units of study as part of new award for which a validation process has been arranged will be considered by the validation panel as part of that validation process. However, they must have been considered and approved by faculty processes before being submitted for the validation exercise.

- C3.3P** Faculty processes must include confirmation that the Library and IT Services have been consulted and have indicated that resourcing for the proposed new module or unit of study is adequate.
- C3.4P** Faculties must ensure that a full record of consideration of a new module or unit of study at faculty level is kept, in case this evidence is called for in connection with validation.
- C3.5P** Where a professional, statutory or regulatory body (PRSB) is required to approve a module or unit of study, it is the faculty's responsibility to ensure that this approval is obtained at the time the faculty is arranging internal consideration of the module or unit of study concerned. The evidence of internal consideration must indicate consultation with, and approval by, the PSRB for the module or unit of study concerned.
- C3.6P** A validation exercise may result in a requirement to modify a module or unit of study.
- C3.7P** Link to <http://acreg.uwe.ac.uk/> (programme approval handbook)

C4 **FIELDS OF STUDY**

Definition: groups of cognate modules within which learning, teaching and assessment are organised. A field may represent a subject or disciplinary area, or group of disciplinary or professionally-related modules. Fields are fundamental to faculty quality assurance processes. Each field is managed by a named Field Leader.

- C4.1P** The approval of a new Field and its faculty location, the change of title of an existing Field or the reconfiguration of Fields within a faculty modular scheme require the approval of the Academic Board. Applications for approval should be submitted to the Academic Registrar on the form designed for this purpose. The Academic Registrar will notify the Executive Dean of the outcomes of proposals.
- C4.2P** **Role of Field Leader** - the Executive Dean of the faculty is responsible for appointing a leader for each field within the faculty. The responsibilities of the leader of the field are for the Executive Dean to determine, but they should include oversight of the academic coherence of the modules within the field, maintaining a formal record of modules within the field, contributing to the smooth running of the field boards, liaising with the leaders of modules within the field and ensuring that the field operates within the University's modular framework and Academic Regulations.

C5 **MODIFICATION OF APPROVED PROGRAMMES, AWARDS, MODULES AND UNITS OF STUDY**

- C5.1P** Faculties have authority to modify approved modular and non-modular programmes, awards, modules and units of study subject to the requirements in this procedure.
- C5.2P** Faculties shall consider and approve modifications in accordance with procedures approved by the Quality and Standards Committee. At a minimum this consideration shall provide for:

- i. fully documented consideration of the programme modifications by the faculty bodies approved for this purpose
- ii. external scrutiny (as provided for in the faculty's approved quality assurance processes)
- iii. consultation with other faculties whose programmes may be affected by the proposed modifications
- iv. consultation with students currently on the programme, including evidence of communication with and feedback from students where the proposed changes involve changes to assessment requirements affecting current student cohorts
- v. evidence of consultation with and approval of the faculty executive to any resource implications and, as necessary, consultation with learning support services
- vi. evidence of consultation with professional bodies, where relevant, including liaison with the Academic Registrar
- vii. evidence of appropriate communication of approved modifications to all interested parties
- viii. consultation with the Academic Registry in any case where the proposal represents a fundamental change to the programme, affecting its duration, the continuing validity of its approved title or other comparable matters.

C5.3P No modifications approved through faculty processes may be introduced before the commencement of the academic year following that in which the modification was approved.

C5.4P The following processes will contribute to ensuring that correct procedures are being implemented and kept under review:

- i. internal faculty monitoring of its own processes
- ii. annual academic planning meetings
- iii. University academic review process
- iv. applications for change of title of programme or award (which may be expected to reflect the cumulative effect of modifications on a named programme or award).

C5.5P **Change of award title** - central approval is required for a proposed change to the title of an existing award.

C5.6P Faculties must submit such proposals to the Academic Registry on the approved form for consideration by the Vice Chancellor or his nominee.

C5.7P If approved, a change of title is not normally made available to students already registered on the award concerned.

C6 MONITORING, EVALUATION AND REVIEW

Definition: university procedures for annual and periodic consideration of student performance at module and programme levels, external examiners' comments, identification and dissemination of best practice and successful innovations, identification of updates to programmes and modules.

C6.1 Annual Monitoring

- C6.1.1R** All awards, fields, modules and supervised research contributing to awards of the University shall be subject to annual monitoring and periodic evaluation in accordance with policies and procedures established by the Academic Board.
- C6.1.2R** The procedures shall require faculties and other approved units of the University having responsibility for delivering awards to show how monitoring of awards, fields and modules is undertaken, how action has been taken to deal with matters identified and, where action is beyond the remit or capacity of the faculty or monitoring body to take forward, to bring such matters to the attention of the University.
- C6.1.3R** Faculties shall establish arrangements for the annual monitoring and regular review of all non-award bearing provision for which they are responsible.
- C6.1.4R** Where monitoring and evaluation of awards are undertaken by external organisations, the Academic Board shall establish procedures, normally involving the relevant faculty or comparable body within the University in whose subject area the awards fall, to receive and consider evidence of such monitoring and for ensuring that appropriate action, where necessary, is taken
- C6.1.5R** The Academic Board may charge a committee or body established by such committee periodically to review monitoring and evaluation by faculties and external institutions and to require regular reports
- C6.1.6R** The Academic Board may establish procedures for reviewing such other aspects of its educational provision as it may choose to specify from time to time. Such procedures shall have regard for the requirements of external organizations and professional bodies involved in recognition or accreditation of the University's awards, or where external organisations may request information on or arising from the University's quality assurance arrangements
- C6.1.7P** Responsibility for monitoring and evaluation of schemes, awards, fields, modules and units of study belongs with faculties and other approved units where schemes and awards are located. Faculties and units are held accountable to the University for the effective discharge of their responsibilities:
- i. continuously, through executive action taken by postholders with designated responsibilities reporting through a faculty's executive and management arrangements
 - ii. annually, by a written statement made by the Executive Dean of the faculty to the Quality and Standards Committee confirming that quality assurance procedures have been followed and that action has been taken to remedy any difficulties or to take matters forward to achieve an outcome
 - iii. periodically, through the centrally managed and peer-based internal academic audit of faculties' quality assurance arrangements.
- C6.1.8P** Faculties are required by Academic Board to establish and monitor procedures and arrangements for the management, monitoring and evaluation of all taught schemes, awards and other taught non award-bearing provision for which the faculty has overall responsibility. They may determine their own arrangements and structures for monitoring and evaluation, subject to informing the Quality

and Standards Committee of these and of any significant modifications and providing that account is taken of the following requirements:

- i. the responsibility of the Executive Dean for the continuing quality and standards of the faculty's taught provision overall and for the quality of subject and/or field groups. The Executive Dean shall report annually to the faculty board on the quality and standards of the faculty's schemes and awards taking account of the evidence from the outcome of monitoring and evaluation undertaken at the award level
- ii. the specific responsibility of a faculty board for oversight of monitoring and evaluation across the full range of a faculty's taught provision
- iii. the direct responsibility of management committees, and of any sub-groups or similar groups with award or field responsibilities, for monitoring and evaluation at scheme, award and field levels.

C6.1.9P The Executive Dean, the faculty board and the management committees shall have access to and regard for appropriate information, including statistical data and performance indicators, in order to fulfil their respective responsibilities for academic quality and monitoring and evaluation.

C6.1.10P In exercising its oversight of monitoring and evaluation the faculty board shall:

- i. give due consideration at appropriate points in the annual cycle to faculty-wide monitoring data such as admissions statistics, progression rates, and first destination statistics
- ii. ensure that all schemes, awards and non-award bearing provision for which the faculty is responsible including awards, or part awards delivered through affiliated institutions, are subject to annual monitoring and evaluation involving the preparation of a written report
- iii. have an effective process for the scrutiny of all annual scheme and award reports including reports from affiliated institutions and of actions taken or routed through the faculty executive or appropriate bodies for further consideration and/or decision
- iv. show evidence of peer involvement in monitoring and evaluation from within and outside scheme and award teams, which may include persons external to the University, including external examiners where appropriate
- v. provide suitable opportunity for student consultation and feedback at the scheme level and receive evidence that such processes have worked effectively
- vi. give due consideration to the reports of external examiners, to their consideration and response by scheme and award teams, and to ensuring that feedback on responses and action taken is given to external examiners
- vii. where appropriate, have evidence that the requirements of professional bodies have been observed or responded to at scheme/award level
- viii. have evidence that the process and outcomes of monitoring and evaluation have been scrutinised by the Executive Dean prior to preparation of the annual statement on quality assurance responsibilities for the Quality and Standards Committee.

C6.1.11P In its scrutiny of scheme and award level monitoring reports, a faculty board should find evidence of the collection and analysis of a range of information on

which its own faculty-wide report might draw. This should include:

- i. statistical data showing cohort entry profiles, progression and other performance indicators
- ii. approaches to teaching and learning, including examples of evaluated innovation
- iii. assessment practice and outcomes
- iv. issues raised by external examiners, students, and employers
- v. highlights of good practice
- vi. involvement of central and faculty-based support services
- vii. reviews of issues arising from the previous year's reports.

C6.1.12P The Quality and Standards Committee will receive and consider the annual statement from Executive Deans at its first meeting in the summer term cycle and pay particular attention to issues raised which are beyond a faculty's remit or capacity to resolve, or where examples of good practice or innovation merit wider dissemination.

C6.1.13P The annual statement from the Executive Dean shall be accompanied by a summary report which includes:

- i. major issues arising from and consequential actions taken or which it is intended to take in response to (a) annual monitoring and evaluation, (b) internal academic review (c) internal academic audit
- ii. key substantive and procedural issues arising from consideration of and responses/consequential actions taken or which it is intended to take in response to: (a) the reports of external examiners, (b) student input and feedback and student questionnaires, (c) the approval process for new and modified modules or units of study, (d) statistical data, (e) professional and statutory body visits
- iii. comments on the effectiveness in terms of quality assurance and enhancement of: (a) internal academic audit, (b) internal academic review, (c) professional and statutory body visits
- iv. issues which would more appropriately be considered at University level or which the faculty wishes to draw to the attention of the Quality and Standards Committee
- v. any specific issues which had been referred to the Faculty by the University for further consideration and consequential actions taken or which it is intended to take in response
- vi. identification and dissemination of areas of good practice
- vii. comment on actions identified as a priority in the previous year with an action plan indicating likely timescales for action to be taken and the appropriate officer, body, committee or forum for action in each case
- viii. consultations undertaken with external advisors and actions taken as a result of those consultations.

C6.1.14P The annual summary report should deal concisely with key issues only and should not require the Faculty to provide any additional material over and above that currently generated within the Faculty for annual monitoring and evaluation purposes.

C6.1.15P The Quality and Standards Committee reserves the right to request access to a faculty's monitoring data and/or the most recent annual monitoring and

evaluation report should it have grounds for concern as to the standard and quality of the University's awards.

C6.1.16P Management committees have first line responsibility for the preparation of the annual monitoring report for the modular scheme within their remit. The management committee itself shall formally consider annually the outcome of the monitoring and evaluation of the scheme and approve the annual report, prepared by the scheme director, for submission to the faculty board. This responsibility may not be delegated to a sub-group.

C6.1.17P Such consideration shall include:

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

C6.1.18P The management committee shall ensure:

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

C6.1.19P **Evaluation of fields of study** - responsibility for the evaluation of a field rests with the field leader.

C6.1.20P Arrangements for integrating field evaluation with the monitoring and evaluation of the scheme shall be agreed between the scheme director and the field leader, in consultation with the faculty executive.

C6.1.21P **Evaluation of award routes** - the management committee shall establish mechanisms (e.g. through a sub-group) for ensuring the evaluation of each award route.

C6.1.22P Where appropriate, such evaluation shall include:

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

C6.1.23P **Monitoring and evaluation of modules and units of study** - the module or unit leader is responsible for ensuring the monitoring and evaluation of the module or unit of study.

C6.1.24P Evaluation of the module or unit of study requires the participation of students and staff.

C6.1.25P All students shall be given the opportunity to evaluate each module or unit of study taken each year.

C6.1.26P Normally no student shall be expected to evaluate any module or unit of study more than once.

C6.1.27P Link to <http://acreg.uwe.ac.uk/> (monitoring and evaluation handbook)

C6.2 Internal Academic Audit

Definition: internal academic audit is a means by which the University (Academic Board) assures itself that agreed faculty responsibilities for quality assurance and enhancement are being carried out effectively, enables faculties to appraise their arrangements against University expectations and encourages the identification and dissemination of good practice in order to stimulate innovation in learning and teaching "

C6.2.1P Purpose and scope - the purpose and scope of internal academic audit which is thematic and designed to:

- i. to focus on faculties and their quality management and assurance arrangements
- ii. focus on the evidence and outcomes of quality assurance arrangements in operation, not on quality (or standards) per se
- iii. enable the University to be assured that agreed faculty responsibilities for quality assurance are being discharged effectively through direct scrutiny of quality management procedures and their outcomes
- iv. enable faculties to measure/appraise their arrangements against University expectations and policies
- v. encourage identification and dissemination of good and innovative practice
- vi. provide an efficient means of generating and maintaining information and data which is accessible (without major additional effort) to external scrutiny.

C6.2.2P The aim is to devise a procedure geared as far as possible to documentation and data routinely generated by faculty processes, to take the faculty's own view of its strengths and weaknesses as the starting point for discussion, and to focus on where and how improvements are sought. It is not intended that internal audit should be viewed as a major 'event'.

C6.2.3P Responsibility for developing, overseeing and reviewing the operation of internal quality assurance audit will lie with the Quality and Standards Committee on behalf of Academic Board. The Quality and Standards Committee shall determine the theme for internal audits. The duration of the audit cycle shall be determined by the Quality and Standards Committee. Each faculty will be audited in any academic session on the theme set for that session.

C6.2.4P The timing of individual audits within the overall cycle will take account of planned external internal and events such as Quality Assurance Agency (QAA) Institutional Audit and other QAA activity, visits by professional bodies, periodical scheme reviews, scheme and award validations.

C6.2.5P Each audit will aim to encompass:

- i. the faculty's statement of its quality assurance responsibilities and procedures (using existing documentation), and how these are discharged, through whom and by what means
- ii. evidence of issues considered, action taken and outcomes to exemplify

the operation of the faculty's responsibilities in relation to the theme of the audit

- iii. where issues remain unresolved and why
- iv. targets for improvement and future action.

C6.2.6P Auditors - auditors shall be selected by the Vice-Chancellor or his nominee normally from the members of Academic Board and its committees who have relevant experience of and a demonstrable commitment to academic quality assurance. Auditors operate on behalf of Academic Board with the authority of the Vice-Chancellor as Chief Executive and Chairman of Academic Board. The audit process is managed by a member of the Directorate nominated by the Vice-Chancellor and the Academic Registrar.

C6.2.7P Each audit team will consist of three or four auditors supported by an officer from the Academic Registry. At least one of the auditors will normally be a member of the Quality and Standards Committee and will serve as chair of the team.

C6.2.8P Preparation for audit - a faculty will be requested to make evidence of how it discharges its quality assurance responsibilities in relation to the theme of the audit available to the audit team no later than four weeks before the audit commences.

C6.2.9P The audit team will hold a preliminary planning meeting to determine the scope, nature and extent of its enquiries and will provide the faculty with its request for meetings with identified staff, or invite the faculty to identify appropriate post holders, and its request for any further documentation no later than two weeks before the audit commences. This shall not impose any unnecessary burden on faculties.

C6.2.10P The audit enquiries shall involve the audit team in the scrutiny of information and documentation, in meetings with individuals or groups of staff and may include observation of faculty procedures, where appropriate.

C6.2.11P After audit - the Academic Registry will prepare a short report following the audit for the faculty. The report will also be submitted to the Quality and Standards Committee. It will identify actions, any issues which require further consideration and any matters which merit wider communication as evidence of good practice.

C6.2.12P The faculty will be expected to comment to the Quality and Standards Committee on how the audit report has influenced faculty quality management and assurance activity, and on specific actions taken. The reported outcome of the faculty audit and the faculty's response should also be considered as part of next faculty planning meeting(s).

C6.2.13P The Quality and Standards Committee will make an annual report to Academic Board on the process and issues arising for University consideration from the annual audit programme.

C6.3 Internal Academic Review

Definition: internal academic review is concerned with academic standards and the quality of the subjects and/or programmes of study leading to University

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

C6.3.1P Purpose and Scope - the purpose of internal academic review is to review subject and/or scheme evolution and change over the last review period and to prepare a forward agenda for development taking account of:

- i. evidence that academic standards continue to be met
- ii. commentary on the quality of teaching and students' learning
- iii. reaffirmation or revision of subject and/or scheme aims and objectives
- iv. commentary on good practice and innovation
- v. analysis and summary of needs and requirements to support a forward agenda, including staff development.

C6.3.2P Academic review is a periodic activity operating to a six-year cycle, normally organised by and within a faculty to cover all taught provision in defined subject and/or scheme area. A faculty's academic review programme might also include other related academic activity (e.g. professional and vocational developments affecting taught provision).

C6.3.3P Each review within a faculty's overall programme of academic review will use internal and external peer analysis and participation to prepare an evaluative report of a defined subject and/or scheme area.

C6.3.4P Responsibility - the Quality and Standards Committee is responsible for oversight of Internal Academic Review. The schedule for internal academic reviews shall be determined by the Quality and Standards Committee in consultation with the faculties.

C6.3.5P Each faculty shall be responsible for managing, organising and reporting on its own academic reviews, taking account of University requirements. The faculty shall appoint a member of its staff to act as Secretary to the Review Group. Faculties shall be accountable through the Executive Dean for the completion of each review.

C6.3.6P Role of the Academic Registry - the Academic Registry will lend such support and assistance for the successful implementation of the process as is appropriate. A member of Academic Registry may attend review activities as an observer.

C6.3.7P The Review Group - the composition of the group of reviewers shall be such as to provide a sufficient range of experience and expertise sufficient to ensure the quality of the review process. The Review Group shall be appointed by the faculty and shall normally include:

- i. a senior member of academic staff of the faculty, not directly associated with the area under review, who shall be Chair
- ii. a member of academic staff of the faculty
- iii. at least one member of academic staff of the University external to the

Faculty, who shall normally have experience of internal quality assurance processes in his/her faculty and/or the University

- iv. at least one person external to the University with relevant and appropriate academic expertise. This person may be from any relevant organisation such as another academic institution, a professional, statutory or regulatory body (PSRB), a graduate employer. Former, but not current, external examiners may also be appropriate.

The Review Group may also include members of the Senior Management Team; members of central services; senior faculty administrative staff and former students.

C6.3.8P The Academic Registry will provide advice on both internal and external reviewers drawn from those who have participated in scheme or award validation events, internal academic audit and other related quality assurance processes.

C6.3.9P External reviewers have an important role to play in ensuring the academic soundness and objectivity of the review process. Of particular value will be the external reviewers' comments and conclusions on:

- i. academic standards and quality of learning opportunities
- ii. potential areas of strength and/or good practice in the subject and or scheme
- iii. areas for further attention and/or development
- iv. the distinctive nature of the provision
- v. how far the provision addresses the requirements of national external norms and codes of practice, such as those of the Quality Assurance Agency (QAA) and PSRBs.

C6.3.10P **Documentation for the Review** - in advance of the review, the faculty shall provide the Review Group with a self evaluation document (SED) and shall make available in an agreed location supporting documentation for the subject and/or scheme under review. The SED shall be provided to the reviewers at least four weeks before the start of the review process.

C6.3.11P The SED shall normally be not more than 7000 words in length and shall normally be the only new document produced for the review. The document should summarise the perceived areas of potential good practice and strengths as well as areas which may require further attention and action as evidenced by the supporting documentation. Any description of the schemes and/or awards(s) should be the minimum necessary to enable an understanding of the background of the self-evaluation.

C6.3.12P The SED shall cover:

- i. the educational aims of the provision - a commentary on the overall aims of the schemes and/or awards covered by the review; the currency and validity of the schemes and/or awards under review in the light of developing knowledge in the subject area, professional practice and developments in teaching and learning
- ii. learning outcomes – an evaluation of the appropriateness to the educational aims, of the intended learning outcomes of the awards, in relation to internal and external reference points such as subject benchmark statements and the Further and Higher Education

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

- iii. curricula and assessment – an evaluation of the ways in which content and methods of assessment support the achievement of the intended learning outcomes of the scheme(s) and award(s); how curricula and assessment together determine the academic level of the award(s) to which the scheme(s) lead; the extent to which students achieve the award aims and intended learning outcomes;
- iv. outcomes of scheme and award changes and development over the period since the last (comparable) review
- v. the quality of learning opportunities: (a) teaching and learning – an evaluation of the effectiveness of the teaching and learning strategies employed by the scheme(s) for providing students with good learning opportunities to support the achievement of the intended learning outcomes and academic standards and a confirmation that the scheme(s) specification is being delivered; (b) student admission and progression – an evaluation of the ways in which students' progression through the scheme(s) is supported and monitored, from intake to completion; (c) learning resources – an evaluation of effectiveness of the deployment of the resources, human and material, that support the learning of students, and of the effectiveness of their linkage to the intended learning outcomes of the scheme(s)
- vi. maintenance and enhancement of standards and quality – an evaluation of the effectiveness of procedures for maintaining and enhancing the quality of provision and the security of academic standards in respect of the schemes
- vii. examples of innovation and good practice
- viii. the appropriateness of any forward looking proposed actions to address areas identified as requiring further attention and exploration and areas for further enhancement of quality and standards.

C6.3.13P The supporting documentation shall normally include:

- i. outcomes from annual monitoring and evaluation
- ii. data on student performance and feedback
- iii. external examiner reports for the previous three years and an indication of how the faculty has responded to issues raised in them
- iv. outcomes of recent PSRB reports/visits
- v. assessment criteria and guidance given to markers
- vi. faculty student handbooks
- vii. summaries of feedback to students resulting from annual monitoring, notes or minutes of staff student liaison committees and other relevant engagements with students within the scope of the subject area
- viii. programme specifications for each award covered by the review.

C6.3.14P **The Review** prior to the review the Review Group shall determine whether the SED provides an adequate basis for the review and, in consultation with the faculty, provide the faculty with an outline for the conduct of the review and details of any additional information required. The Review shall normally include an opportunity for a presentation by the faculty, discussions with the subject or

scheme or award team, as appropriate, discussion with students, a meeting with employers, if appropriate, and for feedback to the faculty.

C6.3.15P Reports - normally within six weeks of the conclusion of the review, the Secretary to the Review Group shall provide a draft full report to the Review Group and the Academic Registry, using whatever format as shall be determined by the Quality and Standards Committee. The full report shall not normally exceed 5000 words. After approval by the Chair of the Review Group, and no later than eight weeks after the review, this report shall be provided to the faculty team responsible for the review. The team shall have two weeks to comment on the factual accuracy of the report after which it shall be amended as appropriate and confirmed.

C6.3.16P The Executive Dean shall present the full report to the Quality and Standards Committee together with an action plan for implementing any recommendations from the review. The Quality and Standards Committee may require further action or scrutiny before it determines that the academic review is complete. Once the Quality and Standards Committee is satisfied that the review has been completed the outcome of the review shall be reported to the Academic Board as part of the Quality and Standards Committee annual report.

C6.3.17P Using the full report the Academic Registry observer shall, in consultation with the faculty, produce a summary report using whatever format as shall be determined by the Quality and Standards Committee. The summary report shall not normally exceed 1200 words. Once the Quality and Standards Committee has determined that the Review has been concluded, this report shall be published for external reference.

C7 LIAISON WITH PROFESSIONAL, STATUTORY AND REGULATORY BODIES.

C7.1P Many of the University's awards are accredited or otherwise recognised by professional, statutory and regulatory bodies for the purpose of professional registration for the right to practice and contributing towards requirements for membership of professional, statutory and regulatory bodies. Accreditation processes are formal and they involve judgements about standards and quality. Where these are questioned or threatened by a failure to observe agreed arrangements and procedures, or where accreditation is withheld or suspended, the consequences will be significant both for the employment of graduates and for the reputation and standing of the University.

C7.2P Although there are differences amongst professional, statutory and regulatory bodies in their statutory responsibilities and approach to involvement with higher education provision, most require formal involvement with the University's approval, validation and regulatory processes in order to satisfy themselves about the standard of an award and the content, coverage and application of the curriculum in their subject areas. Engagement with University processes will include some or all of the following:

- i. formal accreditation/recognition of named awards (a University responsibility)
- ii. validation (jointly or separately if professional and statutory bodies insist upon their own procedures) and approval of some or all of the

curriculum, of approaches to teaching and learning, provision of learning resources involving preparing students to meet professional standards, and of student entry requirements

iii. approval of assessment regulations and of individual external examiners.

C7.3P In addition, some professional, statutory and regulatory bodies have a major role in the development of the curriculum in their area and provide a continuing source of advice and information, including on future trends in employment, and for award development in the University.

C7.4P The procedures for maintaining contact and formal involvement with professional, statutory and regulatory bodies' processes reflect the range of activities described above.

C7.5P The Academic Registrar is the designated official correspondent with all professional, statutory and regulatory bodies in respect of the formal accreditation of awards and the formal notification of decisions and responses arising in the context of accreditation.

C7.6P Practices will vary across professional, statutory and regulatory bodies and in many cases representatives and officers of such bodies will expect to maintain direct links with faculties, and faculties will wish to maintain their channels of communication with professional, statutory and regulatory bodies. However, it is important that oversight of communication is maintained. The Academic Registrar must therefore be kept informed of communications which may have an impact on academic policy and the development of awards and schemes. It is a faculty's responsibility to ensure that the Academic Registrar is so informed, and to contact the Academic Registrar for advice where there is any uncertainty about the procedures to be followed.

C7.7P Where a professional, statutory or regulatory body is proposing to accredit an award for the first time, or to carry out a review of any aspect of provision which it already accredits, the initial approach from the professional, statutory or regulatory body should be to the University through the Academic Registrar. The Academic Registrar will liaise through the appropriate Academic Registry officer with the faculty concerned on the arrangements which shall apply. Where a professional, statutory or regulatory body's initial approach on such matters is direct to the faculty, the faculty will copy the correspondence to the Academic Registrar before any commitments are made on the University's behalf.

C7.8P The Academic Registrar will decide the extent to which participation by an officer or member of the Senior Management Team may be required in the accreditation visit, or similar event. In particular, the involvement of the Academic Registry representation is likely to be necessary and desirable in any discussions which may involve possible validation issues and the application of the Academic Regulations, including the relevant assessment regulations of the University.

C7.9P Thereafter, detailed planning and arrangements for any visit or similar event will be made directly by the faculty in conjunction with the professional, statutory or regulatory body. The faculty should ensure that the Academic Registry is kept informed of arrangements for the visit and related matters and that reports on visits and their outcomes are made to the appropriate University committee.

C7.10P Where the involvement of a professional, statutory or regulatory body is required

for the formal validation of a proposed new award for which a faculty is seeking accreditation, all formal exchanges with the body concerned on these matters will be carried out by the Academic Registry.

C7.11P Where a professional, statutory or regulatory body requests any amendment to the University's Academic Regulations such requests must be made in writing to the Academic Registrar. It is the Academic Registrar's responsibility to establish a procedure allowing consultation of appropriate staff, including the Senior Management Team. The Academic Registrar will inform the professional, statutory or regulatory body of whether the requested variation is permitted and will keep the faculty informed of the process and outcome. The Academic Registrar will also arrange for consideration of requests from professional, statutory and regulatory bodies for the addition of a differential level to an accredited award where such a level is justified by reference to practice and usage within the profession.

C7.12P Where a professional, statutory or regulatory body requires that it approves external examiners, the arrangements for securing approval of the external examiners from the professional, statutory or regulatory body will be made by the Academic Registrar, once these examiner nominations have been approved through the University's procedures.

D CREDIT

Definition – credit is a means of specifying and quantifying student achievement of assessed learning with reference to designated learning outcomes.

D1 LEARNING AND CREDIT

D1.1R All awards of the University are credit rated. All programmes of study leading to awards offered by the University shall be credit rated as an integral part of the validation process.

D1.2P Credit rating is undertaken simultaneously with the validation of programmes, awards, modules and units of study. Applications for credit rating of existing awards which were not credit rated when the award was validated must be submitted to the Academic Registry for scrutiny. The advice of other appropriate persons from inside or outside the University may be sought as necessary.

D1.3R Modules may lead to 5(1) 10, 15, 20, 30, 40, 50 or 60 credits. A Masters dissertation module may lead to 40, 50 or 60 credits at level M.

D1.4R Standard credit is awarded for the achievement of assessed learning at a specified level

D1.5R The minimum credit requirements for eligibility for a University award refer to standard credit. Placement credit may not contribute to or be substituted for standard credit for the purpose of satisfying the required minimum credit total for an award

D1.6R Only modules which are approved for a named award may contribute towards the credit requirements for that award. Credits transferred as accredited learning from another institution are deemed to be approved for the named award when the transfer has been approved. Students may not substitute credit achieved in other modules for failure to achieve credit in modules valid for the named award.

D2 CREDIT TARIFF

Definition: The credit tariff is the number of hours on average a student is expected to study to achieve specified learning outcomes at a specified level. This notional study time includes staff/student contact, independent study, private study, time spent in professional practice where required, revision and completion of assessment requirements

D2.1R Under the University's credit tariff 1 credit involves 10 hours of notional study time

D2.2R The total notional study hours for a University award are determined by the credit requirements for that award

D2.3R The minimum credit size of a module/unit of study is 5 credits

D2.4R The maximum credit size of a module/unit of study is normally 60 credits. Normally only project or dissertation modules are approved at the value of 60 credits. Exceptions to the maximum are permitted only where a justification is accepted at validation

1 Exceptionally for faculties requiring 5 credit modules to facilitate the provision of continuing professional development (CPD)

D2.5P Changes to the level or amount of credit for an approved module or unit of study constitute a new module or unit of study. Such proposals must be submitted for consideration and approval by the group or committee within the relevant faculty that has responsibility for approval of new modules or units of study.

D3 CREDIT LEVEL

Definition - A credit level is an indicator of the relative demand, complexity and depth of learning and of the autonomy expected of the learner. Levels are differentiated by learning outcomes which are statements of what a learner is expected to know, understand and/or be able to demonstrate after completion of a process of learning.

D3.1R A module/unit of study shall be defined as being at a specified level.

D3.2R Learning outcomes and their assessment requirements specify what a student must achieve to be awarded credit

D3.3R The assessment requirements of a module/unit of study will be proportionate to the credit tariff and level of the module

D3.4R The University defines the standard of each level of assessed learning in general terms as follows:

Main higher education qualifications	UWE Level	FHEQ level
Doctoral degrees (eg PhD/DPhil, EdD, DBA, DClinPsy)*	D	8
Master's degrees (eg MPhil, MRes, MA, MSc)	M	7
Master's degrees (integrated)** (eg MEng, MChem, MPhys, MPharm)	M	
First degrees in medicine, dentistry and veterinary sciences (eg BM, BS, BDS, BVetMed, BVSc)***	M	
Postgraduate Diplomas	M	
Postgraduate Certificate in Education (PGCE)****	M	
Postgraduate certificates	M	
Bachelor's degrees with honours (eg BA/BSc Hons)	3	6
Ordinary bachelor's degrees	3	
Professional Graduate Certificate in Education (PGCE)****	M	
Graduate diplomas	3	
Graduate certificates	3	
Foundation Degrees (FD)	2	5
Diplomas of Higher Education (DipHE)	2	
Higher National Diplomas (HND)	2	

Higher National Certificates (HNC)*****	1	4
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D4 CREDIT STRUCTURE OF AWARDS

D4.1R Each award shall specify the minimum number of credits at stated levels which a student must obtain in order to receive the award

D4.2P The distribution of credit within a programme and/or award must conform to the University's credit requirements for:

- i level of study;
- ii credit tariff (amount of learning achieved at a specified level with reference to notional student study time);

and with the assessment regulations for:

- iii the named award.

D4.3P The distribution of credit must be broadly consistent with the distribution of notional student study hours. It must also be consistent with the relative importance of the various elements of assessment required of students. Minimum and maximum levels for sub division of awards for credit purposes are given in B12.1 above.

D4.4R To be eligible for an award a student must have successfully completed the required number of credits at the required level as specified for that award.

D4.5R Where a student has not achieved the required credit total for an award, and an examining board has accepted extenuating circumstances affecting performance relating to the unachieved credit, the board may consider recommending an award where the student has achieved at least 80% of the required total of the award.

D4.6P When considering cases under the 80% rule, examining boards should look at the whole profile of the student and take a view as to whether he or she has sufficient evidence of academic achievement in all the key areas of study for the particular award; that there are no significant gaps in the knowledge base for that award and that, but for the extenuating circumstances, the student would have achieved all the necessary credits. In these circumstances examining boards should exercise discretion to allow the award if they feel it appropriate.

D4.8 Undergraduate Awards : Minimum Credit Requirements

D4.8.1R The following credit requirements are the minimum credit requirements for eligibility for the stated University award. Awards which are recognised or accredited by a professional body may require more than the minimum credit requirements. Where an approved award exceeds the minimum credit requirements a default named award not exceeding the minimum credit requirements for a University award at the same level shall be available. (See B5 above.)

	Level 0 or above	Level 1 or above	Level 2 or above	Level 3 or above	M Level	Notes
Foundation Programme	120	n/a	n/a	n/a	n/a	
Certificate	60	Not less than 50		n/a	n/a	
Higher National Certificate	120	Not less than 100	Not less than 40	n/a	n/a	
Certificate in Professional Development	120	Not less than 100	n/a	n/a	n/a	
Certificate in Higher Education	120	Not less than 100	n/a	n/a	n/a	
Diploma	200	Not less than 180	Not less than 80	n/a	n/a	
Higher National Diploma	200	Not less than 180	Not less than 60	n/a	n/a	
Diploma in Professional Studies	240	Not less than 220	Not less than 100	n/a	n/a	
Diploma of Higher Education	240	Not less than 220	Not less than 100	n/a	n/a	
Foundation Degree	240	Not less than 220 + not less than 20 credits of work-based learning at level 1 or above	Not less than 100 + not less than 20 credits of work-based learning at level 2 or above	n/a	n/a	Must include 40 credits of work based learning as set out
Degree	300	Not less than 280	Not less than 60	Not less than 60	n/a	
Degree with Honours	360	Not less than 340	Not less than 200	Not less than 100	n/a	
Integrated Bachelor / Masters Degree	480	Not less than 460	Not less than 320	Not less than 220	Not less than 120	any additional performance criteria as set out in the approved programme specification

D4.9 Graduate Entry Awards : Minimum Credit Requirements

	Level 1 or above	Level 2 or above	Level 3 or above	M Level	Notes
Graduate Certificate	60		Not less than 40	n/a	

Graduate Diploma	120		Not less than 80	n/a	
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D4.10 Postgraduate Awards : Minimum Credit Requirements

	Level 3 or above	M Level	Notes
Postgraduate Certificate	60	Not less than 40	
Postgraduate Diploma	120	Not less than 80	
Masters	180	Not less than 120	The masters dissertation must be at Level M. The credit for the masters dissertation and any other credit accumulated beyond the total required for a Postgraduate Diploma must be achieved under the Academic Regulations

D4.11R The credit for the masters dissertation and any other credit accumulated beyond the total required for a Postgraduate Diploma must be obtained under the Academic Regulations.

D5 PLACEMENTS, PROFESSIONAL PRACTICE, WORK-BASED LEARNING AND CREDIT

Definitions:

Placement – a period of approved work experience or study in a host organisation or institution approved by the University for this purpose. Placement credit does not have a level. An unassessed placement does not attract credit. The word 'sandwich' is also sometimes used to describe placements.

Professional Practice – a period of approved work experience or study that includes a requirement for assessment of professional competencies by an appropriately qualified practitioner and is undertaken in a professional setting

Work Based Learning – learning that takes place in and through work undertaken outside the HEI (including sandwich placements) and which is learning that contributes to the programme for which the student is registered

D5.1R Placements can lead to credit or placement credit depending on how they are assessed. Placement credit (referred to as P credit) is awarded where students are required only to complete the placement or where it is assessed as passed/not passed. Placements can be in the form of a period of work experience or language study abroad as defined in the requirements of a specific award. Placement credit defines the amount of credit achieved, but does not define a level

D5.2R If an award requires professional practice, study or a placement outside the UK, this shall be set out in the approved programme specification together with any assessment requirements for the study or placement.

D5.3R A period of study or professional practice undertaken outside the UK which is

assessed under the Academic Regulations leads to university credit.

D5.4R Placements involving work or study outside the UK may lead to either credit or placement credit depending on how they are assessed.

D5.3R Standard university credit of a specified amount and at a specified level is awarded for approved placements or work-based learning which are assessed in accordance with the regulations for the award for which the placement or work-based learning is a requirement.

D5.5P Placements other than professional practice which, as part of the requirements for the award, have to be completed and passed and which are appropriately assessed for this purpose but are not otherwise assessed under the assessment regulations for the award, may attract placement credit. The amount of placement credit is related to the length of the placement. Thus a 40-week sandwich placement shall attract 120 P credits. Placement credit is not specified by level and may not contribute to, or be substituted for, standard credit for the purpose of obtaining the required minimum credit total for an award.

D5.6P The University's work based learning policy sets out requirements for faculties to:

- i. ensure that all work-based learning is assessed in accordance with the University's Academic Regulations
- ii. monitor and review their policies and procedures for securing and allocating effective work-based learning opportunities to students as part of the process for Academic Review
- iii. meet the requirements and standards set out by professional bodies
- iv. provide clear information regarding the responsibilities of each party to the learning contract or other agreement
- v. ensure students are adequately prepared for work based learning
- vi. ensure support for the development of the learners in the workplace
- vii. ensure that the learning is documented in a form that clearly identifies how it contributes to the overall aims and learning outcomes of the programme
- viii. regularly assess/audit the contribution of partner organisations' ability to meet the needs of the student and programme
- ix. demonstrate that learning contracts or agreements are in place with their work-based partners
- x. ensure that clear strategies are in place to support the identification and organisation of work based activities for students, commensurate with the significance of this learning to the programmes of which it forms a part
- xi. ensure that all arrangements for work-based learning take full account of the requirements of equal opportunities legislation and relevant university action plans for implementation of legislation such as Race Equality Action Plan (REAP), SENDA etc.

D5.7P Link to <http://acreg.uwe.ac.uk/> (work based learning policy)

D6 ACCREDITED LEARNING AND ACCREDITATION OF EXPERIENTIAL LEARNING (AL AND AEL)

Definitions:

Accredited Learning (AL) is defined as formal learning which includes learning assessed and credit-rated and/or certificated by the University or an external institution of higher education or similar awarding body, and formal learning which has not been assessed but which is capable of assessment for the purpose of the award of University credit. Accredited and/or certificated learning may be recognised by the University as contributing to the credit requirements of its awards. Accredited learning may be prior to, or concurrent with, learning undertaken under the Academic Regulations.

Accredited Experiential Learning (AEL) is defined as learning achieved through experience gained by an individual outside formalised learning arrangements where the learning outcomes are open to assessment by the University.

D6.1R The University may recognise credit or credit equivalence achieved from successful study in other institutions as contributing to awards of the University. Such study may have been completed before or be undertaken in parallel with assessment of a student for an award of the University.

D6.2P To be recognised as contributing credit to an award of the University, the evidence of the accredited learning must be capable of demonstrating:

- i authenticity, by evidence that the applicant completed what was claimed;
- ii direct comparison, by evidence of a matching of the learning outcomes with those expected of comparable specified modules or units of study approved by the University for the award sought;
- iii currency, by evidence that the learning achieved is in keeping with expectations of knowledge current in the area of expertise required.

D6.3R Students registered for a University award who undertake a period of approved study outside the UK which is assessed by another institution may in accordance with the Academic Regulations for accredited learning transfer the credit achieved towards the University award

D6.4R Marks or grades awarded by another institution may not be transferred to contribute towards a classification for honours or to the granting of an award with merit or distinction.

D6.5P Monitoring the application of accredited learning and accredited experiential learning processes is the responsibility of appropriate faculty committees and reference to it shall be included in the faculty's annual monitoring processes and the faculty's report on the programme or award. Monitoring of policy and practice on accredited learning and accredited experiential learning generally and of the rigour and consistency in the application of accredited learning and accredited experiential learning processes across the University is the responsibility of the Quality and Standards Committee.

- D6.6.1R** **Maximum Permitted Recognition of Accredited Learning and Accredited Experiential Learning²** - where both accredited and/or experiential learning contribute to the credit requirements of an award of the University, the combination shall not exceed two-thirds of the total credit requirements for the award
- D6.6.2R** The two thirds ceiling shall not apply where a student has obtained all credit by study and assessment under the Academic Regulations.
- D6.6.3R** Where a student fails to meet the requirements of the award on which he or she is registered but is eligible to receive a lower award, the two thirds limit for credit gained by external accredited learning and/or accredited experiential learning shall be reduced accordingly for the lower award
- D6.6.4P** Applicants who wish to apply for recognition of accredited learning or accredited experiential learning as contributing credit towards their credit total for an award are required to apply to the relevant faculty or affiliated institution or organisation conducting the programme. University recognition of accredited learning and accredited experiential learning is subject to the Academic Regulations (see D6.1R above). These limit the maximum total of credit obtainable from accredited learning and accredited experiential learning to two thirds of the credit total for the award sought other than where the credit has been achieved wholly by study and assessment in the University and under the Academic Regulations.
- D6.6.5R** For a masters degree, all credit beyond the credit total required to achieve a postgraduate diploma must be achieved by study and assessment under the Academic Regulations.
- D6.7.1R** **Accredited Learning (AL)** - Evidence of accredited learning shall be open to scrutiny and verification by the University in order to establish that the learning achieved by the student meets the learning outcomes of modules or units of study valid for the award for which the student is registered
- D6.7.2R** The University shall establish procedures for faculty scrutiny of applications for recognition of accredited learning to enable matching of the learning achieved by the student with the specified learning outcomes for modules, groups of modules or other units of study for which the accredited learning will be a substitute
- D6.7.3R** Recognised accredited learning shall identify the level and the amount of credit in accordance with procedures set down by the University
- D6.7.4P** To be recognised as contributing credit to an award of the University, the evidence of the accredited learning must be capable of demonstrating:
- i authenticity, by evidence that the applicant completed what was claimed;
 - ii direct comparison, by evidence of a matching of the learning outcomes with those expected of comparable specified modules or units of study approved by the University for the award sought;

- iii currency, by evidence that the learning achieved is in keeping with expectations of knowledge current in the area of expertise required.

D6.7.5P An applicant for accredited learning may receive credit through university recognition of the following:

- i credit awarded by other institutions of higher education on presentation of verifiable evidence
- ii qualifications or credit awarded by recognised agencies (e.g. professional bodies or other awarding bodies) on presentation of verifiable evidence

D6.7.6P The scrutiny of accredited learning for the purpose of university recognition of credit towards a named award shall be undertaken by designated staff within each faculty in accordance with stated faculty procedures. Such staff shall have appropriate subject, discipline and/or professional expertise and shall have regard for relevant university information and guidance on recognised qualifications and certificated learning.

D6.7.7R All decisions to recognise credit awarded by, or as a consequence of, learning certificated by an external institution of body shall be reported as accredited learning to the relevant examining board and identified against the relevant module(s) or unit(s) of study. Accredited learning shall be similarly identified on a student's Certificate of Credit.

D6.8.1R **Accreditation of Experiential Learning (AEL)** - The University may award credit for experiential learning. Such learning must be documented and open to assessment in accordance with University procedures including, where appropriate, by formal examination

D6.8.2R Assessment of experiential learning shall require the matching of the learning achieved by the student with the learning outcomes specified for modules, groups of modules or other units of study valid for the award for which the student is registered

D6.8.3R The University shall establish procedures for faculty assessment of experiential learning to lead to the award of university credit. All assessed experiential learning shall be considered for the award of credit by the appropriate examining board

D6.8.4R Experiential learning that is assessed and confirmed by the University for the award of University credit shall be described as accredited experiential learning

D6.8.5P Experiential learning must be capable of being matched with stated learning outcomes of modules/units of study or groups of modules/units of study approved by the University for the award for which accredited experiential learning credit is sought. Successfully assessed experiential learning shall be awarded University credit

D6.8.6P Assessment of accredited experiential learning may take a variety of forms including the following:

- i a structured interview plus corroborating evidence

- ii work based observation plus a portfolio or other record
- iii a form of assessment, including assessments and examinations set for relevant approved modules or units of study, devised to meet the specific requirements of a programme or award.

D6.8.7P The assessment of applications for accredited experiential learning for the award of university credit are required to be undertaken by designated staff within each faculty in accordance with documented procedures which shall be open to scrutiny. The staff designated by the faculty must have appropriate subject, discipline and/or professional expertise and must have relevant experience of, or training in, the appropriate procedures.

D6.8.8P The outcomes of the assessment of applications for accredited experiential learning are required to be reported as recommendations for the award of credit to the relevant field board for decision. All such recommendations shall refer to the module(s)/unit(s) of study or group of module(s)/unit(s) of study against which the assessed learning outcomes are being matched. University credit awarded for successfully assessed experiential learning shall be identified on a student's Certificate of Credit.

D7 CREDIT TRANSFER BETWEEN AWARDS³

Definition – credit gained under the Academic Regulations and used by a student to transfer from one UWE award to another

D7.1R A student may transfer credit gained in the context of one award to another award where the learning outcomes are deemed to be valid for the requirements of the new award. Such credit transfer shall be permitted to students of the University and to students external to the University who apply to register for an award of the University and who wish to transfer credit gained elsewhere.

D7.2P A student may apply for the transfer of credit:

- a at the point of registration for a University award
- b at the point of transfer from one University award to another University award
- c having accepted a University award and registering for another award at a higher level, subject to D7.7 below.

D7.3P Credit gained in the context of a named award may be transferred to another named award within the University. Credit transfer across named awards is not automatic. Transfer of credit from one award to another is dependent upon the learning outcomes being deemed by the award team as valid for the new award. This applies both to applications for transfer internally and to applications received from students for transfer of credit obtained from outside the University. A faculty and award team retains the right to determine entry for both logistical and educational reasons.

D7.4R Students who are permitted to transfer credit awarded by another institution

³ Academic Board at its meeting on 27th February 2008 (minute AB08.02.7.1.3 refers) approved in principal a variant to these regulations to allow marks obtained by UWE students at Virginia Commonwealth University to contribute to their UWE award and approved a UWE/VCU marks conversion table. Revised regulations will need to be retrospectively approved for inclusion in the regulatory framework and for operation with effect from 1st September 2008.

towards a University award shall have the minimum period for their registration reduced proportionately in respect of each block of 60 recognised credits.

- D7.5R** Credit transfer across named awards is not automatic.
- D7.6R** Where a student terminates registration and accepts an award, the credit gained may be used to contribute towards another same-level award, provided it is at Degree level or above, to a maximum of 20% of the credit required for that award. The recognition of such credit between awards at the same level is not automatic but at the discretion of an appropriate faculty committee. The recognised credit may be at any level. This applies to internal and external applicants for programme at Honours degree level and above and interim awards from these programmes at Degree level or above. A faculty and award team retains the right to determine entry for both logistical and educational reasons.
- D7.7R** Where a student terminates registration and accepts an award, the credit gained may be used to contribute towards an award at a higher level. The credit gained may be used to contribute towards the same level of award at Degree level or above to a maximum of 20% of the credit required for that award, at the discretion of the Faculty or equivalent. Such credit may not be used to contribute towards an award at a level below Degree level
- D7.8R** Marks achieved for Accredited Learning are not transferable except in the case of direct entry into a degree with honours on the basis of Accredited Learning for learning achieved under the Academic Regulations which is more than the two thirds of the credit requirement for the award
- D7.9R** It is not necessary for a student formally to request recognition of transferred credit to another award where that credit is for modules or units of study which are already valid for the award to which the student is seeking to transfer.
- D7.10R** A student who has discontinued registration without having achieved or accepted an award may resume registration for that award at a later date subject to continuing to meet the requirements of that award. Credit or marks achieved from modules or units of study before registration ceased may contribute to the resumed award provided that the modules or units of study continue to be valid for the award.

D8 CREDIT RECORDS

Definition – the definitive record of modules undertaken and credit achieved

- D8.1R** The definitive record of the credit value of awards of the University and of other learning which is credit rated by the University shall be held by the Academic Registrar
- D8.2P** Credit awarded by the University may be credit rated in accordance with the European Credit Transfer Scheme (ECTS) and recorded using the ECTS conversion method on a student's Certificate of Credit. 10 university credits equates to 5 ECTS credits; therefore 120 UWE credits equates to 60 ECTS credits.
- D8.3R** The record of credit gained by a student enrolled on modules or registered for an award of the University and including students registered for awards of the University through an institution external to the University shall be maintained by

the faculty within a framework determined by the Academic Regulations taking responsibility for the field in which the module is located

D9 CREDIT RATING OF AWARDS, MODULES AND UNITS OF STUDY OFFERED OUTSIDE THE UNIVERSITY

Definition: a mechanism that enables provision from outside the University to be credit rated so that the learning achieved by students can be accumulated

D9.1P The procedure for the credit rating of awards, modules and units of study leading to awards of the University offered outside the University will normally be similar to that for awards, modules and units of study offered within the University.

D9.2P Periods of study such as short course, overseas study, exchanges and other periods of formal learning undertaken as study leading to an award may also be credit rated. To be eligible they must generate at least 5 credits at undergraduate or postgraduate level and evidence must be available of appropriate procedures for assessing the learning outcome of the study for which credit is sought.

D9.3P Applications for consideration of such provision for credit shall be made to the Academic Registrar.

D9.4P Link to <http://acreg.uwe.ac.uk/> (guidance on credit rating external provision)

D10 CREDIT RATING OF AWARD ROUTES OFFERED BY EXTERNAL INSTITUTIONS LEADING TO AWARDS OF THE UNIVERSITY.

D10.1P The credit rating of awards leading to awards of the University offered by institutions external to the University is undertaken as an integral part of the validation of awards.

D10.2.1R **Affiliated Institutions** – where, exceptionally, an affiliated institution opts to credit rate routes leading to awards of the University according to its own credit scheme and procedures, the credit rating and transfer scheme must have been approved as part of the designation of the institution. The institution shall prepare and issue its own certificates of credit.

D10.2.2R Affiliated institutions which are required to involve the University in their approval and validation procedures, or be subject to the University's validation and approval procedures shall seek approval for credit rating of awards in accordance with the University's credit structure and requirements.

D10.2.3R Where credit rating is undertaken for affiliated institutions by the University as part of the University's validation process, Certificates of Credit for students studying in affiliated institutions shall be prepared and issued by the University.

D10.2.4P An affiliated institution with authority to conduct its own validation and review of award routes leading to awards of the University may:

- i seek approval to apply the University's credit structure and requirements to its proposed award(s);
- ii exceptionally, seek approval from the University to credit rate

award routes leading to awards of the University in accordance with its own credit rating arrangements.

D10.3P **Institutions outside the United Kingdom** - where award routes leading to awards of the University are offered by an institution outside the United Kingdom the regulations, procedures and arrangements for credit transfer and credit rating shall be considered as part of the procedure for the approval of the relationship and shall have due regard to any credit accumulation and transfer scheme and credit rating arrangements in the country and institution in question

D11 CREDIT RATING OF EXTERNAL NON AWARD-BEARING PROVISION

D11.1R Learning offered by organisations external to the University may be calibrated for credit. Where such credit is valid for awards of the University, credit calibration will normally be undertaken in conjunction with validation of approval of the award or module and will confirm to the credit structure of the University.

D11.2P The credit rating of learning undertaken through external organisations is the responsibility of the Academic Board which will make appropriate arrangements for fulfilling these responsibilities and may delegate its responsibilities to a committee or sub-committee. Panels established for the purpose of considering applications for credit-rating from external organisations operate with the authority of and report to Academic Board.

D11.3R In order to be eligible for the award of University credit learning offered by external organisations must demonstrate that:

- i the learning is concerned not only with the achievement of organisational objectives but also with the development of the individual
- ii there is an appropriate learning environment with support for the learning experience
- iii the specified learning outcomes are appropriately assessed and involve adequate external and independent examiners
- iv the learning outcomes are adequately expressed in terms of knowledge, skills and competence
- v the learning provision is subject to regular monitoring, review and critical appraisal which is open to scrutiny by the University.

D11.4P Applications from organisations wishing to apply for the credit rating of learning provision should be addressed to or (if received through a faculty link) be referred to the Academic Registrar as soon as possible. Where the preliminary contact is with any other member of University staff the Academic Registrar must be notified of the approach as early as possible.

D11.5P The Academic Registrar will arrange for preliminary informal consultation with the appropriate officers of the Academic Registry to determine the scope and nature of the organisation's likely proposals. After preliminary consultation and advice to the organisation, the Academic Registrar may, in appropriate cases, identify a member of University staff to act as a consultant to the organisation in the preparation of a formal application. Where an application relates to the work of a University faculty it will normally be expected to come forward with the support of the faculty concerned.

- D11.6P** The formal application from the external organisation should be submitted to the Academic Registrar who will decide the most appropriate process for the consideration of the application. This will always involve a meeting of a panel representing the University and representatives of the external organisation.
- D11.7P** The panel will consider the application and decide on an appropriate credit rating. The panel will make a recommendation to the Learning Teaching and Assessment Committee.
- D11.8P** If those applying for credit rating from within or from outside the University cannot reach agreement about the rating with a University panel or representatives, the matter will be referred for resolution to the Learning, Teaching and Assessment Committee

E THE STUDENT ACADEMIC EXPERIENCE

E1 PRINCIPLES

E1.1 In the management of academic standards and quality the University needs to ensure and demonstrate consistency of approach between different faculties and in the equitable treatment of all students in terms of admissions, learning, teaching and assessment, academic discipline and awards.

E1.2 Students should be treated on the basis of capacity, potential and academic performance and should not be disadvantaged on any grounds irrelevant to academic study and within the context of the University's positive duty to promote diversity.

E1.3 **Communication with Students** - students should be provided with accurate, relevant and timely information and should be informed:

- of the primary means by which their faculty, school, department, the Academic Registry and other professional services will communicate with them and when this will happen
- that it is assumed and expected that students will regularly check their university email accounts for official communications and notifications of the status of their registration and studies
- that it is the responsibility of students to maintain links with their academic department and the central administration, respond to requests for information, acknowledge specific communications related to the status of their registration and studies, and keep the University informed as to any changes in their contact details.

E2 ADMISSION

Definition - a student is admitted to the University when he or she has satisfied the University's general entrance requirements or otherwise provided evidence of ability to achieve the required standard at entry, has registered for an award or enrolled on a module or short course and paid the required fees

E2.1R An applicant may seek admission at any point beyond the initial entry point for an award subject to satisfying the entry requirements specified for the award and to provision of evidence to the satisfaction of the University that the applicant has achieved the learning outcomes specified for any part of the award not undertaken under the assessment regulations for the award

E2.2P The admission of students to taught programmes and awards is managed by the University's Admissions and International Recruitment Service which is an integrated operation involving both centrally-based and faculty staff. The broad policy framework is determined by Academic Board and policy implementation is overseen by the Director of Admissions and International Recruitment. The University's general entrance requirements are set out in the Academic Regulations. These may be supplemented by particular requirements determined by faculties for specific awards. Entry for admission requirements are communicated to candidates through Admissions and International Recruitment.

E2.3P Decisions to admit students to the University are made by staff in Admissions and International Recruitment where agreed criteria and requirements are applied directly to applications. The Admissions and International Recruitment Service, consulting as necessary through designated faculty admission officers, with modular scheme directors and programme leaders, apply agreed criteria for exercising discretion in admitting students with non-standard qualifications and other forms of learning and experience gained outside formal educational processes.

E2.4P Applicants for admission to a programme or award may also seek to transfer credit obtained elsewhere, or to seek university recognition of certificated learning as contributing credit to the award for which registration is sought. Applicants may also request university credit for experiential learning undertaken prior to or concurrent with registration for a university award. The Admissions and International Recruitment Service is responsible for establishing clear procedures for considering such applications from students on admission within which faculties meet student recruitment targets. Where the transfer of credit obtained elsewhere, or University recognition of learning certificated by another institution, are concerned, a faculty must have procedures in place for verifying such credit and certificated learning before credit is formally recognised and recorded as contributing to the requirements of a UWE award. Students apply for the award of University credit for experiential learning to the relevant faculty (see D6.8.2R above). Faculty procedures must permit evidence of a student's experiential learning to be matched with the learning outcomes of specified modules or units of study valid for the award against which a student wishes to seek credit. The assessment of evidence of experiential learning must be undertaken systematically and lead to a recommendation on the award of credit for consideration by the relevant field board.

E2.5P Where the admission of students involves liaison with faculties to determine admission on the basis of non-standard entry requirements, faculties shall observe the provisions of relevant university policies including the Equal Opportunity Policy Statement, and have regard for guidelines prepared by the Student Services Department relating to the admission of students with disabilities and other groups requiring specialist support.

E2.6P Faculties' admission arrangements and the entry profile of cohorts are included within the scope of the monitoring and evaluation remit of appropriate faculty committees and are open to consideration by Faculty Boards in their faculty-wide monitoring and evaluation.

E2.7P Link to <http://info.uwe.ac.uk/hr/> (Equal Opportunities Policy)

E3 GENERAL ENTRANCE REQUIREMENTS

Definition: the University requires all applicants to show evidence of a good general education and to meet certain academic criteria as specified.

E3.1R The general entrance requirements constitute the minimum entry requirements for entry to an award of the University. Particular awards may require specific levels of attainment in specific subject areas which are above these minima

E3.2R English language requirements: a recognised English language qualification is normally required for entry to all awards. If the applicant's first language is not

English, tests such as the British Council's International English Language Test (IELTS) are acceptable. All applicants must achieve a minimum grade of 6.0; applicants for graduate entry awards, postgraduate certificates, postgraduate diplomas, masters and doctorate awards must achieve a minimum grade of 6.5

E3.3R The minimum level of attainment required for entry to the start of a foundation degree, the start of a foundation route or routes leading to the award of a Higher National Diploma is:

- a at least 40 UCAS tariff points in one subject at Advanced General Certificate of Education (AGCE) or Advanced Vocational Certificate of Education (AVCE) or BTEC National Award (NA) supported by three subjects at General Certificate of secondary Education (GCSE) at grade C or above; or
- b a BTEC National Certificate or National Diploma; or
- c National Vocational Qualifications or Scottish Vocational Qualifications Level III in the number of subjects specified in the regulations for the award; or
- d a Quality Assurance Agency (QAA) recognised Access certificate awarded by an Authorised Validating Agency; or
- e such other European and international qualifications and/or experience which the University considers equivalent to the above; or
- f such other qualifications as may be recognised as equivalent by the Academic Board

E3.4R The minimum level of attainment required for entry to undergraduate certificates, diplomas, first degrees (degree and degree with honours) is:

- a at least 40 UCAS tariff points in each of two subjects at Advanced General Certificate of Education (AGCE) or Advanced Vocational Certificate of Education (AVCE) or BTEC National Award (NA) supported by three subjects at General Certificate of Secondary Education (GCSE) at grade C or above; or
- b at least 40 UCAS tariff points in each of three subjects at AGCE or AVCE supported by one subject at GCSE at grade C or above; or
- c at least 40 UCAS tariff points in each of two subjects in an AGCE or AVCE or BTEC NA; and at least 20 UCAS tariff points in each of two subjects in an Advanced Subsidiary (AS) supported by one subject at GCSE at grade C or above; or
- d three subjects at grade C or above in Higher Grade of the Scottish Certificate of Education supported by two subjects at Standard Grade 3 or above or Intermediate 2; or four subjects at Higher Grade; or
- e a 12 unit Vocational Certificate of Education (VCE) double award; or
- f a BTEC National Certificate or National Diploma; or
- g National Vocational Qualifications or Scottish Vocational Qualifications Level III in the number of subjects specified in the regulations for the award; or
- h a QAA recognised Access certificate awarded by an Authorised Validating Agency; or
- i the European Baccalaureate; or
- j the International Baccalaureate; or
- k the award of an Irish Leaving Certificate with grade C or above in

three subjects at higher level and two at ordinary; or four subjects at higher level; or

- l such other European and international qualifications which are nationally recognised as being the equivalent to the above; or
- m such other qualifications as may be recognised as equivalent by the Academic Board

E3.5R The normal minimum level of attainment required for entry to graduate entry awards (the graduate certificate and diploma) is a first degree or equivalent professional qualification or approved experience

E3.6R The normal minimum level of attainment required for entry to postgraduate certificates, diplomas or masters degrees is a first degree and/or at least two years professional experience in an area relevant to the field of study of the award

E4 OTHER ENTRY PROFILES

E4.1R Possession of knowledge and skills needed for admission to the University may be demonstrated by means other than possession of the normal entrance requirements

E4.2R An applicant who does not satisfy the normal minimum entrance requirements for an award or module may be admitted on provision of evidence which demonstrates to the University's satisfaction that the applicant can benefit from study at the appropriate level and is likely on the evidence presented to achieve the required standard. The University may accept the following as satisfying all or part of its entry requirements:

- a qualifications, credit or other forms of accredited learning from institutions of higher education or recognised bodies;
- b evidence of experiential learning not previously assessed by or contributing to the awards of other institutions or bodies which is open to scrutiny and where necessary assessment

E5 ADMISSION TO PROGRAMMES LEADING TO AWARDS OF BODIES OTHER THAN THE UNIVERSITY

E5.1R Admission to programmes conducted by the University leading to awards of other bodies shall be subject to the requirements of the body concerned

E6 ADMISSION TO NON AWARD-BEARING PROVISION OF THE UNIVERSITY

E6.1R Admission of students to non award-bearing provision of the University shall be as approved and as provided for in the information describing such provision

E7 REGISTRATION AND ENROLMENT

Definitions:

Registration - following admittance to the University all students are required to register at the start of their studies and are required to re-register in each subsequent year of study. Registration is the process by which students provide personal and financial data to the university.

Enrolment - each year students are required to select/confirm the modules they intend /are required to undertake during that year.

E7.1 Registration

E7.1.1R All applicants who have firmly accepted offers of a place to study at the University shall be required to register to become students of the University. The administrative procedures for registration shall be organised by the Academic Registry.

E7.1.2R Subject to the provisions of regulations E7.1.3, E7.2.2 and E7.2.12 below a student or prospective student not having any outstanding debt or obligation to the University may apply to register for an award for which he or she meets the specified entry requirements including any requirements set by a professional body for recognition or accreditation of an award for professional employment.

E7.1.3R Registration is subject to the availability of the award and to any limit of the number of available places on the award. The University may take account of logistical and educational reasons in determining entry to an award.

E7.1.4R All students shall be required to re-register at the start of every succeeding academic session.

E7.1.5R Students shall be informed that the information they provide on registering with the University will be held securely and may be shared within the University for the purposes of managing and administering their programme of study.

E7.1.6P The Academic Registry is responsible for the creation and maintenance of the definitive student record to be used for registration, results and awards, tuition fee billing, timetabling of teaching and examinations and returns to HESA and HEFCE. The Academic Registry is responsible for liaising with faculties to ensure that student personal and academic data are up to date and accurate.

E7.1.7R The University may in exceptional circumstances and at its sole discretion refuse to permit a student to register for an award.

E7.2 Module Enrolment

Definition – each year students are required to enrol for the modules they intend/are required to undertake in the following year

E7.2.1R Newly registered students are required to enrol for the modules that determine their programme of study and must enrol for the appropriate number and type of modules for the programme of study for which they are registered.

E7.2.2R Subject to the provisions of E7.1.3, E7.2.2 above and E7.2.12 below a student or prospective student not having any outstanding debt or obligation to the University may enrol on any module or unit of study for which he or she meets the specified entry requirements, prerequisites or co-requisites.

E7.2.3R Enrolment is subject to the availability of the module and/or unit of study and to any limit on the number of available places on the module and/or unit of study. The University may take account of logistical and educational reasons in determining entry to a module.

- E7.2.4R** Subject to any restrictions in the assessment regulations for an award, a student may continue to enrol on modules or units of study for which he or she has satisfied any pre-requisites or co-requisites and subject to the University being satisfied they can meet their financial obligations (or has been given permission by the Vice-Chancellor to register despite the existence of the debt); is not subject to restrictions as a result of a breach of discipline, suspension or investigation for other academic reasons; and has not been expelled from the award or the University
- E7.2.4P** Link to <http://www.uwe.ac.uk/finance/> (link to University debt policy)
- E7.2.5P** Link to <http://info.uwe.ac.uk/secretariat/> (link to disciplinary procedures)
- E7.2.6R** Students may enrol for a maximum of 180 credits, including placement credits, at anyone time. Except on postgraduate taught awards, students who have failed more than 50% of the credits presented for assessment at an award board, will have their next enrolment restricted by the board to a maximum of 150 credits at any one time.
- E7.2.7R** Students may enrol on a module or module(s) without registering for an award or on modules additional to those valid for their award subject to the maximum permitted enrolment of 180 credits.
- E7.2.8R** Students may enrol on any standard module or project module subject to:
- a meeting the stated entry requirements of the University; and
 - b meeting any stated prerequisites and/or co-requisites for the module; and
 - c meeting any stated requirements of particular awards as specified in the relevant approved programme specification; and
 - d availability of the module; and
 - e availability of places on the module where a limit is set for module enrolment.
- E7.2.9R** Enrolment on a professional practice module, a masters dissertation, a placement, or a module involving a placement is permitted only where students are also registered for a named award for which the module, dissertation or placement is valid.
- E7.2.10R** Students are not permitted to enrol on a module after the latest enrolment point specified by the faculty responsible for the module.
- E7.2.11P** Normally the latest module enrolment point will be three weeks after the start of teaching on the module.
- E7.2.12R** Irrespective of any fee liability, students may withdraw from a module without academic penalty (e.g. loss of the first attempt on that module) if withdrawal occurs within one quarter of the module's delivery period or before the deadline for submission of the first assessed element, whichever is the sooner. The exact date will be specified to students by the faculty responsible for the module.

E7.2.13R The University may in exceptional circumstances and at its sole discretion refuse to permit a student to enrol on a module or unit of study or to continue in enrolment on a module

E8 RESPONSIBILITIES OF STUDENTS

E8.1R The rights of students to tuition, assessment, referral, reassessment, certification and conferment of an award are subject to students remaining in good standing with the University.

E8.2R A student shall be individually responsible for providing the University with such information as it may require for admission, registration and enrolment, including any information specified as being necessary at the point of initial registration for a specific award, for the certification of credit and awards and for any other purpose connected with the University's functions. Such information shall include full and accurate details of name, permanent and, if different, local address and date of birth. Changes of name or address are to be notified to the University without delay, and in any event, before the termination of the student's registration.

E8.3R A student shall be individually responsible for paying fees for his or her award or module(s) as required by the University or for providing satisfactory evidence of sponsorship by a local authority, research council, employer or agency accepted by the University

E8.4R A student shall be individually responsible for undertaking and managing such learning activities as are required to enable him or her to meet the requirements and objectives of the award or module on which the student is registered or enrolled

E8.5R A student shall be individually responsible for complying with all rules, Academic Regulations applying to him or her as determined by the Academic Board, the Board of Governors or the Vice-Chancellor

E9 ACADEMIC GUIDANCE, TUTORIAL AND LEARNING SUPPORT

Definition – the provision of academic and pastoral advice and support available to students throughout their studies available at faculty and institutional levels

E9.1R Faculties are required by Academic Board to make arrangements for, and to monitor the provision of, academic guidance, tutorial and learning support and related services for students. The effectiveness of such provision is a key area for scrutiny through the University's internal academic audit of a faculty's quality assurance arrangements.

E9.2R Information on individual staff responsibilities related to programme and award management and student academic and pastoral support shall be conveyed to each student in the faculty's Student Handbook or equivalent document which may be available on-line.

E9.3P The University's Student Services Department is responsible for providing students with a range of specialist services, including student advisory and counselling support, career advice and information, information relating to fees and loans, and provision for students with particular educational needs. The

Student Services Department, in partnership with the Academic Registry, manages the University's faculty student advisers scheme.

E9.4P Link to <http://www.uwe.ac.uk/student-services/saws/> (faculty student advisers scheme)

E9.5P Faculty procedures and arrangements may vary, reflecting local arrangements and requirements. In the case of joint honours students one faculty has named responsibility for managing the student experience and support arrangements. These may be designed to take account of the size of a faculty, its organisation, the characteristics of the student community and the requirements and features of the faculty's academic provision. The provision of general tutorial and personal contact and support for individual students on a continuing basis may include the designation of personal tutors, or of student advisers or their equivalent. Such provision may be supported by year/award or similar group-organised points of contact and communication. More specialist provision of academic guidance, relating for example to information needed for choices of modules or units of study, placement or professional practice matters and certain forms of careers' guidance may be located with designated staff, including Faculty Student Advisors and other professional administrative staff carrying a particular responsibility for the function or area. In addition, faculties are responsible for ensuring effective communication and liaison with the Student Services Department in support of students' learning and related matters.

E9.6P Responsibility for ensuring that guidance, tutorial and learning support are provided to students lies ultimately with the Executive Dean, working with the faculty executive. The operation and effectiveness of these arrangements and their oversight by the faculty executive are covered by a faculty's annual monitoring and evaluation procedures. These shall include scrutiny by the appropriate faculty committees as appropriate. The effectiveness of such monitoring and evaluation is also a matter for the Faculty Board.

E9.7P In developing and maintaining its procedures for student guidance and support, a faculty is required to ensure that students have:

- i access to tutoring provision through forms of support aimed at ensuring that there are adequate referral points for students in the context of the size, location and organisation of the faculty
- ii provision for personal welfare in conjunction with specialist services outside the faculty such as the Student Services Department and assistance from the Students' Union where appropriate
- iii access to informed, impartial academic advice and appropriate guidance to allow students to make informed choices
- iv access to appropriate assistance and support to enable students to maximise their learning potential through acquisition and refinement of learning skills
- v liaison with the Student Services Department to ensure readily accessible information and advice on career planning

and that there is:

- vi provision for informing staff and students on the purpose and

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

E10 GRADUATE DEVELOPMENT PROGRAMME

Definition: the Graduate Development Programme (GDP) is a programme of activities which helps students develop their confidence and independence, enhancing their personal achievement and creating a really fulfilling university experience.

E10.1P The Graduate Development Programme lasts throughout an entire undergraduate degree programme, with the focus changing at different stages. It identifies where there are personal development opportunities in academic programmes and brings them to focus in small student groups facilitated by a staff tutor called GDP sessions.

E10.2P In order to complete GDP successfully students are required to either:

- i. complete a level of the programme by attending at least 75% of the GDP sessions and complete the 'record of engagement' for each level, or
- ii. complete a level with below 75% attendance by submitting a 2000 word piece of reflective writing (Annual Report) for each level

On completion of their studies at UWE, students are awarded a cumulative GDP certificate.

E11 CONSULTATION WITH AND FEEDBACK FROM STUDENTS

Definition: the University collects feedback from student at a number of levels – modular, programme, institutional and via the National Student Survey (NSS). Student feedback is an important element of the University's quality management and enhancement framework and is used to review and develop policy and practice at all levels within the University that enhances the student learning experience.

E11.1R The Academic Board shall require faculties and other approved units to establish and promulgate arrangements, including formal procedures, for securing consultation with and feedback from students on teaching, learning, assessment methods and procedures and other arrangements for awards, award routes and modules.

E11.2P Student involvement in the development, quality management and monitoring of

programmes is secured through the requirement that there should be student representation committees set up by each faculty for the management of programmes, and that there be elected student members of Faculty Boards. In addition, faculties may choose to establish other forms of staff/student consultative arrangements to meet particular local needs.

E11.3P Faculties may determine their own procedures for securing feedback from students on their educational experience. Such procedures shall ensure that there is provision for requesting, analysing, acting upon and communicating the outcome of student feedback on individual modules or units of study and on the student's experience at the level of the programme or award. The procedures should enable students to provide information and offer opinion on their experience of teaching and learning, assessment methods and arrangements, access to and appropriateness of learning resources, and provision for student guidance and other forms of pastoral and learning support.

E11.4P Responsibility for ensuring that student consultation and feedback procedures are in operation lies ultimately with the Executive Dean, working in conjunction with the faculty executive and with the chairs of the faculty board and the and of any other committees and groups established for this purpose. The operation and effectiveness of these arrangements and their oversight by the faculty executive are required to be covered by a faculty's annual monitoring and evaluation procedures. These, in turn, are subject to scrutiny by the Faculty Board.

E11.5P In developing and maintaining its procedures for student consultation and feedback, a faculty is required to ensure that:

- i informal and formal mechanisms for securing student consultation and feedback are employed
- ii there is provision for student participation in quality assurance and quality enhancement activities
- iii information and guidance is available to students on faculty structures and committee arrangements, on provision for student representation and that steps are taken to encourage student representation and to record the names of elected student representatives in the faculty and to make them known to students, staff and the Students' Union
- iv lines of responsibility for and channels of communication with students are clear and documented
- v there is a range of mechanisms for securing feedback, including but not confined to questionnaires

and in order to ensure that consultation and feedback arrangements are fully used, that:

- vi consultative and feedback mechanisms are timely and sufficiently frequent to allow students to make a worthwhile contribution to developing and enhancing their learning experience
- vii the focus and purpose of consultative and feedback mechanisms are made clear and communicated effectively to all students
- viii arrangements for preparing agendas and briefing students in relation to formal committee business are timely and accessible
- ix arrangements for requesting feedback from students on

- modules, units of study and across a programme/award are appropriately co-ordinated
- x that the feedback loop is properly closed through provision for keeping students informed of action or the reasons for taking no action.

E12 STUDENT COMPLAINTS ABOUT ACADEMIC PROVISION

E12.1R The Academic Board shall establish procedures for dealing with complaints from students about any academic matter related to teaching and learning provision on award routes or modules or any academic matters relating to the provision for supervised postgraduate research

E12.2R An academic complaint shall be defined as a matter of concern to a student about the delivery, management or assessment methods and procedures of an award, award route or module, or of supervised research, which has not been resolved through the normal consultation procedures as established under Regulation D11.1 above.

E12.3R A complaint made in respect of an award route, module or supervised research shall be made whilst the study is in progress.

E12.4P Link to <http://www.uwe.ac.uk/complaints> (university complaints procedure)

E13 SUSPENSION AND EXPULSION OF STUDENTS FOR ACADEMIC REASONS

E13.1R The procedures established by Academic Board for the suspension and expulsion of students for an unsatisfactory standard of work or for other academic reasons shall:

- a provide that, where an examining board has determined that a student has failed to meet the stated requirements for assessment after undertaking all permitted reassessments and is not eligible to enrol on other modules, the student may be required by the Executive Dean or his or her nominee to withdraw from the award; and
- b specify conditions under which the Vice-Chancellor may, after giving the student an opportunity to make representations, suspend or expel a student for academic reasons other than failure to meet the stated requirements for assessment

E13.2P A student may be suspended from or required to leave a programme, award, module or unit of study for academic reasons other than failure in assessment. These other academic reasons may include, *inter alia*, non-compliance with the programme requirements, failure to meet or comply with the professional requirements related to the programme, unsuitability to undertake professional practice or placement, failure to attend satisfactorily, evidence of professional unsuitability, admission on the basis of an application which is subsequently found to be incorrect in a material particular, and/or that the student has acquired a status which renders continuation on the programme or award inappropriate.

E13.3P Non-compliance with programme, award, module or unit of study requirements may be identifiable by the examining board if the programme requirements include items which are listed in the assessment requirements (such as attendance

requirements or participation in specific programme, award, module or unit of study activities). In such a case the examining board's decision is implemented in the normal way.

- E13.4P** For the purposes of this procedure the Vice-Chancellor may delegate responsibility to a member of the Senior Management Team and the Executive Dean may delegate responsibility to an Associate Dean or another senior member of the staff of the faculty.
- E13.5P** Where an examining board has determined that a student has failed to meet the stated requirements for assessment for a programme, award, module or unit of study after undertaking all permitted reassessments and the student is not eligible to enrol for other modules, units of study or awards within the programme, the Executive Dean or his or her nominee may require the student to leave the programme.
- E13.6P** If an Executive Dean considers that a student's participation in a programme, award, module or unit of study is of such a nature as to render it unlikely that the student could fulfil its academic, assessment, professional or practice requirements the Executive Dean may propose that the student shall be expelled from the programme, award, module or unit of study. Such a proposal shall only be made after the Executive Dean or his or her nominee has given the student the opportunity to be heard and to be represented by the Students' Union. The Executive Dean shall notify the student in writing of the proposal to expel, of the date and time set aside for the opportunity to be heard and shall remind him or her of the assistance which can be provided by the Students' Union.
- E13.7P** If the Executive Dean still wishes to expel the student after he or she has been given the opportunity to be heard, the Executive Dean shall submit a request to the Academic Registrar that the student be expelled from the programme, award, module or unit of study. The request shall include the reasons for the request, whether or not suspension pending the outcome of the request is sought and any written or verbal representations made by the student.
- E13.8P** On receipt of a proposal for expulsion which includes a proposal for suspension while expulsion is being considered, the Academic Registrar shall seek the permission of the Vice-Chancellor or nominee for the suspension and shall inform the student and the Executive Dean of the Vice-Chancellor's or nominee's decision.
- E13.9P** The student shall be given an opportunity to be heard by the Vice-Chancellor or nominee and to be represented by the Students' Union before the decision is made on the proposal to expel. The Vice-Chancellor or nominee may make any decision appropriate to the case including a period of temporary suspension and expulsion from the University.
- E13.10P** The Academic Registrar shall notify the student and the Executive Dean of the Vice-Chancellor's or nominee's decision.
- E13.11P** Link to <http://info.uwe.ac.uk/secretariat/> (disciplinary rules and procedures for non academic discipline)

F ASSESSMENT

Definition: assessment of student performance is an integral part of students' learning experience. Both summative and formative forms of assessment are used in the University. Formative assessment is where the assessment constitutes a learning experience in its own right and is usually not included in the formal grading of the work. Summative assessment is usually undertaken at the end of a period of learning (although it can also be during the period of learning) in order to generate a grade that reflects the student's performance.

F1 PRINCIPLES

F1.1 The purpose of assessment is to determine whether a student has met the objectives and learning outcomes set for awards and modules and has achieved the standard required of the module, or equivalent unit of study, or of the award overall. This section of the Academic Regulations specifies the conditions and requirements for assessment, including the circumstances and requirements for reassessment. The assessment of a student's performance must accord with the assessment regulations stated in the programme and module specifications applying to the award, module or similar unit of study for which a student is registered or enrolled

F1.2 The University's policy governing the assessment of students is based on the following principles:

- that assessment is an integral part of a dynamic learning and teaching process and not separate from it
- that assessment plays a key part in the rigorous setting and maintaining of academic standards
- that all students are entitled to parity of treatment
- that for assessment purposes, in relation to the same module, there should be no distinction between different modes of study
- that progression is achieved by credit accumulation and the completion of pre-requisites and co-requisites
- that due attention is paid to the assessment requirements of professional bodies
- that different module learning outcomes should be recognised by and reflected in different forms of assessment
- that explicit criteria against which student performance is assessed should be available to students in advance of their assessment
- that all students should be afforded maximum opportunity to demonstrate their knowledge, skills, competencies and overall strengths through a variety of assessed activities
- that assessment practice is scrutinised by external examiners in order to maintain and monitor standards and to ensure consistency and comparability across modules in the fields to which they are appointed
- that the outcome of assessment at programme level is monitored by a chief external examiner in order to ensure consistency and parity of approach across all programmes offered by a faculty
- that all students are consulted and kept fully informed about expectations, processes and the outcomes of assessment

- that all methods used to assess student performance are fair and fit for purpose and are compliant with extant legislation
- that the assessment process is carried out by appropriately qualified and competent staff.

F1.3 University Assessment Policy 2003 and subsequent amendments have been incorporated into Academic Regulations and Procedures with effect from July 2008

F2 ASSESSMENT RESPONSIBILITIES

F2.1R The University shall:

- undertake the assessment of students in accordance with the assessment regulations of the module or award
- provide invigilation for examinations undertaken in the University in accordance with procedures approved by the Academic Board
- publish the results of students' assessments relating to their progress on awards or to completion of awards
- issue individually to students their marks or grades
- investigate allegations of assessment offences in accordance with procedures approved by the Academic Board
- issue assessment regulations and requirements including timetables for examinations, instructions to candidates taking assessments or examinations under controlled conditions, and dates and any other requirements for submission of assessed work

F2.2R A student shall be individually responsible for:

- reading information issued to students on assessment arrangements, attending examinations and submitting work for assessment in the manner and at the time required. If a student fails to attend examination(s) or submit work for assessment, without an accepted valid reason, the examining board may determine that the student has failed the assessments concerned
- providing, in accordance with such procedures as are approved by the University, the appropriate examining board before its meeting with written evidence of any illness or other accepted valid cause adversely affecting performance in assessment which the student wishes the examining board to take into account
- undertaking assessments in a manner which does not seek to gain unfair advantage
- ascertaining results as published by the University.

F3 CONFIRMATION OF STANDARD

Definition : assessment is the means by which standards are confirmed in terms of an individual student's performance against agreed assessment criteria set to measure the achievement of learning outcomes at each level

F3.1R No module, similar unit of study, or award route shall be approved without assessment regulations. These shall describe the nature and methods of assessment. The Academic Board may approve assessment regulations for specified categories of awards

- F3.2P** Link to <http://acreg.uwe.ac.uk/> (programme approval handbook)
- F3.3R** Assessment regulations shall identify at a minimum:
- a the requirements for satisfying the examiners for the award of credit for a module or similar unit of study
 - b the conditions for credit accumulation and for continuation of study within the award
 - c the requirements for students to satisfy the examiners for a named award, and for meeting the requirements of differentiated levels of the award where applicable
 - d the conditions under which referral for reassessment is possible and any limitations on the marks achieved
 - e the conditions which may lead the examining board to fail a student and/or to require the student to withdraw from a module/award
 - f the conditions for the recommendation of intermediate awards
 - g the involvement of external examiners in assessment, in addition to their participation in examining boards
 - h the terms of reference and composition of the examining board and any subsidiary boards
- F3.4R** The Academic Board shall establish procedures for consideration of requests from professional and statutory bodies for variations to assessment regulations in respect of awards recognised or accredited by such bodies (see B9.1 above)
- F3.5R** Assessment shall be undertaken by competent and approved internal and external examiners
- F3.6R** All recommendations leading to awards of the University shall be agreed by approved external examiners
- F4** **ANONYMINITY IN ASSESSMENT**
Definition: Anonymous marking is an important element in the quality assurance of the assessment process. The rationale for anonymity is the protection of candidates against the possibility of bias in assessment.
- F4.1R** At the beginning of the delivery period for each module, faculties shall inform students of those assessed activities for which their anonymity will be preserved and those for which it will not.
- F4.2R** With the exception of formative assessment which does not count towards the outcome of a module or an award and assessed activities for which anonymity of the candidate is impractical, impossible or undesirable, faculties shall implement the general marking practice whereby the identity of the student is unknown to the marker.
- F4.3P** Examples of assessed work for which anonymity of the candidate does not apply include dissertations, projects and creative artefacts assessed by staff who have acted in a supervisory role; individual and group presentations; oral examinations and interpreting.
- F4.4R** Student anonymity shall be maintained where the assessor or second marker of a

dissertation, project or creative artefact is a member of staff or other recognised authority appointed by the University who has not supervised the work directly or indirectly.

F5 MODERATION OF MARKS

Definition: Moderation can be defined as a specific process that seeks to ensure consistency, fairness and rigour in the assessment of students. A typical outcome of the moderation of the marking process might be a rescaling of a whole batch of student outputs relating to a module.

F5.1R All Level M dissertations shall be double marked with no marks or comments from the first marker visible to the second marker.

F5.2R All Level M projects shall be double marked with no marks or comments from the first marker visible to the second marker.

F5.3R All level 3 projects shall be double marked with no marks or comments from the first marker visible to the second marker.

F5.4R All level 2 projects shall be double marked with no marks or comments from the first marker visible to the second marker.

F5.5R A presentation which counts for more than one quarter of the total assessment weighting of a module shall be assessed by more than one member of staff.

F6 ASSESSMENT FEEDBACK

Definition: comments made by tutors on students' assessed work which enables students to understand how they have met the defined assessment criteria and identifying areas for further improvement

F6.1P Feedback on, and an outcome for, assessment shall be provided individually or in groups in an appropriate format and within a reasonable period. This period shall not normally exceed four working weeks (excluding vacation periods) following the deadline for submission of the assessment concerned and may be shorter for some forms of assessment and longer for others. Where *the* period is longer than four working weeks students should be informed of the deadline for the provision of feedback and the rationale for the extension. Where it is possible and practical to do so, feedback on summative assessment shall also be provided at the earliest opportunity following the assessment. Outcomes which have not been confirmed by an examining board shall be considered as provision.

F6.2P Feedback to students on coursework (including all assessments not completed under examination/controlled conditions) shall:

- i inform students explicitly whether or not they have met specific threshold assessment criteria
- ii inform students how well they have met specific assessment criteria
- iii describe how students could have improved the current piece of work and/or how they could improve future work
- iv be legible
- v be provided within the timescale indicated in the University's assessment policy and not later than the date published in

- F6.3P** advance to the students
 Additionally, where possible feedback shall:
- i provide comments on content and technique
 - ii act as a form of dialogue between student and tutor
 - iii encourage students to reflect critically on their work
 - iv improve students' understanding of the topic of the assignment, particularly highlighting areas where misunderstanding is evident
 - v motivate students.

F6.4P Feedback on examinations shall inform students of the outcome of the examination in terms of grade obtained.

F6.5P Additionally students shall have access to feedback on individual examinations. Students shall be able to obtain this feedback by at least one of the following:

- i attending a feedback event at which generic feedback is provided
- ii having access to on-line or written generic feedback
- iii having a tutorial with a marking tutor

F7 EXAMINERS' JUDGEMENT

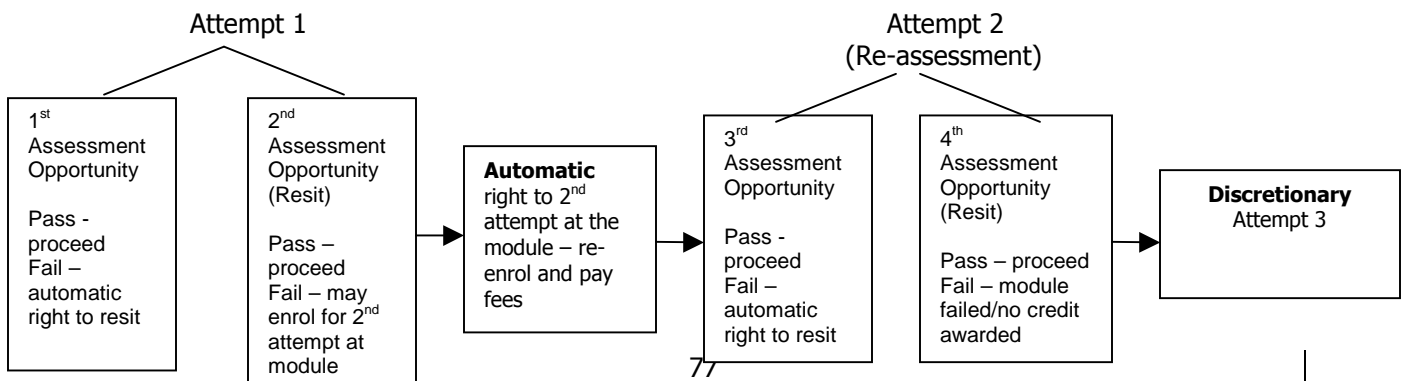
F7.1R The final decision on the award of credit and the recommendation of awards to students rests with the judgement of examiners

F7.2R Examiners' judgements are exercised within the framework of rules set by the assessment regulations for the module and award. Examiners may exercise discretion in relation to individual students only in so far as such discretion is consistent with the provision of the assessment regulations for the module and award

F7.3R The academic judgements of the examiners shall be final.

F8 MODULE ASSESSMENT

Definition - students have the right to two attempts (i.e. 'goes') at a module other than for professional practice modules and masters dissertations. Within each attempt there are two assessment opportunities - a first sit and a referral. These are normally taken within the same academic session. Each attempt is self contained. No marks are carried over from the first to the second attempt. The diagram below portrays the regulations for standard modules



- F8.1R** Each module is assessed separately and as a whole. The assessment requirements of a module shall be stated in the module specification. The assessment requirements shall be proportionate to the credit value and level of the module.
- F8.2R** All modules shall have one or two components of assessment. Where there are two components they shall be referred to as component A and component B. Each component has a specified weighting, which determines its contribution to the overall module mark. Students who do not pass one or both components are referred or reassessed in the component(s) which have not been passed.
- F8.3R** Irrespective of the level of award, the pass mark for modules at levels 0 to 3 is 40%, and for level M modules is 50%. The overall module mark is the mark for component A or the weighted average of components A and B where there is more than one component. For professional practice modules with a single component of assessment the module outcome is expressed as passed or not passed only.
- F8.4R** Subject to any operational constraints, module assessment opportunities shall be provided at least twice and at most three times in any academic year in accordance with the University's Academic Calendar.
- F8.5P** Link to <http://acreg.uwe.ac.uk/> (academic calendar)
- F8.6R** All standard modules have a component A which is assessed under controlled conditions. This component must count for at least 25% of the overall module mark. The module specification will state which is the component A assessment.
- F8.7R** Assessment under controlled conditions normally means assessment at a prescribed time and in prescribed conditions involving University-controlled invigilation or supervision. Other forms of assessment under controlled conditions can be undertaken, providing that the control exerted is sufficient to provide certainty that the work submitted for assessment is the student's own work and that there is parity of treatment between all students taking the assessment.
- F8.8R** Component B may be assessed under controlled conditions and/or by other means.
- F8.9R** Assessment 'by other means' normally means by work undertaken outside the classroom or laboratory in the student's own time.
- F8.10R** Components of assessment may contain one or more elements of assessment. Marks from all elements are recorded and the overall mark for the component is the weighted average of all elements.

F8.11R Where assessed group work is specified in a module, students will receive individual assessment marks and may receive group work marks.

F9 REASSESSMENT

Definitions – two definitions of reassessment are used within the context of students being permitted two attempts at each module

Referral is the opportunity to be assessed again in a module within a single attempt at the next scheduled assessment opportunity with or without further class attendance

Reassessment is the opportunity to be assessed in a module again if not successful at the first or permitted further attempt

F9.1R Referral and reassessment requirements for a module shall be stated in the module specification. The requirements and standard of attainment expected from referral or reassessment shall be as demanding as the first assessment opportunity.

F9.2R The module specification shall state where class attendance is mandatory for a second opportunity within an attempt or for a further attempt. Otherwise students may choose to attend taught classes in preparation for a second or further attempt at a module. Where class attendance is optional, students must, on enrolling on modules for the second assessment opportunity for the second or further attempt indicate whether they will attend classes.

F9.3R It may not be possible to provide an opportunity for referral for some modules before the next occasion on which the module is run in its entirety. This will not affect student rights to a second assessment opportunity or second attempt, but it will affect the timing of that referral.

F9.4R Referral or reassessment is not permitted solely to improve a mark where a pass has already been achieved

F9.5R Reassessment for an award or for credit shall normally take place within a reasonable time and within the maximum length of the award route where this is specified or within any limits specified for the life of a module

F9.6R A candidate for reassessment may not demand reassessment in modules or components of assessment which are not being offered in the period concerned.

F9.7R Reassessment of students for modules or awards recognised or accredited by professional or statutory bodies may be subject to restrictions on the number of times for which reassessment is permitted to achieve a specific named award

F9.8R Opportunities for reassessment for the purpose of obtaining university credit for assessed experiential learning shall be the same as in the assessment regulations for reassessment of modules

F9.9R Once a module has been passed, no further assessment opportunities are permitted.

F9.10R If students do not pass at the first assessment opportunity, they are referred to the second assessment opportunity. If the module is not passed at the

F9.11R second assessment opportunity, the first attempt is not passed.
No further reassessment is permitted on a failed module even where students wish to retake the module for a different award at a later date.

F9.12R An award board shall only permit students a third or further discretionary attempt(s) at a module in exceptional circumstances where it has accepted their extenuating circumstances already submitted in relation to that attempt where the module was not passed.

F9.13R Unless an award board permits a further attempt at a module, students failing the last permitted referral or reassessment on a standard or project module which is compulsory for a named award will have their registration for that award terminated by the University.

F9.14R Students submitting evidence for assessment under accredited experiential learning in accordance with the Academic Regulations shall be permitted up to four assessment opportunities and no further attempts. The timing of assessment opportunities shall normally coincide with the assessment opportunities on the module(s) for which the experiential learning is being considered.

F9.15R Capping of marks does not apply at levels 0 and 1.

F9.16P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

F10 MODULE ASSESSMENT, REFERRALS AND REASSESSMENT

F10.1 Standard Module

Definition – a standard module is usually classroom or laboratory based although it need not be. Some assessment is under controlled conditions and some may be by other means.

F10.1.1R A standard module may have at most two components of assessment.

F10.1.2R Component marks and the overall module mark are expressed as percentages. Where one component of assessment is marked as passed/not passed only, the overall mark for the module is the mark awarded for the other component and shall be a minimum of 40% (levels 0-3) or 50% (level M)

F10.1.3R In standard modules at level 0 and level 1, a component may be assessed as passed or not passed only. Where this is the case, students must pass this component and obtain a pass mark in the other component in order to pass the module.

F10.1.4R In standard modules with two components, where one component of assessment at level 0 or 1 is marked as passed/not passed only, the overall mark for the module is the mark awarded for the other component and shall be a minimum of 40% (levels 0-3) or 50% (level M)

F10.1.5R The mark for a component of assessment is calculated as the weighted average of the marks for the individual elements of the component. The weighting of elements shall be set out in the module specification and shall be

given to students no later than the start of the module delivery period. Students cannot be required to pass individual elements unless there are specific academic reasons for them to do so.

- F10.1.6R** The overall module mark for modules with more than one component is calculated as the weighted average of the marks for both components. The component assessed under controlled conditions must carry a minimum weighting of 25%. The weighting of the components is set out in the module specification and shall be given to students no later than the start of the module delivery period.
- F10.1.7R** To pass a module, students must achieve an overall module mark of not less than 40%. Where the module assessment has two components, students must achieve at least 35% in each component in order to pass the module. A mark below 35% in either component means that the module has not been passed. In order to pass a module at level 0 or 1 with two components, one of which is assessed as passed/not passed, students must achieve not less than 40% in the other component.
- F10.1.8R** The form of referral or reassessment for a component shall be stated in the module specification.
- F10.1.9R** Students who do not pass a module at the first assessment opportunity have a right to referral in the component(s) which have not been passed, except as provided for in F12.2R below.
- F10.1.10R** If the minimum mark of 35% is not achieved in both or one of two required components of assessment (and the other is passed) at the first assessment opportunity the mark for the referred component is capped at 40%. This is described as a partially capped mark. The mark for the other component is not capped nor is the overall module mark.
- F10.1.11R** Where a component of assessment is not passed at the second assessment opportunity and students make another attempt at the module, the overall module mark achieved at the second attempt is capped at 40%.
- F10.1.12R** To pass a module on referral or reassessment, students must achieve not less than 35% in the reassessed component(s) of assessment and an overall module mark of not less than 40%.
- F10.1.13R** If one component of assessment in a level 0 or level 1 module is assessed as passed or not passed only, a pass must be achieved in any referred or reassessed component.
- F10.1.14R** Students who do not pass a module at the first attempt have a right to a second attempt at the module. Students are only permitted further exceptional attempts after the second attempt if an award board has accepted their extenuating circumstances and permitted another attempt.
- F10.1.15R** For the purposes of classification for honours or other differential award level, the overall module mark passed at a second attempt is capped at 40%. The actual mark achieved for the capped module shall be recorded on a student's Certificate of Credit.

F10.1.16R Students who do not pass the first attempt may take an alternative module if valid alternative modules are available. If students enrol on an alternative module, this module will be treated as a new enrolment and subject to the normal rules for assessment.

F10.1.17P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

F10.2 Project Module

Definition – A project module requires the completion of a project, dissertation or similar piece of extended, individual or group work.

F10.2.1R A project module has a single component of assessment, component A, being the project report, dissertation or equivalent piece of work. This may include one or more elements as defined in the module specification. Students may be required to pass those elements which include the project.

F10.2.2R The mark for a project module is expressed as a percentage.

F10.2.3R The mark for a project module is the weighted average of the marks of the individual elements of the component. The weighting of the elements shall be stated in the module specification and shall be provided to students no later than the start of the module delivery period.

F10.2.4R The pass mark for a project module is 40% with the exception of Level M project modules where the pass mark is 50%.

F10.2.5R The form of referral or reassessment in a project module shall be the resubmission of the project report, dissertation or other requirement as defined in the module specification.

F10.2.6R Students who do not pass a project module at the first assessment opportunity have a right to a second assessment opportunity in the module.

F10.2.7R To pass a project module on referral, students must achieve a mark of not less than 40% (levels 0-3) or 50% (level M). Where the component includes element(s) which must be passed, a mark of 40% (levels 0-3) or 50% (level M) must be achieved in those elements.

F10.2.8R Students who do not pass a project module at the first attempt have a right to a second attempt at the module. Students are only permitted further attempts after the second attempt if an award board has accepted their extenuating circumstances and permitted another attempt.

F10.2.9R For the purposes of classification for honours or other differential award level, the mark for a project module achieved on referral to a second assessment opportunity or reassessment at a second or further attempt where no extenuating circumstances have been accepted shall be capped at 40% (levels 0-3) or 50% (level M). The actual mark achieved for the capped module shall be recorded on a student's Certificate of Credit.

F10.3 Professional Practice Module

Definition – a professional practice module is normally undertaken outside of

the University in a professional setting, combining practice with related study. Assessment of competence in professional practice will always involve an appropriately qualified practitioner.

- F10.3.1R** A professional practice module may have specified entry and assessment requirements as required by a professional or statutory body where the module contributes to an award which is recognised or accredited.
- F10.3.2R** A professional practice module shall have at most two components of assessment. Component A shall be the assessment of professional competencies by an appropriately qualified practitioner.
- F10.3.3R** Professional competencies shall be assessed as passed or not passed only. If the module assessment is based solely on the assessment of professional competencies, the assessment outcome is recorded as passed or not passed only and is not taken into account in determining eligibility for an award with classification for honours or other differential level of award.
- F10.3.4R** If additional means of differentiating performance in professional competencies have been agreed by the University at the request of a professional body, these shall be recorded on the Certificate of Credit.
- F10.3.5R** Assessment of professional competencies may include referral or reassessment of specific competencies subject to a maximum number of such referrals or reassessments as stated in the approved programme specification.
- F10.3.6R** Where there is a component B, the overall mark for the component is the weighted average of the marks of the individual elements of the component. The pass mark for the component is 40% with the exception of Level M professional practice modules where the pass mark for the component is 50%. The weighting and the requirements for completion of the elements shall be described in the module specification and shall be given to students no later than the start of the module delivery period.
- F10.3.7R** A professional practice module can only be passed if the component of assessment of professional competencies is passed.
- F10.3.8R** If a professional practice module assessment requires a single component of assessment of professional competencies, the outcome is recorded as passed or not passed.
- F10.3.9R** If a professional practice module has two components of assessment, the overall module mark is expressed as a percentage. The percentage mark is awarded for the component not relating to professional competencies. If either component is not passed, the module is not passed.
- F10.3.10R** Where the outcome of a professional practice module is expressed as passed or not passed only it does not contribute to an honours classification or other form of differential level of award. If a professional practice module includes a second component, the mark for the second component is the mark for the module and, if it is at level 2 or above, this will contribute to classification for honours or other differential level of award.

F10.3.11R In a professional practice module students do not have a right to an automatic referral after the first assessment opportunity. Referral is subject to the discretion of the award board. Where a practice component has not been passed students are normally offered at most one further opportunity for referral.

F10.3.12R If an award board permits a reassessment, the professional component assessment must be retaken in addition to the non-professional component.

F10.3.13R The method of referral or reassessment for the component not involving assessment of professional competencies shall be defined in the module specification.

F10.3.14R The method and attendance requirements for referral and reassessment of the professional competencies component are at the discretion of the award board.

F10.3.15R Any overall pass mark obtained at a second or permitted further attempt for a professional practice module shall be capped at 40% (levels 0-3) for classification for honours or other differential level of award or 50% (for the purpose of determining eligibility for a postgraduate award with merit or distinction) The actual mark achieved shall be recorded on the student's Certificate of Credit.

F10.3.16R Students enrolled on a professional practice module who fail to satisfy assessment of professional competence after any referral or reassessment as may be permitted by an award board will have their registration for that award terminated by the University and may not register for another award for which that module is compulsory.

F10.4 Level M Modules

F10.4.1 Level M Standard Module

Regulations F10.1.1R, F10.1.2, F10.1.4, F10.1.5, F10.1.8, F10.1.9R, F10.1.14 and F10.1.16 above apply.

F10.4.1.1R To pass a module students must achieve an overall module mark of not less than 50%. Where a module assessment has two components, students must achieve at least 40% in each component. A mark below 40% in either component means that the module has not been passed.

F10.4.1.2R If the minimum mark of 40% is not achieved in both or one of two required components of assessment is not passed (and the other is passed) at the first assessment opportunity, the mark for the referred or reassessed component is limited to 50%. This is described as a partially capped mark. The mark for the other component is not capped nor is the overall module mark. Where a component of assessment is not passed at the second assessment opportunity and students make another attempt at the module, the overall module mark achieved at the second attempt is capped at 50%.

F10.4.1.4R For the purpose of determining a postgraduate award with merit or

distinction, or classification of an honours degree if applicable, the overall module pass mark achieved at a second or further attempt shall be held at 50%. The actual mark achieved shall be recorded on the student's Certificate of Credit.

F10.4.2 Level M Project Module

Regulations F10.2.1 to F10.2.9 above apply.

F10.4.3 Masters Dissertation Module

F10.4.3.1R A masters dissertation shall be assessed as a project module.

F10.4.3.2R A masters dissertation module shall be undertaken as the final part of a masters award.

F10.4.3.3R Students are permitted only one attempt at a masters dissertation module, unless the award board accepts their extenuating circumstances and permits another attempt.

F10.4.3.4R Where students are referred to the second assessment opportunity, a maximum period of twelve months is permitted for the resubmission of the dissertation.

F10.4.4 Level M Professional Practice Module

Regulations F10.3.1 to F10.3 15 above apply.

F11 LATE SUBMISSION OF WORK FOR ASSESSMENT

F11.1R Students who submit work for assessment no later than 24 hours after the stated deadline will not incur any penalty.

F11.2P A deadline shall be set for the submission of every element of assessment. A student may submit the element up to 24 hours after the designated deadline without penalty. A student may submit the element up to 10 working days after the designated deadline, but such penalty as prescribed by the Academic Board shall be applied to the mark awarded.

F11.3P The 24 hour period of grace above shall not apply to those assessments (e.g. presentations) which must take place at a specified time. Such time sensitive assessments shall be specified in advance by each faculty.

F11.4P A student who does not submit an element of assessment within 10 working days of the designated deadline shall normally be deemed to have failed that element of assessment and receive a mark of zero for that element. A student who does not attend a time sensitive assessment shall normally be deemed to have failed that element of assessment and receive a mark of zero. Extensions to deadlines for individual students may not be granted under any circumstances.

F11.5R Work submitted for assessment more than 24 hours after the stated deadline

but within ten working days of the deadline shall be subject to an automatic mark penalty. The penalty shall be:

- a. for modules at levels 0-3 inclusive, a deduction of 33% of the mark given for the work
- b. for level M modules, a deduction of 25% of the mark given for the work

F11.6 R Work submitted later than ten working days after the stated deadline will not be marked for assessment. The work will be marked and returned to students for learning purposes only.

F11.7R Students submitting work more than 24 hours but within ten working days from a stated deadline who wish to be considered for waiver of the automatic work penalty but submit reasons for lateness with their submitted work. The reasons will be considered by the designated board or panel which may decide not to impose the mark penalty.

F11.8R Requests for late work to be marked for assessment will not be accepted where the reasons given refer to events occurring after the published submission deadline.

F11.9P Where a student is of the opinion that his or her failure to meet the deadline for that element of assessment has been caused by illness, disability or personal problems, the student may request that the work be marked and counted for assessment purposes. The student shall explain the circumstances fully, in writing, and state why his or her circumstances resulted in the failure to meet the deadline. The statement shall be accompanied by relevant documentary evidence. No circumstances occurring after the deadline will be taken into account.

F11.10P The student shall submit the statement and the work no later than ten working days after the deadline for that element of assessment in a sealed envelope addressed to the Faculty Academic Registrar or designated faculty officer of the faculty responsible for the module or unit of study on which the student is registered. The envelope shall be marked with the title and code of the module or unit of study and the words 'late work submission'.

F11.11P Submissions shall be considered by a panel (a 'Late Work Panel') consisting of at least three members of staff set up by the faculty responsible for the module or unit of study for that purpose. The panel shall decide whether or not to accept the late work. The panel's decisions shall be reported to the relevant field or examining boards. The panel has discretion to consider late work submissions received up to ten working days after the deadline. Late work shall not normally be accepted or counted for assessment after marked work for that element of assessment has been returned to other students.

F11.12P There shall be no appeal against a decision of a late work panel. The student's right to submit extenuating circumstances to an award board relating to the assessment is unaffected by any decision of a late work panel.

F11.13R The provisions of F11.1, F11.5, F11.6, F11.7 and F11.8 above will not apply to assessments which are time sensitive such as presentations or

assessments of professional competencies. Such assessments and their timing will be specified to students by the faculty responsible for the module in writing at the start of each relevant module delivery period.

F11.14R The hand in time for all assessment shall be 2.00pm.

F11.15P The 2.00pm hand in time for coursework shall apply from Monday to Thursday (or Wednesday before Good Friday) and applies to all modules at all levels.

F12 ABSENCE FROM OR NON-SUBMISSION FOR ASSESSMENT

F12.1R Students who do not attend an assessment under controlled conditions or who submit no work for assessment and for whom no extenuating circumstances have been accepted shall be deemed to have achieved zero marks for that assessment or piece of work. This will be recorded as a non-submission.

F12.2R Students will forfeit a second assessment opportunity within an attempt if they do not undertake the assessment under controlled conditions or otherwise do not complete the assessment for component A and submit no elements of assessment for component B at the first assessment opportunity. An award board may only waive forfeiture if it approves a request from students for extenuating circumstances relating to their first assessment opportunity.

F12.3R F12.2 above shall not apply to a module with a single component of assessment or to professional practice modules.

F13 TAKING ASSESSMENTS UNDER CONTROLLED CONDITIONS OFF CAMPUS

F13.1R Assessments under controlled conditions, including examinations, shall normally take place on a University campus or at a venue determined by the University for the whole cohort of students taking that assessment including at the University's partner institutions. It is the student's responsibility to attend examinations and assessments under controlled conditions. No student shall have the right to take any assessment off campus and permission to do so is at the discretion of the University.

F13.2P Assessments under controlled conditions taken off campus have security implications and the associated administrative costs are considerable. The Executive Dean of the faculty concerned may grant an international fee paying student permission to take an assessment under controlled conditions off campus. Such permission may be granted only where the assessment is:

- i the second assessment opportunity within an attempt, or for non modular programmes, it is a referral or deferral;
- and
- ii due to take place in late summer (normally August, September or early October);
- and
- iii it can be arranged at a British Council Office.

F13.3P The Executive Dean of the faculty concerned may grant exchange students participating in an academic exchange arrangement permission to take an assessment under controlled conditions off campus. Such permission may only be granted where the assessment:

- i is the second assessment opportunity within an attempt, or for non modular programmes, is a referral or deferral;
- and
- ii is due to take place in late summer (normally August, September or early October);
- and
- iii can be arranged at one of the other institutions participating in the exchange.

F13.4P A student other than those covered by F13.2 and F13.3 above will not normally be permitted to take an assessment under controlled conditions off campus. Permission will only be granted in very exceptional circumstances and can be given only by the Academic Registrar. Individual convenience, the avoidance of travel back to the University, and the fact that the student has already left the country or the area will not of themselves normally constitute exceptional circumstances. The Academic Registrar may give permission for an assessment under controlled conditions to take place other than at a British Council Office or an institution participating in an exchange.

F13.5P A student enquiring about taking an assessment under controlled conditions off campus under the above provisions should be informed that the location off campus is subject to university approval, that a fee and expenses will be charged and that, for any student not paying an international rate fee or on an academic exchange, individual convenience, the avoidance of travel back to the University, or the fact that the student has already left the country or the area will not of themselves normally constitute exceptional circumstances.

F13.6P A student seeking permission to take an assessment under controlled conditions off campus under the above provisions must apply in writing to the Faculty Academic Registrar of the faculty responsible for the award on which he or she is registered as early as possible and normally not less than 6 weeks before the scheduled date of the assessment. The application must be in writing supported by relevant documentary evidence.

F13.7P The Faculty Academic Registrar should assess whether secure arrangements can be made in time and whether fees and expenses can be recouped from the student before the date of the assessment. Taking account of time zone differences, the assessment shall normally be timed to coincide with the scheduled time of the assessment on the University campus and so as to prevent any possibility of communication between candidates at different centres. In order to ensure security, a student taking an assessment under controlled conditions off campus will not be permitted to retain the question paper at the end of the assessment. The paper will be supplied at a later date. Under no circumstances should the student be permitted or asked to make the arrangements him or herself although he/she can be consulted on the location where there is more than one British Council Office or partner exchange institution participating in the exchange in the country concerned.

Arrangements for the assessment shall not be commenced until the fee has been received.

F13.8P The Faculty Academic Registrar shall forward the request and supporting documentation to the Executive Dean or Academic Registrar as appropriate. This shall be accompanied by an estimation of whether secure arrangements can be made, what those arrangements would be and a statement of the arrangements for the recovery of the fee and expenses.

F13.9P The Executive Dean or Academic Registrar shall make a decision and notify the Faculty Academic Registrar who will be responsible for making the arrangements, notifying the faculty responsible for the module or unit of study (if different) and for invoicing the student. The student must pay the fee before the scheduled date of the examination and pay any additional costs associated with the invigilation or organisation of the examination or assessment. A student who does not pay the fee will not be permitted to take the examination off campus and a student who does not pay the fee and/or any additional expenses will be treated as a debtor.

F13.10P **Fees and expenses** - a student granted permission to take an assessment under controlled conditions off campus will be charged a fee. The fee covers courier postage of examination papers and stationery, liaison with the examination centre off campus, and the University's administrative costs including preparing examination packs. It does not cover any other costs such as the organisation of the venue, fees charged by the venue or invigilators. Where any additional costs are incurred by the University these will also be charged to the student.

F13.11P **Report** - each faculty shall report annually to the Academic Registrar on any arrangements made for assessments under controlled conditions to be taken off campus.

F14 **INSTRUCTIONS TO EXAMINATION CANDIDATES**

E14.1P Candidates without their student identity card may be refused entry to the examination. Candidates must show their student identity card on request.

E14.2P Candidates must not enter the examination room until instructed to do so by the senior invigilator.

F14.3P Candidates may be admitted to the examination room by an invigilator

- i. up to thirty minutes after the official start of the examination; or
- ii. in extenuating circumstances at any time provided no candidate has already left

F14.4P Additional time for any candidate arriving after the start of the examination will not be given.

F14.5P Candidates shall sign the attendance register when requested to do so by an invigilator.

F14.6P No candidate may leave the examination room during the first or last thirty

minutes of the examination.

- F14.7P** At the end of the examination candidates must remain seated and silent until all scripts have been collected and until dismissed by an invigilator.
- F14.8P** Candidates must not have in their possession at their place in the examination room nor make use of any book, manuscript, calculator, personal computer, electronic organiser, mobile phone or other aid which is not specifically allowed in the rubric of the examination paper or the assessment regulations for the module or unit of study. Exceptionally, a candidate with temporary or permanent disabilities, special educational needs or difficulties may have been authorised in advance by the faculty concerned to have available and use additional aids not specified in the rubric of the paper or by the assessment regulations.
- F14.9P** A candidate who brings any unauthorised item to his or her place by mistake shall inform an invigilator immediately he or she discovers its presence.
- F14.10P** Coats, briefcases and similar items shall be deposited outside the examination room or as directed by an invigilator.
- F14.11P** Upon entering the examination room candidates must comply with the invigilators' instructions.
- F14.12P** Once in the examination room candidates shall not communicate in any way with any person other than an invigilator.
- F14.13P** An invigilator's attention may be attracted by a candidate raising his or her hand.
- F14.14P** Candidates must not leave their places without the permission of an invigilator.
- F14.15P** A candidate wishing to leave the examination room temporarily must seek the permission of an invigilator before doing so, and will be accompanied by an invigilator throughout his or her absence. Any candidate who leaves the examination room without the permission of an invigilator normally will be deemed to have withdrawn from the examination and will not be re-admitted to the examination room.
- F14.16P** A candidate who wishes to leave the examination room early must first attract the attention of an invigilator and have his or her script collected. He or she should take care not to disturb other candidates when leaving and must observe examination procedures until out of the room.
- F14.17P** A candidate whose script has been collected will not be re-admitted to the examination room.
- F14.18P** Mobile phones must be switched off.
- F14.19P** Candidates shall use only the official stationery provided. Any rough work shall be done on the stationery provided and handed in with the completed answer script. No candidate shall remove any answer script, rough work,

official stationery or equipment from the room. The examination question paper may be retained by the candidates only where this has been permitted by the examining board.

F14.20P Candidates must not start writing, other than to sign the attendance register or complete the identification details on the answer paper, until given permission to do so by the senior invigilator.

F14.21P Candidates must stop writing immediately they are instructed to do so at the end of the examination. The senior invigilator will state when the examination ends.

F14.22P A candidate whom an invigilator believes to be using unfair means (including unauthorised aids, copying or communicating with others) will be so informed and his or her answer paper marked at the appropriate place. Unless the candidate is required to leave the examination room under any other section of this procedure, he or she will be permitted to continue the examination.

F14.23P A candidate who, in the opinion of the senior invigilator, causes an unreasonable disturbance, and continues or repeats it after warning, shall be required to leave the examination room and will not be re-admitted. Unreasonable disturbance may include the ringing of the candidate's mobile phone.

F14.24P A candidate breaching any of these procedures will be reported to the relevant examining board, and the matter will be considered in accordance with University Regulations.

F14.25P Any candidate who wishes to draw to the attention of the examining board (normally the Award Board) any matter or circumstance which he or she believes has materially affected his or her performance in an examination must do so, in writing, in accordance with the University's Academic Regulations. Any candidate failing to do so will normally lose any opportunity to apply on these grounds for a review of the decision of the examining board.

F14.26P In the event of an emergency evacuation of the examination room (eg when a fire alarm sounds) candidates must obey the instructions of the senior invigilator which shall give priority to the safety of the candidates.

F14.27P Candidates remain subject to examination procedures during the evacuation and should not discuss the examination.

F14.28P Candidates shall follow the invigilators to the designated assembly area and follow the invigilators' instructions regarding resumption of the examination.

F14.29P If it is possible to resume the examination candidates shall, when instructed by the senior invigilator, endorse their scripts with the words 'examination interrupted' and the reason for the interruption at the appropriate place. Where it is logistically possible compensatory time shall be allowed to candidates equivalent to the period from the time the alarm sounded to the resumption. The senior invigilator shall decide whether it is possible to give compensatory time.

F14.30P Candidates shall be informed of any revision to the finishing time for the examination and that a report of the interruption will be made to the chair of the examining board.

F14.31P These procedures may be varied by the Academic Registrar where necessary to comply with the written requirements of relevant professional or accrediting bodies.

F14.32P Where the nature of the examination makes necessary any variation to the above procedures, candidates will be informed of such variation by the senior invigilator before the start of the examination.

F14.33P Where a candidate has had special examination arrangements approved by the faculty in advance, the senior invigilator will remind him or her of those arrangements before the start of the examination.

F15 INVIGILATION OF EXAMINATIONS

F15.1P Link to <http://acreg.uwe.ac.uk/> (invigilators handbook)

F15.2.1P **Appointment** - normally one senior invigilator and one invigilator shall be appointed for each examination room by the Central Timetabling Manager. If more than forty candidates are to be examined in any room an additional invigilator shall be appointed for each additional forty candidates (or part thereof).

F15.2.2P The senior invigilator and shall be in overall charge of the examination.

F15.2.3P Where possible, the invigilating team shall include a female and a male.

F15.2.4P A senior invigilator or an invigilator shall not delegate his or her appointment.

F15.3.1P **Examiners** - at least one internal examiner or his or her suitably qualified nominated representative shall be available for consultation at a named location or telephone number during the examination to answer any queries in relation to the examination paper.

F15.4.1P **Responsibilities and conduct of senior invigilators and invigilators** - invigilators must ensure that the examination for which they are appointed runs smoothly and is conducted in accordance with the University's Ordinances and Academic Regulations.

F15.4.2P To ensure that the examination is conducted fairly and efficiently, the invigilators must devote the whole of their attention to the proceedings. Since candidates are instructed to attract the attention of the invigilator only by raising a hand, the invigilators must be positioned so that the whole area can be observed. They should refrain from conversation as far as possible.

F15.5.1P **Duties of the senior invigilator** - to collect the examination box for the examination for which he or she is responsible from the designated examination base room. The examination box will contain a list of candidates eligible to attend the examination, the examination question paper(s), the examination answer booklets, a list of materials which any or all candidates are permitted to bring into the examination room, any other materials

required to conduct the examination and a clock.

- F15.5.2P** To ensure that the following are available in the examination room:
- i an adequate supply of the appropriate examination stationery
 - ii an adequate supply of any books or equipment which are to be supplied to the candidates
 - iii a list of those eligible to attend
- F15.5.3P** To take charge of the examination, including the announcement of its start and finish.
- F15.5.4P** To ensure that all scripts are collected at the end of the examination and returned with the signed attendance list to the designated examination base room.
- F15.5.5P** To make a report, including any unusual circumstances and action taken, in writing to the relevant Executive Dean for transmission to the chair of the examining board (normally the field board for modular programmes) immediately after the examination.
- F15.5.6P** To announce before the start of the examination, any variations in the procedure as required by the instructions to examination candidates.
- F15.5.7P** The senior invigilator shall have discretion to take whatever action he or she deems appropriate to meet unforeseen circumstances not covered by the University Ordinances or Academic Regulations.
- F15.6 Instructions to invigilators**
- F15.6.1.1P** **Before the examination** - the senior invigilator shall collect the examination box from the designated examination base room.
- F15.6.1.2P** Invigilators shall arrive in the examination room in sufficient time (normally at least forty five minutes) before the examination to prepare the room and the candidates' places so that the examination may start at the scheduled time.
- F15.6.1.3P** Invigilators shall ensure that the examination room is suitably prepared:
- i that a clock is visible to all candidates
 - ii that the room is adequately lit and ventilated
 - iii that there are sufficient places for the number of candidates listed
 - iv that each place is provided with the materials, aids and equipment indicated on the rubric of the examination question paper, and with an examination answer booklet
- F15.6.1.4P** The correct examination question paper shall be distributed to candidates' places before the examination starts.
- F15.6.1.5P** Candidates shall not be admitted to the examination room until all preparation has been completed. The senior invigilator shall instruct candidates when they

may enter the examination room.

- F15.6.1.6P** Candidates shall be seated as directed by the senior invigilator.
- F15.6.1.7P** The signature of each candidate shall be obtained alongside his or her name on the list of candidates eligible to attend.
- F15.6.1.8P** If a candidate's name does not appear on the list of those eligible to attend, the senior invigilator or his or her nominee shall add his or her name to the list and shall permit him or her to start the examination whilst inquiries are made by an invigilator to establish his or her eligibility.
- F15.6.1.9P** Before the examination starts the senior invigilator shall remind candidates that:
- i they should be sitting at the place assigned to them (if appropriate)
 - ii they should check that they have the correct examination question paper, stationery, materials, aids and equipment and that the question paper is complete
 - iii they must read the instructions on the question paper and the answer paper
 - iv they should remain in their seats throughout the examination except when an invigilator gives them permission to leave
 - v they should be silent until all scripts have been collected and until dismissed by an invigilator
 - vi if they wish to attract the invigilator's attention they should do so by raising a hand
 - vii they may not smoke
 - viii they must switch off all mobile telephones and devices which give an audible signal and place them at the front of the room
 - ix they may not leave the examination during the first thirty nor the last thirty minutes
- F15.6.1.10P** The senior invigilator should announce the start of the examination and its duration and display this information in a place visible to all candidates.
- F15.6.1.11P** Examinations should start at the time specified. If there is an unreasonable delay the reasons for it and the actual start time should be included in the senior invigilator's report to the relevant Executive Dean.
- F15.6.2.1P** **During the examination** - invigilators shall ensure that candidates observe examination procedures.
- F15.6.2.2P** A note shall be made on the attendance list of each candidate arriving late, and a report of the time of arrival made to the chair of the relevant examining board.
- F15.6.2.3P** If a candidate wishes to leave the examination early, his or her script shall be collected before he or she leaves.
- F15.6.2.4P** If a candidate wishes to leave the examination room temporarily he or she shall be accompanied by an invigilator or authorised person throughout his or

her absence.

- F15.6.2.5P** In the event of a query on the examination question paper, the senior invigilator shall consult the internal examiner or his or her nominated representative. Any error or omission should then be corrected by brief oral announcement as authorised by the internal examiner, and noted on a board for candidates' reference during the examination. In no circumstances should the invigilators otherwise attempt to elucidate or interpret an examination question or paper, and where a candidate believes there to be some other error or ambiguity he or she should be advised to note his or her interpretation of the question in his or her answer. The senior invigilator shall record all queries made about the examination question paper, and the time of any announced corrections, and report them in writing to the chair of the examining board (the field board for modular programmes).
- F15.6.2.6P** In the event of a candidate causing a disturbance in the opinion of the senior invigilator, he or she shall be warned, and required to withdraw if he or she persists. He or she shall not be re-admitted. The time of his or her departure, and its circumstances, shall be reported to the chair of the relevant examining board (normally the field board for modular programmes).
- F15.6.2.7P** If an invigilator observes a candidate apparently contravening the regulations regarding the use of unfair means he or she should immediately require another invigilator to act as witness. A detailed note shall be made of the circumstances and a report made to the chair of the examining board. The candidate shall not be required to leave the examination room (except under F14.25 above), nor shall his or her answer paper be taken from him or her. Every completed or part completed sheet of the candidate's script shall be marked with the time and the initials of the invigilator. The candidate shall be permitted to continue with the examination and his or her script shall be forwarded separately to the chair of the relevant examining board(s) with the note of the circumstances.
- F15.6.2.8P** If a candidate reports that he or she has inadvertently brought an unauthorised item to his or her desk, the invigilator should remove the item, mark every page of the candidate's answer script completed or part-completed up to that time with the time and his or her initials and report the full circumstances to the chair of the relevant examining board(s). This is normally the field board for modular programmes. The candidate shall be permitted to continue the examination.
- F15.6.2.9P** If a candidate becomes ill (or similar emergency), the senior invigilator should take whatever action is necessary and submit a full report to the chair of the relevant examining board. This is the award board for modular programmes.
- F15.6.2.10P** Normally, not more than one invigilator shall leave the examination room for any purpose at any one time.
- F15.6.2.11P** The senior invigilator shall remind candidates when there are thirty and fifteen minutes remaining for the examination.
- F15.6.3.1P** **Ending the examination** - the senior invigilator shall announce the end of the examination and instruct candidates to stop writing.

- F15.6.3.2P** Candidates shall be reminded to complete the identification details on the answer paper (including continuation sheets) if they have not already done so, and to attach all sheets together with whatever means are provided.
- F15.6.3.3P** Candidates shall be reminded that they must remain seated and silent until all scripts have been collected and until dismissed by the senior invigilator.
- F15.6.3.4P** Invigilators shall remind candidates that all work including rough work must be handed in and no answer book, rough work, official stationery or equipment removed from the examination room.
- F15.6.4.1P** **After the candidates have left** - invigilators shall check that the number of scripts collected corresponds to the number of candidates who attended, taking particular care when several answer books are expected from each candidate.
- F15.6.4.2P** The examination box and all its contents (see F14.7 above), including completed examination answer booklets, unused stationery, and the completed list of candidates shall be returned to designated examination base room by the senior invigilator.
- F15.6.4.3P** All reports from invigilators on occurrences during the examination shall be submitted under separate cover to the chair of the relevant examining board(s).
- F15.6.4.4P** If the designated examination base room is not accessible for any reason, the senior invigilator shall ensure that completed examination scripts and invigilators' reports are kept secure until they can be returned to the Executive Dean or his or her nominee.
- F15.7.1P** **Emergency evacuation of examination room** - In the event of an emergency evacuation of the examination room (eg when a fire alarm sounds) candidates must obey the instructions of the invigilator which shall give priority to the safety of the candidates.
- F15.7.2P** Candidates shall be instructed that they remain subject to examination procedures during the evacuation.
- F15.7.3P** The senior invigilator shall instruct candidates to evacuate the room quietly leaving all examination materials in the room.
- F15.7.4P** The invigilators shall lead candidates to the designated assembly area and remain with them until instructed by the appropriate authorities that it is safe to return to the building, or until a decision is taken by the Central Timetabling Manager after appropriate consultation to abandon the examination.
- F15.7.5P** The senior invigilator or his or her nominee shall inform the Central Timetabling Manager of the emergency evacuation as soon as possible.
- F15.7.6P** If it is possible to resume the examination, invigilators shall instruct

candidates to endorse their scripts with the words 'examination interrupted' and the reason for the interruption at the appropriate place. Where it is logistically possible, compensatory time shall be allowed to candidates equivalent to the period from the time the alarm sounded to the resumption. The Central Timetabling Manager in consultation with the senior invigilator shall decide whether it is possible to give compensatory time.

F15.7.7P Candidates shall be informed of any revision to the finishing time for the examination and that a report of the interruption will be made to the chair of the examining board. The revised finishing time shall be displayed in a place visible to all candidates.

F15.7.8P A full report of the circumstances, including the time of interruption, its duration and any compensatory time allowed, shall be included in the senior invigilator's report to the relevant Executive Dean.

F15.8.1P **Variations to the procedure** - these procedures may be varied by the Academic Registrar where necessary to comply with the written requirements of relevant professional or accrediting bodies.

F15.8.2P Any variations to these procedures required by the nature of specialist examinations (e.g. practicals, oral, aural, interpreting, word processing), as set out in the relevant module/unit of study specification will be determined by the relevant examining board and notified to candidates before the examination.

F15.8.3P These procedures may be varied for individual candidates with special educational needs subject to approval by the appropriate faculty.

F16 EXAMINING BOARDS

Definition: examining boards are university bodies that have responsibility for confirming results, progression and classifying students' degrees. Examining boards operate at several levels in the University: examining boards for non-modular programmes; field boards and award boards.

F16.1 Examining Boards : General Regulations

F16.1.1R There shall be an examining board for each award of the University. Examining boards shall be accountable to the Academic Board and shall have a constitution approved by or on behalf of the Academic Board. Examining boards shall include the external examiner(s) approved by the Academic Board.

F16.1.2R The Academic Board may prescribe the terms of reference and composition for types of examining boards. These shall be specified in the assessment regulations for the award.

F16.1.3R Faculties shall provide full administrative and secretariat support for examining boards and shall ensure that all such boards maintain comprehensive and accurate records of proceedings which comply with any requirements of the University issued by the Academic Registrar and that the minutes of all examining boards are submitted to the Academic Registrar as soon after the examining board meeting as is practical.

- F16.1.4P** Link to <http://acreg.uwe.ac.uk/> (notes of guidance to committee secretaries)
- F16.1.5R** An examining board shall normally be chaired by the Executive Dean of the relevant faculty (or equivalent) or by an appropriately senior member of academic staff nominated by the Executive Dean.
- F16.1.6R** No student shall be a member of an examining board for his or her programme or attend an examiners' meeting for such programme other than as a candidate for assessment. No member of staff who is enrolled on a module/unit of study or registered for an award under consideration by the board shall be a member of the board whilst the module/unit of study is under discussion.
- F16.1.7R** The quorum of an examining board shall be two thirds of the members eligible to attend. For non modular programmes the quorum shall include the chief external examiner and at least one other external examiner where awards are to be recommended. For modular programmes the quorum shall include the chief external examiner for the award board and at least one external examiner at the field board. An examining board which does not include an external examiner either in person or via a video, telephone or other link is not authorised to assess students for an award or for credit or to recommend the grant of an award to a student.
- F16.1.8R** No other body or person may act on behalf of the Academic Board in recommending the award of credit or granting of an award or in amending the properly executed decision of an examining board acting within its terms of reference
- F16.1.9R** Where there is a disagreement between the external examiner(s) and the internal examiners which cannot be resolved through discussion, the decision of the external examiner(s) shall normally be accepted as final by the examining board. Any unresolved disagreement between external examiners shall be referred to the Chair of the Academic Board for determination.
- F16.1.10R** No recommendation for the grant of an award may be made without the written consent of the approved external examiner(s).
- F16.1.11R** The proceedings of an examining board are binding on its members and confidential to it, to a panel of its members or to a review panel authorised by the Academic Board, or to such officers as may be authorised by the Vice-Chancellor for the purpose of considering an application for review of a decision of an examining board
- F16.1.12 Reconvened Examining Boards**
- F16.1.12.1R** An examining board may be required by the Academic Board to review a decision under G7 below or may have that decision annulled under G9 below. Where an examining board is required to review its decision, it may delegate its responsibility to a sub-committee established for this purpose with terms of reference limited to the review in question
- F16.1.12.2R** An examining board may delegate its responsibility to review its decision in only two circumstances: when required to so under Regulation G7 below by the

Academic Registrar or by an Academic Board Review Panel or where an error or other procedural irregularity which may materially affect the integrity of the board's decisions is brought to the attention of the Chair of the board after a meeting of the full board.

F16.1.12.3R The examining board must at each meeting confirm authority for a sub-committee to act on its behalf if required. All sub-committees shall consist of at least five members, normally including at least three members present at the original meeting, one of whom shall be the Chair or his or her nominee. Where possible the membership of the group shall include an external examiner but where this is not possible an external examiner shall be consulted. The consent of an external examiner is required for any changes to the original decision of the examining board. Where the decision under review relates to an award the chief external examiner shall either be a member of the sub group or shall be consulted. The written consent of the chief external examiner shall be required for any changes to the award originally decided by the examining board.

F16.1.12.4R The quorum for a meeting of a sub-committee of an examining board shall be five. In all other respects the sub-committee's procedures shall accord with normal requirements and practices for examining boards.

F16.2 University Modular Framework : Field and Award Boards

Definition - For programmes within the University's Modular Framework there shall be field boards and award boards. Each has a separate function and terms of reference. Responsibilities of field and award boards do not overlap. Field boards consider and approve module marks and award credit (i.e. they are module facing). Award boards decide the eligibility of students for awards, including intermediate and default awards, within their jurisdiction and whether or not to accept extenuating circumstances relating to individual student performance on modules and awards (i.e. they are student facing).

F16.2.1 Field Boards

F16.2.1.1R A field board is responsible for determining in relation to all modules within the field(s) assigned to the board:

- a that all assessments undertaken for modules are properly scrutinised and marked
- b that all assessments are properly conducted
- c the impact, if any, of adverse circumstances affecting the delivery or assessment of a module on the performance of an identifiable cohort or an identifiable sub-group within a cohort on a component of assessment or a module as a whole
- d the mark or decision to pass/not pass made in respect of each student for assessment, referral or reassessment on each module
- e the award of credit, including placement credit, to a student where assessed performance meets the minimum threshold required for a pass in each module in accordance with the Academic Regulations
- f action, including imposition of a penalty affecting the assessment decision as permitted by the Academic Regulations, where a student has committed an assessment offence
- g any matters arising from analysis of assessment data for modules

within the board's jurisdiction which it wishes to draw to the attention of appropriate bodies

h to receive decisions of any associated late work panels.

F16.2.1.2R A field board shall have no other terms of reference.

F16.2.1.3R A field board shall have as its membership:

- a the Executive Dean, or authorised nominee, of the faculty having academic responsibility for the field (chair)
- b the field leader
- c the module leader, or nominee, for all modules within the jurisdiction of the board under consideration at the meeting
- d the field external examiner(s) responsible for modules within the jurisdiction of the board under consideration at the meeting
- e the modular scheme director(s) or equivalent(s) from the faculty having academic responsibility for the field
- f representation, as appropriate, from partner international and/or UWE Federation partners

F16.2.1.4R The board may have in attendance such other persons external to the University as may be designated by the Executive Dean of faculty to assist the board with assessment of professional practice modules under the jurisdiction of the board and such other persons as may be designated by the Executive Dean of faculty to assist the board in the exercise of its responsibilities.

F16.2.1.5R The quorum shall be two thirds of the members eligible to attend in categories a to e above.

F16.2.1.6R The secretary to the field board shall be the Faculty Academic Registrar, or designated nominee.

F16.2.1.7R The Academic Registrar of the University, or nominee, may attend any field board.

F16.2.1.8P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

F16.2.2 Award Boards

F16.2.2.1R An award board is responsible for determining for all awards within a faculty's modular scheme:

- a recommendations for named awards within the jurisdiction of the board
- b eligibility of a student for an interim, default or other award within the jurisdiction of the board including university unnamed awards
- c the effect of any extenuating circumstances on the performance of a student in relation to an award or to progression within an award
- d the progression of a student to further study on an award
- e the classification for honours or any other differential level of an award as provided for in the Academic Regulations taking account of a student's overall assessment profile;

- f whether a student has satisfied any additional requirements as specified for awards carrying professional recognition or accreditation for employment or practice
- g action, including imposition of any penalty as permitted by the Academic Regulations, where a student has committed an assessment offence
- h whether, in the case of students who have not passed more than 50% of the credits presented to the board, to permit them to enrol on more than 150 credits at any one time at their next enrolment
- i any matters arising from consideration of assessment practice and data within the board's jurisdiction which it wishes to draw to the attention of appropriate bodies.

F16.2.2.2R An award board shall have no other terms of reference.

F16.2.2.3R An award board shall have as its membership:

- a the Executive Dean, or authorised nominee, of the faculty holding academic responsibility for the modular scheme (chair)
- b the modular scheme director(s) responsible for the group of awards under consideration by the board
- c award leaders, or authorised nominees, for awards within the modular scheme as are under consideration by the board
- d the chief external examiner to the modular scheme
- e for awards carrying professional recognition or accreditation, such other external examiners as are approved to represent the relevant professional body(ies) for awards under consideration by the board
- f representation, as appropriate, from partner international and/or UWE Federation partners

F16.2.2.4R The board may have in attendance, such other persons as may be designated by the Executive Dean of faculty to assist the board in the exercise of its responsibilities.

F16.2.2.5R The quorum shall be two thirds of the members eligible to attend in categories a to e above.

F16.2.2.6R The secretary to the award board shall be the Faculty Academic Registrar or authorised nominee.

F16.2.2.7R The Academic Registrar, or nominee, may attend any award board.

F16.2.2.8R Having regard to the standard of the award and the student's overall profile of assessment an award board may exercise its discretion as permitted under the assessment regulations in recommending an award to a student

F16.2.2.9P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

F16.3 Non Modular/Linear Awards : Examining Boards

F16.3.1R An examining board shall be responsible for determining:

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

F16.3.2R An examining board shall have no other terms of reference.

F16.3.3R The composition of an examining board shall be:

- i. the Executive Dean of the faculty, or his or her nominee
- ii. the award leader
- iii. the module or unit of study leaders (or equivalent)
- iv. the chief external examiner and all other external examiners appointed
- v. to the award

in attendance, such other persons associated with the award as may be designated by the Executive Dean of faculty.

F17 **EXTERNAL EXAMINERS**

Definition: An examiner who is not a member of the University staff whose primary duty is to ensure that the academic standards of UWE awards are comparable to similar awards in other UK universities, and that examinations and other assessments are fair and conducted in accordance with university regulations and procedures

- F17.1R** At least one external examiner shall be associated with the assessment of each award of the University. This Regulation does not apply to honorary degrees of the University
- F17.2R** The Academic Board shall establish procedures relating to the selection, approval, appointment, roles and responsibilities of external examiners
- F17.3P** All appointments of external examiners shall be approved by the Academic Board in accordance with arrangements which the Board shall make.
- F17.4P** The University requires external examiners to judge students impartially for assessment, to ensure that approved assessment regulations are applied and that assessment and awards are at a standard comparable with other awards in the United Kingdom. No recommendation to the University for the grant of an award will be valid without the written consent of the external examiner(s) whose appointment(s) cover that award. External examiners are required to inform the Chair of the examining board if they know any candidate personally and to withdraw from that part of the meeting of the board where that candidate is being considered.
- F17.5P** External examiners' roles and responsibilities differ depending on whether they are appointed to schemes and fields (i.e. offered under the University Modular Framework) or to non-modular programmes.
- F17.6P** External examiner appointments will normally run from 1 October to 30 September. Where a faculty wishes to propose an appointment which breaches this norm, it must make a case for an exception to be approved. Arrangements for the scrutiny of nominations for the appointment of new examiners should be in place in order to allow the new examiners to take up their appointments on or before the retirement of their predecessors. The term of office of external examiners should be such as to ensure that they remain available after the last assessments with which they are to be associated in order to deal with any subsequent reviews of decisions. The examiner's term of office will normally be four years, but may be longer where, for example, continuous assessment is involved from an early stage or, in the case of new programmes, where the first cohort will not complete within the term of the appointment. Appointments shall not exceed five years in total except in exceptional circumstances. Where a faculty wishes to propose an appointment which breaches this norm, it must make a case for an exception to be approved.
- F17.7P** In approving the appointment of external examiners the Academic Board will seek to ensure that they will be competent and impartial, and that the relevant external examining team as a whole maintains an appropriate balance and diversity in order to ensure that students are fairly assessed.
- F17.8P** External examiners should not normally hold more than the equivalent of two

substantial appointments at the same time. Where a faculty wishes to propose an appointment which breaches this norm, for example in a subject area in which there are few eligible qualified people from whom to select, it must make a case for an exception to be approved. The total examining workload of the nominee should be compatible with the role and duties required.

F17.9P In order to protect their independence, external examiners should not, immediately prior to or during their term of office, undertake any duties in relation to the scheme, field or award incompatible with the objectivity of external examining.

F17.10P An external examiner's academic and/or professional qualifications and expertise should be appropriate to the scheme, field or award to be examined.

F17.11P An external examiner should have the ability to command the respect of colleagues and have appropriate standing, expertise and experience to maintain comparability of standards. Appropriate indicators are:

- i the present (or, if retired, last) post and place of work;
- ii the range and scope of experience across higher education or the professions;
- iii current and recent active involvement in teaching and assessment, research, scholarly, and/or professional activities relevant to the area concerned.

F17.12P An external examiner should have enough recent external examining or comparable related experience to indicate competence in assessing students at the required level.

F17.13P External examiners shall be drawn from a wide variety of institutional/professional contexts and traditions in order that the assessment process benefits from wide-ranging external scrutiny. Normally, it shall not be permitted to:

- i appoint more than one examiner from the same institution in the team of external examiners, except in a complex scheme or field, involving a very large number of discrete subject areas or awards
- ii appoint reciprocal external examining between schemes, fields, awards or faculties in two institutions
- iii replace an external examiner by an individual from the same institution
- iv appoint an external examiner from an institution which has been the source of examiners in that programme, subject or award area in the recent past (normally five years)
- v appoint as an external examiner an ex member of staff of the University until at least 5 years after the end of his or her employment by the University.

F17.14P External examiners should be able to exercise impartial judgement. They should not therefore have recent close involvement with the institution or

with a candidate which might compromise objectivity.

F17.15R

External examiners shall:

- i be sent all necessary information and materials relating to their role and responsibilities and the University's requirements
- ii as required by their specific responsibilities, judge students impartially for assessment without being influenced by previous association with the University, its staff, or any of the students
- iii as required by their specific responsibilities, compare the performance of students with information available on the assessment of students elsewhere in higher education and/or with the standards expected by the appropriate professions
- iv be knowledgeable about and competent in assessing student achievement in higher education at levels relevant to the subjects and awards to which their appointments relate
- v have broad and current knowledge and relevant expertise in the area of work related to their appointment

F17.16R

External examiners shall report annually in writing to the Vice-Chancellor of the University on the conduct of the assessments with which they have been involved and on related matters taking account of the University's requirements for such reports as determined by the Academic Board

F17.17P

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

F17.18P

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

F17.19R

The appointment of an external examiner may be terminated by the University at its sole discretion if the external examiner has not fulfilled his or her duties in a manner consistent with the standards required by the University

F17.20

Chief External Examiners

Definition : a chief external examiner will be a person with sufficient external examining experience to take an overview of a whole scheme

F17.20.1R

A chief external examiner shall be appointed to each named modular scheme. A chief external examiner shall not have responsibility for any field in that modular scheme or in any other modular scheme.

F17.20.2P

External examiners appointed to a faculty modular scheme are chief external examiners. Separate chief external examiners are normally appointed for each faculty modular scheme and the Joint Honours Scheme. Chief external examiners attend award boards where recommendations on Honours students'

eligibility for awards of the University are made.

F17.20.3R Chief external examiners shall:

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

F17.20.4R Exceptionally, a chief external examiner, assisted as necessary by another examiner of her or his choosing, may conduct a viva voce examination to assist an award board in determining classification for honours or other differential level of an award. At the discretion of the Executive Dean of faculty, a field examiner approved by a professional body to have oversight of standards of a professionally recognised or accredited award may be present at the examination.

F17.20.5R A chief external examiner's annual report shall refer to the operation of the assessment process for the modular scheme as a whole.

F17.20.6P No external examiner may hold appointment simultaneously as a chief external examiner and as a field external examiner.

F17.20.7P Link to <http://acreg.uwe.ac.uk/> (guidance on the appointment and role of external examiners)

F17.21 Field External Examiners

F17.21.1R Field external examiners shall be appointed with responsibility for a module or specified group of modules within a named field.

F17.21.2P External examiners appointed to a field are field examiners. They have

responsibility for a defined subject area and specified modules within a named field. Field external examiners attend field boards where decisions on module assessment and the award of credit are made.

F17.21.3R

Field external examiners shall:

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

F17.21.4P

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

F17.21.5P

Where the scheme is associated with or may lead to a professional award at least one practitioner with appropriate experience and approved as necessary by the relevant professional body should be included in the team.

F17.21.6P

The phasing of appointments to the team should be structured to ensure continuity.

F17.21.7R

The period of appointment for external examiners shall be for a maximum of

four years although an extension for a fourth year may be possible in certain circumstances. No individual may be appointed to serve again within five years of the end of the previous period of appointment.

F17.21.8R Only as required by a professional body and as agreed by the University, a field external examiner shall exceptionally be permitted oversight of one or more awards carrying professional accreditation or recognition within a modular scheme in addition to responsibilities relating to a field.

F17.21.9R Rights and responsibilities of field external examiners shall be interpreted to include scrutiny of a sample of work, other than professional competencies assessed by an appropriately qualified practitioner, from each module for which they are responsible within the field to which they are appointed.

F17.21.10R Field external examiners' annual reports shall refer to the specified field and modules for which the examiner is responsible. Where such examiners are approved to exercise oversight of a professionally accredited or recognised award they may comment on the academic standards achieved in the professionally accredited or recognised award as a whole.

F17.21.11P Link to <http://acreg.uwe.ac.uk/> (guidance on the appointment and role of external examiners and the external examiners' handbook)

F17.22 Non modular/linear awards

F17.22.1R For non-modular (or linear) awards, external examiners are appointed to an award and are responsible for ensuring that assessment arrangements are properly undertaken at subject and award level. All external examiners attend the award examining board. One of the external examiners will be appointed as the chief external examiner for the award.

F17.22.2P For non-modular (or linear) awards, external examiners are appointed to an award and are responsible for ensuring that assessment arrangements are properly undertaken at subject and award level. All external examiners attend the award examining board. One of the external examiners will be appointed as the chief external examiner for the award.

F17.22.3P The chief external examiner for a non-modular (linear) award shall:

- i ensure that all assessments are conducted in accordance with the assessment regulations for the programme
- ii ensure that the responsibilities of the examining board relating to a student's eligibility for an award are fully and properly discharged in accordance with the assessment regulations
- iii may exceptionally, as permitted by the assessment regulations and the Academic Regulations conduct a viva voce examination of a candidate
- iv attend the meetings of the examining board to which he or she is appointed at which decisions on recommendations for award(s) are made and ensure that those recommendations have been reached by means consistent with the University's requirements and with normal practice in higher education
- v participate as required in any reviews of decisions about

- individual students' awards taken during the examiner's period of office
- vi have access to relevant assessed work where necessary for the discharge of these responsibilities
- vii report to the University on the effectiveness of the assessment and the conduct of the examining board and any matters arising in accordance with the University's requirements for such reports
- viii report to the Vice-Chancellor on any matters of serious concern arising from the assessment which put at risk the standard of the award(s).

F17.22.4P The role and responsibilities of the chief external examiner for the research degrees examining board are set down in section K below.

F17.22.5P External examiners for non-modular (linear) awards shall, for subject area for which they have been appointed:

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

F17.22.6P There should be an appropriate balance and expertise in the team of external examiners appointed to an award, both in terms of subject expertise and examining experience and between academic and professional practitioners.

The range of academic perspectives necessary to the programme should be represented in the external examining team. The external examining experience in the team as a whole must be sufficient and wide ranging.

F17.22.7P There should be a balance between individuals from institutions with different academic traditions.

F17.22.8P Where the programme is associated with or may lead to a professional award at least one practitioner with appropriate experience and approved as necessary by the relevant professional body should be included in the team.

F17.22.9P The phasing of appointments to the team should be structured to ensure continuity.

F18 EXTERNAL ADVISORS

F18.1P External advisors may be appointed by faculties for a variety of purposes, such as monitoring and evaluation of schemes and awards, internal academic review and audit, approval committees for modules or units of study, management committees. In some instances, specified in the relevant Academic Regulations, the University has determined the status and remit of an external advisors. Faculties may choose to involve external advisors in other circumstances either as full members of appropriate faculty committee(s) or by inviting their contribution, either in person or by correspondence.

F18.2P External advisors involved in an approval committee for modules or units of study will be expected to contribute through advice and commentary to curriculum developments within the faculty with particular reference to the approval of new modules or units of study and proposed significant changes affecting approved modules, units of study, awards and schemes. Having regard, where appropriate, for professional body requirements for curriculum content and development, external advisors will be expected to comment on:

- i. the content of individual awards and modules or units of study
- ii. their academic currency
- iii. the proposed credit level and value of modules or units of study
- iv. the use made of appropriate QAA benchmarking statements in subject areas
- v. the impact of proposed new modules or units of study and changes in wider field, award and scheme developments.

F18.3P **Criteria for Appointment** – an external advisor shall normally be:

- i. a current or former, approved External Examiner of the University (except in the case of academic review where current external examiners cannot be used); or
- ii. an individual with relevant academic or practitioner standing and experience evidenced by experience of participation in validation of awards, scheme or award design and curriculum development at the University or other UK institutions of higher education.

An external advisor shall have:

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

F18.4P **Appointment process** - Faculties shall be responsible for appointing and replacing external advisors taking account of the requirements of this procedure. External advisors shall normally be appointed for three years from 1 October to 30 September. The maximum period of appointment shall be five years.

F18.5P **Fees** - the faculty making the appointment shall be responsible for paying such fees and expenses as are determined by the University. Reimbursement of expenses shall be in accordance with University guidelines relating to expenses payable to external examiners.

F18.6P **Annual report** - as part of its monitoring and evaluation report, the faculty will be required to report annually to the Quality and Standards Committee on consultations undertaken with external advisors in relation to the approval of modules and units of study.

G RESULTS AND AWARDS

G1 UNDERGRADUATE AWARDS: CLASSIFICATION FOR HONOURS

G1.1R The classification of a degree with honours is determined by the weighted mean of the best module marks obtained for the minimum number of credits required at levels 2 and 3 (and level M where specified) excluding any modules where the assessed module outcome is not expressed as a percentage.

G1.2R The degree classification for the 360 credit honours degree is based upon the best marks achieved for 100 credits at level 3 and the next best marks achieved for 100 credits at level 2 or above (including any remaining level 3 marks). Marks achieved for the best 100 level 3 credits are weighted three times the value of the marks for the 100 credits at level 2 (or any remaining at level 3). Where the credit size of a module which is counted towards the 100 credit set of best marks would give a credit total greater than 100, only the relevant portion of credit needed to complete the 100 credit total is counted. The unused credit may be counted towards the second 100 credit set of best marks.

G1.3R Classification may be based on less than 100 credits at level 3 and level 2 and above where some of the qualifying credits have been achieved on modules assessed as passed/not passed only.

G1.4R The honours degree classification for students who have commenced study on the basis of Accredited Learning for learning achieved under the Academic Regulations which is more than the two thirds of the credit requirement for the award shall be based upon 120 credits, with the best marks achieved for 100 credits at level 3 being weighted at three times the value of the marks for the remaining 20 credits.

G1.5R Where undergraduate awards require 480 credits, excluding placement credit, to meet professional body requirements, the honours degree classification is based upon the best marks achieved for the 200 credits required at level 3 or above and the best marks achieved for 100 credits at level 2 or above. The marks for credits achieved for the 200 credits at level 3 are weighted three times the value of those for the 100 credits at level 2 or above (including any remaining level 3 marks).

G1.6R Degree classifications are:

70% or more	First Class
60% to less than 70%	Second Class, Division 1
50% to less than 60%	Second Class, Division 2
40% to less than 50%	Third Class

G1.7R An award board may at its discretion and having regard to a student's overall profile of assessment under the Academic Regulations award one class of degree higher than that determined by the method set out above. Students who meet the requirements for an award including the specified amount and level of credit shall not be awarded a class of degree lower than that indicated by the method set out above.

- G1.8 Undergraduate Awards : Differential Levels of Awards**
- G1.8.1R** Differential levels of undergraduate awards other than honours degrees are limited to pass and distinction.
- G1.8.2R** An integrated Bachelor/Masters degree is not classified. It is awarded with distinction across 220 credits at level 3 or above, such that (i) an average of 75% is achieved on all level M modules to at least the minimum required for the award, and (ii) an average of 70% or more is achieved across level 3 modules required to make up the remaining credits to a total of 220. It is awarded with merit for performance across 220 credits at level 3 or above, such that (i) an average of 65% is achieved on all level M modules to at least the minimum required for the award, and (ii) an average of 60% or more is achieved across level 3 modules required to make up the remaining credits to a total of 220.
- G1.8.3R** A Degree with distinction shall be awarded where an average of 70% or more is achieved across any combination of modules at level 3 which are valid for the award and which total 60 credits or more.
- G1.8.4R** Students registered for a named honours award who fail to meet the requirements for an honours award but meet the requirements of G1.8.3 above shall be eligible for a Degree with distinction.
- G1.8.5R** A Diploma of Higher Education with distinction shall be awarded where an average of 70% or more is achieved across any combination of modules at level 2 or above which are valid for the award and total 100 credits or more.
- G1.8.6R** A Foundation Degree with distinction shall be awarded when an average of 70% or more is achieved across any combination of modules at level 2 or above which are valid for the award and total 100 credits or more.
- G1.8.7R** A Foundation Degree with merit shall be awarded when an average of 55% or more is achieved across any combination of modules at level 2 or above which are valid for the award and total 100 credits or more.
- G1.8.8R** A Certificate of Higher Education with distinction shall be awarded where an average of 70% or more is achieved across any combination of modules at level 1 or above which are valid for the award and total 100 credits or more.
- G1.8.9R** For a Certificate of Higher Education or a Diploma of Higher Education an award board may at its discretion and having regard to a student's overall profile of assessment under the Academic Regulations award on level of differential award higher than that determined by the method set out above (i.e. a distinction).
- G1.8.10R** Students who meet the requirements for an award including the specified amount and level of credit shall not be awarded a differential level of award lower than that indicated by the methods set out above.
- G1.8.11R** The Certificate, Certificate in Professional Development, Diploma in Professional Studies, Higher National Certificate and the Higher National Diploma are not awarded with distinction.
- G1.8.12R** Differential levels of award other than distinction that are agreed by the

University upon request by a professional or validating body shall be set out in the approved programme specification.

G1.8.13R For the awards of Higher National Certificate or Higher National Diploma, module marks expressed as percentages shall be designated as:

70% or more – Distinction
55% to less than 70% - Merit
40% to less than 55% - Pass
less than 40% - Fail

G1.8.14R A Graduate Certificate with distinction is awarded where credit in all modules at level 3 or above is achieved within the first attempt and where an average of at least 70% is achieved across any combination of modules at level 3 or above totalling 40 credits or more. Such modules must have been studied and assessed under the Academic Regulations.

G1.8.15R A Graduate Diploma with distinction is awarded where credit in all modules at level 3 or above is achieved within the first attempt and where an average of at least 70% is achieved across any combination of modules at level 3 or above totalling 80 credits or more. Such modules must have been studied and assessed under the Academic Regulations.

G1.9 Postgraduate Awards : Differential Levels of Awards

G1.9.1R Differential achievement on postgraduate awards shall be expressed as pass, merit and distinction, other than where specific designations are requested by a professional or statutory body and are approved by the University. Such other designations shall be as set out in the approved programme specification.

G1.9.2R A Postgraduate Certificate with merit shall be awarded where credit has been achieved in all level M modules within the first attempt and not less than 65% has been achieved as a weighted average of level M modules amounting to at least 40 credits.

G1.9.3R A Postgraduate Certificate with distinction shall be awarded where credit has been achieved in all level M modules within the first attempt and not less than 75% has been achieved as a weighted average of level M modules amounting to at least 40 credits.

G1.9.4R A Postgraduate Diploma with merit shall be awarded where credit has been achieved in all level M modules within the first attempt and not less than 65% has been achieved as a weighted average of level M modules amounting to at least 80 credits.

G1.9.5R A Postgraduate Diploma with distinction shall be awarded where credit has been achieved in all level M modules within the first attempt and not less than 75% has been achieved as a weighted average of level M modules amounting to at least 80 credits.

G.1.9.6R A Masters Degree with merit shall be awarded where credit has been achieved in all level M modules within the first attempt and where not less than 65% has been achieved in the masters dissertation and not less than 65% as a weighted

average of level M modules, amounting to at least 120 credits.

G1.9.7R A Masters Degree with distinction shall be awarded where credit has been achieved in all level M modules within the first attempt and where not less than 75% has been achieved in the masters dissertation and not less than 75% as a weighted average of level M modules, amounting to at least 120 credits.

G1.9.8P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

G2 AWARD BOARD DISCRETION

Definition: the power of an examining board to determine a higher classification for an individual student than the numerical outcomes suggests

G2.1R An award board may recommend an award to students who have not achieved the credit specified for the award where the board has accepted their extenuating circumstances and they have achieved at least 80% of the credit required for the award and subject to students having met professional body requirements were appropriate.

G2.2R Having regard to a student's overall profile of assessment outcomes an award board may award one class or other differential level of award higher than that resulting from the methods for determining classification for honours or other differential level of award. Students who meet the requirements for an award including the specified amount and level of credit shall not be awarded a class or other differential level of award lower than that resulting from the approved method for the award.

G2.3R An award board may not override a student's credit total as determined by field boards except where it decides on the basis of demonstrable and valid evidence of professional unsuitability to recommend that the student is not eligible for a professionally accredited or recognised award.

G2.4R Where an award board recommends that an award is not made to students on grounds of professional unsuitability, and providing the credit requirements have been met in full, students shall be entitled to receive a default named award as stated in the approved programme specification.

G2.5P Link to <http://acreg.uwe.ac.uk/> (guidance to examining boards)

G3 EXTENUATING CIRCUMSTANCES

Definition: extenuating circumstances are normally defined as circumstances which are unexpected, significantly disruptive and beyond a student's control, and which may have affected his/her academic performance.

G3.1R The Academic Board shall determine procedures permitting students to submit evidence of extenuating circumstances to the appropriate examining board where such circumstances are believed by the student to have affected performance in an assessment or the ability to attend or complete required assessments

G3.2R Where such information is not supplied, or not supplied in the proper manner, or is deemed by the examining board to be inadmissible, any subsequent application by the student for review of an examining board's decision may be

rejected if based on claimed extenuating circumstances

G3.3R A student may not request consideration of extenuating circumstances relating to performance in assessment or attendance for assessment for an unnamed award of the university or where the student is enrolled for a module but not for an award of the University nor for the award of credit by a field board for assessed experiential learning, nor will any account be taken of any extenuating circumstances submitted

G3.4R If an examining board determines that a student's absence or failure to submit work or that a student's performance in all or part of an assessment for an award was adversely affected by illness or other valid cause for which evidence acceptable to the examining board has been submitted by the student at the proper time and in the proper manner, it shall, subject to the assessment regulations for the award, act as follows:

- a permit a student to continue on an award despite a failure in one or more modules or similar unit of study, subject to the student satisfying any specific requirements, including any pre-requisites, for the award
- b permit the outcome of a referral or a further attempt as permitted by the assessment regulations for the award to be without restriction for the purpose of determining honours degree classification or other differential level of the award;
- c where a referral is inappropriate, permit a student to repeat the module or similar unit of study
- d accept performance which fails to achieve a pass in a module or similar unit of study for the purpose of recommending a named award, subject to the student having met the minimum requirements including the minimum required credit for the award as stated in the assessment regulations for that award
- e recommend an award in aegrotat form where it has insufficient evidence of the student's achievements to recommend the award for which the student was a candidate and where an intermediate award would be inappropriate, but where it is satisfied that but for illness or other valid cause the student would have reached the standard required

G3.5R Before a recommendation under (e) above is submitted to the University and other than in the case of posthumous awards, the student must have signified that he or she is willing to accept the award and understands that this waives the right to be assessed under (b) above

G3.6R Award Boards are responsible for consideration of requests submitted by students for extenuating circumstances relating to performance in or work submitted for assessment. An award board may determine that a student's performance on one or more components of assessment of a module was adversely affected by illness or other valid cause for which acceptable evidence has been submitted to the award board at the required time.

G3.7R An award board may:

- a. permit students a further attempt at a module after the second attempt
- b. permit the mark from a referral or a second or further attempt to be

uncapped in determining the classification of a degree with honours or any other form of differential level of an award

- c. waive forfeiture of the second assessment opportunity where component A has not been completed and no assessment for component B has been submitted
- d. accept failure to pass module(s) in recommending eligibility for a named award subject to students obtaining at least 80% of the credit requirements for the award⁴

G3.8P When an award board makes a decision on a student's assessment it shall take account of any circumstances referred to it by the student concerned in accordance with the Academic Regulations. An award board shall only consider matters of illness, hardship, personal problems or other disability if requested to do so by personal application from the student in accordance with this procedure. Field boards are not permitted to consider extenuating circumstances relating to individual candidates.

G3.9R Where an award board recommends an award under F3.7 above, and students have not exhausted all the assessment opportunities and/or attempts for the module(s) valid for the award, they have the right to decline the award and to exercise the right to take the further assessment opportunities and/or attempts.

G3.10R The decision of an award board to recommend students for awards where students have failed a module does not mean that students are awarded credit for the failed module.

G3.11P When a field board makes a decision on the assessment of students in modules it shall take account of any circumstances relating to the delivery or assessment of a module adversely affecting the performance of a whole cohort or a particular sub-group of students on a component of assessment or the module as a whole. A field board may consider such matters when requested to do so by members of staff, students enrolled on the module in question or as a consequence of a report received from examination invigilators.

G3.12 Non-modular (linear) programmes

G3.12.1P When an examining board takes a decision on a student's assessment it shall take account of any circumstances referred to it by the student concerned in accordance with the Academic Regulations. An examining board shall only consider matters of illness, hardship, personal problems or other disability if requested to do so by personal application from the student in accordance with this procedure. The examining board shall also take account of any circumstances relating to the delivery or assessment of a module or unit of study adversely affecting the performance of a whole cohort or a particular sub-group of students on a component of assessment or the module or unit of study as a whole. An examining board may consider such matters when requested to do so by members of staff, students enrolled on the module or unit of study in question or as a consequence of a report received from examination invigilators.

G3.13 All examining boards: submissions by personal application by a

⁴ Award Boards should also consider the implications of accepting failure in core or compulsory modules, particularly for awards that lead to professional qualifications or have professional accreditation or recognition, to ensure that the student is not disadvantaged by applying this regulation.

student

- G3.13.1P** A student who is of the opinion that his or her performance in an examination or in other assessed work, or his or her ability to attend an examination, or to comply with a regulation governing the award or the assessment, has been adversely affected by illness, personal problems, disability or other circumstances may refer those circumstances to the examining board and request the examining board to exercise its discretion, as permitted by the assessment regulations in his or her favour.
- G3.13.2P** The student shall explain the circumstances fully, in writing, and state in what way, and between what dates, they affected him or her. The statement shall be accompanied by any relevant documentary evidence.
- G3.13.3P** Where illness or disability is the basis of the request, a medical certificate or certificate from a qualified practitioner, covering the period of the examination(s) or submission of the assessable work, must normally be produced. A certificate must also normally be produced if the illness or disability has lasted for more than seven days. If the illness or disability is of a long term nature there must also be evidence to show that the symptoms were exceptionally acute and were a material factor affecting performance at the relevant time.
- G3.13.4P** The request to the examining board shall be submitted as soon as practicable and not later than five working days after the particular assessment concerned. Where more than one component of assessment is affected it shall be submitted not later than five working days after the last assessment affected. The request shall be submitted in a sealed envelope addressed to the faculty academic registrar of the faculty responsible for the award on which the student is registered, or in the case of the research degrees examining board to the Academic Registrar, marked with the name of the award and the words 'extenuating circumstances'. The examining board shall have discretion to consider requests submitted later so long as they are received by the faculty academic registrar or Academic Registrar before the start of the relevant meeting of the examining board.
- G3.13.5P** Requests for consideration of extenuating circumstances will not be carried forward between assessment opportunities unless the student specifically requests this. Requests for consideration of extenuating circumstances will not normally be considered retrospectively.
- G3.13.6P** Requests shall be considered by a small panel (the 'Extenuating Circumstances Panel'), consisting of at least three members of staff, set up for that purpose by the faculty, or equivalent, responsible for the award. The panel may, if appropriate, request and receive reports from tutors and interview students in order to allow it to clarify the extenuating circumstances. The panel shall make recommendations to the examining board on the action to be taken on the extenuating circumstances submitted. The examining board shall normally be presented with a written summary of the details of students' extenuating circumstances.
- G3.13.7P** The examining board shall judge what effect, if any, the circumstances submitted have had on the student's performance. It may exercise such discretion as is allowed within University regulations and the assessment

regulations for the award having taken account of any significant adverse effect on the student's performance. The discretion available to an examining board may be limited for certain awards where a professional, accrediting or statutory body has particular requirements.

G3.14 All examining boards: submissions affecting a whole cohort

G3.14.1P All submissions concerning the whole cohort or a particular sub group of students shall be considered by the field or examining board. Normally details should be submitted in writing to the faculty academic registrar of the faculty responsible for the module or unit of study or equivalent not less than five working days before the meeting of the field or examining board, but the board shall have discretion to consider submissions received verbally and/or within five working days.

G4 VIVA VOCE ASSESSMENT

Definition: an examination (normally oral) which may be used to help determine a candidate's overall result in addition to the normal methods of assessment.

G4.1R External examiners may exceptionally and as provided in the assessment regulations examine a student viva voce

G4.2R Where the use of viva voce assessment is not provided for in the assessment regulations this form of assessment may only be used to determine difficult or borderline cases. In such cases, the viva voce assessment shall not lower a student's marks

G5 ALTERNATIVE ASSESSMENT ARRANGEMENTS FOR STUDENTS WITH DISABILITIES

G5.1R Where a student is unable, through disability or specific learning difficulty as documented in accordance with procedures approved by the Academic Board, to be assessed in the way specified for the module or unit of study, the examiners may in advance of offering the module or unit of study vary the medium and way as appropriate, having regard to the objectives of the module or unit of study and award and the need for fairness and the maintenance of standards

G5.2R The Academic Board shall approve guidance to ensure consistent approaches to the provision of special arrangements for the assessment of students with disabilities or specific learning difficulties

G5.3R Adapted assessment arrangements shall be provided where necessary for students with physical and sensory disabilities, with specific learning difficulties (including dyslexia), with psychological problems or with chronic medical conditions.

G5.4R In cases where there is no clear physical or sensory disability the candidate shall provide a doctor's letter or psychologist's report to support his or her request for adapted arrangements.

G5.5P Students are required to make early requests for alternative examination arrangements. The University cannot guarantee to process requests unless made before the end of the term preceding the examinations.

- G5.6P** The arrangements may involve extra time, special room arrangements, the use of an amanuensis or word processors, question papers in alternative format or other appropriate support.
- G5.7P** Details of the arrangements for any individual shall be agreed between the faculty and the Disability Resource Centre after discussions with the student. Existing university practice and experiences shall be taken into account, as shall the individual's requirements and precedents in previous educational settings.
- G5.8P** Students who have a medical certificate to cover absence from the University with an infectious illness should not be admitted to any examination room; they should be advised to submit Extenuating Circumstances in accordance with G3 above.
- G5.9P** Students who have a medical certificate as above, but which recommends that they should be allowed to sit their examinations in a separate room, should submit the medical evidence as quickly as possible to the Faculty Examinations Officer. However the University is not obliged to put anything in place at short notice, and staff and other students should not be placed at risk. The standard rules for the conduct of examinations shall apply to all such students (e.g. in respect of refreshments, mobile phones, personal belongings, communication, announcements etc.) Under no circumstances should an invigilator vary the agreed arrangements for any candidate requiring alternative arrangements without first consulting the University's Central Examinations Officer.
- G5.10P** Students who arrive at an examination and admit to having, or suspecting that they have, an infectious illness should not be admitted to the examination room as a precautionary measure and in fairness to other students and staff. They should be advised to obtain a medical certificate and submit Extenuating Circumstances in accordance with G3 above.

G6 ASSESSMENT OFFENCES

Definition : Passing off the work of others as one's own including copying (reproducing or imitating), cheating, collusion (agreement to deceive, using words or ideas of colleagues or other students and passing them off as your own), plagiarism and other breaches of assessment or other examination regulations or procedures. Cheating, collusion and plagiarism are the use of unfair means of presenting work for assessment or of aiding another student to do so. Also preventing or attempting to prevent another student from being able to be assessed properly.

G6.1 PRINCIPLES

- G6.1.1** The University values a culture of honest and mutual trust (academic integrity) and expects all members of the University to respect and uphold these core values.
- G6.1.2** In all matters relating to assessment offences the University and its staff shall have regard to the principles of natural justice, the policies of the University and shall ensure that the interests of any student alleged to have committed an assessment offence are reasonably and fairly taken into account.

- G6.1.3** It is an academic offence for a candidate to commit any act designed to obtain for himself or herself an unfair advantage with a view to achieving a higher grade or mark than he or she would otherwise secure.
- G6.2R** The Academic Board shall determine procedures for investigating allegations of assessment offences by students. These shall make provision for the:
- a allegation to be investigated
 - b student to be invited to respond to the allegation before an outcome is determined
 - c outcome to be reported to the examining board
 - d determination of penalties and other necessary action
 - e determination of the circumstances in which the Executive Dean may impose penalties or take other action and those in which the examining board may do so
- G6.3R** Subject to any specific requirements of external validating or professional bodies, where a student is found to have committed an assessment offence the examining board or Executive Dean must decide either to take no further action or to impose an appropriate penalty which may include failing the student and determining whether or not the student shall be permitted to be reassessed
- G6.4P** A person who considers that a student has committed an assessment offence shall, as soon as possible, report the allegation in detail in writing to the Executive Dean of the faculty responsible for the award on which the student is registered, or responsible for the module or unit of study where the student is not registered for an award.
- G6.5P** The Executive Dean shall seek to establish the nature and extent of the offence and in doing so he or she shall have regard to contribution of the assessment element or component to the assessment of the whole module or unit of study and whether the student has previously been found to have committed an assessment offence.
- G6.7P** Using the procedures prescribed by the Academic Registrar, the Executive Dean shall notify the student of the nature and details of the allegation, the extent of the offence, and the procedure to be followed.
- G6.8P** The student shall have five working days from the date of the notification to indicate to the Executive Dean whether he or she admits the offence, and in the case of admission, whether he or she wishes to exercise the right to appear in person before the Executive Dean.
- G6.9P** The Executive Dean shall give any student who so wishes the opportunity to discuss the nature and potential implications of the alleged assessment offence.
- G6.10P** Where the Executive Dean finds that the offence is a first and lesser offence, and taking into account any written or oral statement by the student, he or she shall decide to:
- i take no further action; or
 - ii reduce the mark awarded for the relevant element or component of assessment; or

- iii reduce the mark awarded for the relevant element or component of assessment to zero.

G6.11P The Executive Dean shall, within three working days, report the decision in writing to the student and issue an appropriate warning.

G6.12P Within three working days of the date of the notification of the decision by the Executive Dean the student shall indicate in writing to the Executive Dean whether or not he or she wishes to exercise the right to challenge the decision. In this case the Executive Dean shall report the offence and the penalty to the field board (or examining board for a non-modular programme), which shall confirm or amend the penalty in accordance with G6.23P below. No response from the student shall be deemed to be acceptance of the decision.

G6.13P The Executive Dean shall make a report on the nature and extent of assessment offences and recommend any penalties to the appropriate field board (or examining board for a non-modular programme).

G6.14P Where the Executive Dean finds that the offence is serious or is a second or subsequent offence committed by the student, he or she shall report the findings to the field board (or examining board for a non-modular programme) which shall decide on any penalty in accordance with G6.23P below

G6.15P Where the student does not admit the offence, the Executive Dean shall invite two members of staff not concerned with the allegation to join him or her in an investigating panel. Where possible the membership of the group shall include a member of staff from the field of the module or unit of study about which the allegation is made. The purpose of the investigation is to re-consider the evidence, establish whether an offence occurred and, if so, its nature and effect, and the appropriateness of any penalties to be imposed.

G6.16P The student shall be invited to meet the investigating panel and to submit a further written statement and to speak to the investigators. He or she may be accompanied by a friend who may speak on his or her behalf. The Executive Dean shall give such notice of the meeting as he or she considers reasonable.

G6.17P The Executive Dean shall require the person(s) making the allegation to attend a meeting of the investigating group to explain the allegations. At the discretion of the Executive Dean, the identity of the person making the allegation may be withheld from the student.

G6.18P The investigating group shall itself determine the procedure to be followed, the extent and manner of its enquiries, the admissibility of evidence, and the standard of proof to be required. Where appropriate, the investigating group shall seek the advice of the Academic Registrar.

G6.19P Where the investigating group finds that an offence has occurred and that it is a first and lesser offence, the Executive Dean shall decide to:

- i take no further action; or
- ii reduce the mark awarded for the relevant element or component of assessment; or
- iii reduce the mark awarded for the relevant element or

component of assessment to zero.

- G6.20P** The Executive Dean shall, within three working days, report the decision in writing to the student. He or she shall report any penalties imposed to the appropriate field board (or examining board for a non-modular programme).
- G6.21P** Within three working days of the date of the notification of the decision by the Executive Dean the student shall indicate in writing to the Executive Dean whether or not he or she accepts the decision. If he or she does not accept it, the Executive Dean shall report the offence and the penalty to the field board (or examining board for a non-modular programme), which shall confirm or amend the penalty in accordance with G6.23 below. No response shall be deemed to be acceptance.
- G6.22P** Where the investigating group finds that a serious offence has occurred or that this is a second or subsequent offence, it shall make a report and recommendation to the appropriate field board (or examining board for a non-modular programme).
- G6.23P** A field board which receives a report and/or recommendation from an Executive Dean or from an investigating group shall decide one of the following:
- i to take no further action; or
 - ii to reduce the mark for the relevant element or component of assessment; or
 - iii to reduce the mark awarded for the relevant element or component of assessment to zero; or
 - iv to deem the student to have failed the module or unit of study and to determine whether to permit any further attempts.
- G6.24P** The Executive Dean shall report all penalties imposed to the chair of the relevant award board. He or she shall also report to the award board any instances where more than one offence has been committed by the same student and any penalties imposed.
- G6.25P** Where an assessment offence is found to have occurred in relation to two or more modules or units of study which contribute to a student's award and taking into account any extenuating circumstances submitted by the student, the award board shall decide the action to be taken in relation to the recommendation for a particular award. It may decide one of the following:
- i to take no further action;
 - ii to vary the class of award recommended.
- G6.26P** The Executive Dean shall keep a record of any allegations of assessment offences and penalties imposed on students, and shall report each allegation and its outcome on an annual basis to the Academic Registrar.
- G6.27P** Penalties for assessment offences for students on awards validated or accredited by professional or statutory bodies may be constrained by the regulations of those bodies. This may include reporting the offence to the professional or statutory body.

G6.28P A student's rights of challenge or appeal against a decision of the examining board taken in the light of an investigation of an alleged assessment offence or offences shall only be in accordance with F7 above and its associated procedure.

G6.29P The Academic Registrar or the examining board, through the Academic Registrar, may decide that a report shall be made to the Clerk to the Board of Governors in order that the Vice-Chancellor may consider instituting disciplinary action in accordance with the Rules governing the disciplinary procedures for students.

G6.30P **Group Work and Assessment Offences** - every student who is part of a group undertaking an assignment or other piece of assessed group work is required to take, and will be deemed to have taken, individual as well as joint responsibility for all the work submitted by the group. In particular, this includes individual as well as joint responsibility for any assessment offence committed, whether by the student or any other student in the group. Any penalty applied in the event of an assessment offence will normally be applied to all members of the group. The two exceptions to the application of this penalty to all members of the group are:

- i. where a member of the group acknowledges, in writing to the Executive Dean of the faculty owning the module, that s/he has committed an assessment offence
- ii. where the offence can be shown to have been committed by (a) specific member(s) of the group responsible for those sections of the work that are the subject of an assessment offence.

In the case if these exceptions the penalty will only be applied to the member(s) of the group who have committed the assessment offence.

G6.31R The University may take copies of students' work as the University may consider necessary or expedient for the detection of assessment offences.

G6.32P Link to <http://info.uwe.ac.uk/secretariat/> (disciplinary procedures)

G7 REVIEW OF A DECISION OF AN EXAMINING BOARD

Definition – a request within specified limited grounds by a student for the outcomes of an examining board to be reconsidered

G7.1R The Academic Board shall establish procedures for the consideration of applications from candidates for review of decisions of examining boards and for the reconsideration of their decisions by examining boards where applications for review are accepted

G7.2R The only grounds for review shall be:

- a that there has been material and significant administrative error or other material irregularity such that the assessments were not conducted in accordance with the approved regulations for the module/award
- b that, on written submission from the student concerned to the Academic Registrar, the student's performance was adversely affected by illness or other factors which he or she was for valid

reasons unable to divulge before the meeting of the examining board and which could have had a bearing on the board's decision

G7.3R A request for a review of a decision of the examining board on the basis of a disagreement with the academic judgement of the examining board is not permitted

G7.4R The Academic Board shall authorise arrangements for the receipt and consideration of applications for review of a decision of an examining board. Such arrangements shall make provision for the Academic Registrar to determine whether a prima facie case for review has been established

G7.5P The application shall:

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

G7.6R Where the Academic Registrar establishes a prima facie case, the Academic Board shall authorise the Academic Registrar to require the examining board to review its decision in the light of the grounds cited in the application

G7.7P If an application meets the conditions in F7.2 above the Academic Registrar shall undertake such enquiries as necessary to establish the facts of the examining board's decision and the evidence on which it was made in the light of the relevant regulations. In the light of these enquiries the Academic registrar shall:

- i. refer the matter back to the examining board and require the examining board to review its decision in the light of the application, or
- ii. refer the application to a review panel of the Academic Board, or
- iii. determine that there is no basis on which the application can proceed.

The student shall be informed in writing of the decision.

G7.8R Where the Academic Registrar decides that further consideration of an application for review is needed, the Academic Board shall authorise the Academic Registrar to refer the application to a review panel established by Academic Board. The review panel shall be chaired by a nominee of the Vice-Chancellor. It shall have at least two and not more than four other members who shall be staff members of the Academic Board. No member of a review

panel shall consider an application in which he or she has an interest. The quorum shall be three members including the chair

- G7.9R** The review panel may decide that:
- (a) grounds for review have been established and require the examining board to review its decision in the light of those grounds, or
 - (b) the application is rejected
- G7.10R** An examining board which is required to review its original decision shall, so far as practicable, meet within seven calendar days of receipt by its chair of the requirement to do so
- G7.11P** The student shall be advised in writing of the Academic Registrar's decision.
- G7.12P** Where the matter is referred back to the examiners, the Academic Registrar may provide advice or make a recommendation on the application of the University's policies, Academic Regulations as appropriate to the case in hand.
- G7.13P** Where an application is referred to a review panel of the Academic Board, the Academic Registrar shall arrange for:
- i the student to be reminded of the assistance which can be rendered by the Students' Union
 - ii the facts of the examiners' decision and the relevant regulations to be given in writing to the review panel
 - iii a copy of the application for review to be sent to the examiners and an invitation to be made to them to submit a statement in writing to the review panel
 - iv a meeting of the review panel to take place as soon as is practicable.
- G7.14P** The review panel shall be provided with:
- i the application for review and supporting documentary evidence
 - ii all relevant regulations governing the award and its assessment
 - iii a statement of the decision of the examiners
 - iv any statement submitted on behalf of the examiners
 - v any other relevant material.
- G7.15P** Whenever practicable before the date of the meeting the student shall be provided with any statement submitted by the examiners. This shall normally be supplied not less than two working days before the meeting of the panel.
- G7.16P** The review panel members and chair shall be selected by the Academic Registrar in accordance with G7.8 above. Periodically the Vice-Chancellor shall advise the Academic Registrar of criteria for his nomination of the chair. The staff members of the Academic Board shall be drawn annually by lot into a priority list from which the Academic Registrar shall select the other members in order of priority so far as practicable. The Academic Registrar or nominee shall act as secretary.
- G7.17P** The review panel shall determine its own procedure having regard to the need to be fair to the student and to staff and examiners. The student shall be invited

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

- G7.18P** The review panel shall decide:
- i whether to refer the matter back to the examiners and require them to review their decision in the light of the application; or
 - ii to reject the application.
- G7.19P** If it decides to refer the matter back to the examiners the review panel may offer advice or a recommendation to them.
- G7.20P** The secretary shall inform the student and the examiners in writing of the panel's decision as soon as possible.
- G7.21P** An examining board which is required to reconvene shall either be reconvened in full or it shall previously have authorised a committee to act on its behalf.
- G7.22P** Examiners who are required to review their decision shall do so as soon as possible and shall notify the Academic Registrar in writing of their decision and the basis on which it was made.
- G7.23P** An application for a review of the decision of examiners reconvened under G7.9 above of this procedure shall not be permitted.
- G7.24P** There shall be no appeal against the decision of the Academic Registrar taken under G7.6R of this procedure or against the decision of an Academic Board review panel.
- G7.25P** The Academic Registrar shall arrange for the preparation of a report on the applications for review of decisions of examiners and their outcomes and on any matters related to this procedure to the Academic Board annually in a manner which maintains confidentiality.

G8 APPLICATIONS FOR REVIEW FROM STUDENTS ON PROGRAMMES OF STUDY LEADING TO AWARDS OF THE UNIVERSITY CONDUCTED OUTSIDE THE UNIVERSITY

G8.1 Students in affiliated institutions

G8.1.1R The arrangements approved by the University for each affiliated institution shall normally include procedures for the consideration by the affiliated institution of applications from students for the review of decisions of examining boards for programmes leading to awards of the University.

G8.1.2R A student on a programme of study leading to an award of the university conducted in an affiliated institution may only make an appeal to the University concerning her or his assessment after he or she has completed all the procedures concerning reviews of decisions of examining boards and appeals approved by the University as applicable to the affiliated institution.

- G8.1.3R** The only ground on which a student may appeal to the University concerning her or his assessment is that the approved procedures were not followed by the affiliated institution in considering his or her application for a review of the decision of an examining board.
- G8.1.4P** To appeal, the student shall write to the Academic Registrar of the University marking the envelope 'Application for Review', and identifying her/himself, the affiliated institution, the programme (and award where appropriate) and year, the decision of the affiliated institution's review group, the facts on which the ground(s) for the appeal are based, and the remedy(ies) sought. The letter must be signed by the student and give the full name, date of birth and student number (where applicable). The letter must be received by the Academic Registrar not later than ten working days after the date of the letter conveying the final outcome of the affiliated institution's procedures for considering applications for review of decisions of examining boards.
- G8.1.5P** The Academic Registrar shall undertake enquiries to determine whether the appeal meets the conditions set out in G6.23P above. The student shall be notified in writing of the outcome.
- G8.1.6P** If the appeal meets the conditions in paragraph G7.2R the Academic Registrar shall:
- i refer the appeal to a review panel of the Academic Board; or
 - ii refer the appeal back to the affiliated institution, in which case he or she shall identify where the affiliated institution has not followed the approved procedures and shall specify the grounds on which the affiliated institution shall reconsider the original application for review from the student;
 - iii determine that there is no basis on which the appeal can proceed.
- G8.1.7P** The student shall be informed in writing of the decision.
- G8.1.8P** If the application for review is referred to a review panel of the Academic Board the application shall thereafter follow the procedure set out in G7.6R to G7.24P above except that:
- i the chair of the affiliated institution's review group, not the examining board, shall have the right to appear before the panel, to speak and to amplify any written statement;
- and
- ii the only decisions open to the review panel shall be:
 - a that the matter be referred back to the affiliated institution's review group for reconsideration in the light of grounds which the review panel shall specify;
- or
- b that the appeal be rejected.
- G8.1.9P** The Academic Registrar shall inform the student in writing of the decision of the Academic Board review panel as soon as possible.

- G8.1.10P** In the case of the award of DPhil, examiners who are required to review their decision shall do so as soon as possible and shall notify the Academic Registrar in writing of their decision and the basis on which it was made. The Academic Registrar shall arrange for the Research Degrees Examining Board, and subsequently the student to be informed of the examiners' decision as soon as possible.
- G8.1.11P** There shall be no further appeal against the decision of the Academic Registrar or an Academic Board review panel.
- G8.1.12P** If the affiliated institution is required to reconsider an application for review it shall do so using the approved procedures and shall (so far as is practical) involve the same officers. Any meeting of an affiliated institution's review group shall (so far as is practicable) comprise the same members and meet within seven working days of the date of the instruction to do so.
- G8.1.13P** The reconvened review group of the affiliated institution shall have regard to the grounds specified by the Academic Registrar or a review panel of the Academic Board but shall determine its own procedure and shall be free to decide whether it requires to see the student again. In all other respects the group's procedure shall follow that determined for the earlier meeting and the general procedures approved by the University.
- G8.1.14P** The Academic Registrar shall be responsible for ensuring that a report on any appeals and their outcomes, and on any matters related to this procedure, be provided to the Academic Board annually in a form which maintains confidentiality.
- G9** **ANNULMENT OF A DECISION OF AN EXAMINING BOARD**
Definition – a decision to declare a decision of an examining board null and void
- G9.1R** The Academic Board may annul a decision of an examining board if in its opinion proper account has not been taken by an examining board of the factors specified by the Academic Registrar or by a review panel when the board has been required to review a decision
- G9.2R** Where an examining board for an award of the University which is offered in an affiliated institution is required to review a decision and it does not modify its decision, the Principal of an affiliated institution may recommend to the Academic Board that the decision of the examining board be annulled if in his or her opinion the examining board did not take proper account of the factors specified in the requirement for the review. The recommendation of the Principal shall be made in writing to the University
- G9.3R** The Academic Board may annul a decision of an examining board without previously requiring reconsideration where there has been procedural or other irregularity, or it is not possible to reconvene an examining board. If the error or irregularity is found to have affected more than one student, the Academic Board may annul all or part of the assessment
- G9.4R** Where a decision has been annulled the Academic Board shall appoint an examining board with the power to make decisions on students' progress and/or awards, including, if necessary, the appointment of new external examiners

- G10 RESULTS AND GRANTING OF AWARDS**
Definition – marks and assessment outcomes recorded in any form, whether or not they are held on equipment capable of automatic processing.
- G10.1 Publication of Results**
- G10.1.1R** The results of students' assessment and the awards for which they are recommended shall be published following the meeting of the appropriate examining board. The results shall be published in an approved form and be signed by the chair of the examining board
- G10.1.2R** Publication shall normally be no later than five working days after approval of the results by the examining board. Publication on a later date shall be subject to the agreement of the Academic Registrar in consultation with the chair of the examining board
- G10.1.3R** Publication shall be solely by an electronic means approved and designated for this purpose
- G10.1.4R** Students shall be individually responsible for ascertaining their own results
- G10.2 Release of Marks or Grades and Confirmation of Credit**
- G10.2.1R** The Academic Board shall establish a procedure for the release of marks or grades and confirmation of the award of credit to individual students. The procedure shall provide for the release to students individually of their marks or grades and credit information in an approved format covering all components of the assessment scheme. For the purpose of this Regulation, assessment shall mean examinations, coursework, assignments, projects or other tests as required by the assessment regulations
- G10.2.2P** Where a meeting of the field board (or examining board for non-modular programmes) is due to take place within 30 working days of the completion of marking, provisional marks or grades shall not normally be issued.
- G10.2.3P** The Executive Dean, or his or her nominee, shall issue each student individually with provisional numerical marks or grades (according to the assessment scheme for the module or unit of study) for all elements of assessment completed by him or her during the academic session. These marks or grades shall be given as soon as practicable after the work marking process has been completed and normally before the meeting of the field board (or examining board for non-modular programmes). The student should be warned, in a form prescribed by the Academic Registrar, that the marks are still subject to moderation by the examining board and may go up or down.
- G10.2.4P** After each meeting of a field board (or examining board for non-modular programmes) and in the form prescribed for the purpose by the Academic Registrar, the Executive Dean or his or her nominee shall issue each student individually with a notification of marks or grades for each module or unit of study taken by the student in that academic session and considered by the meeting of the field board (examining board). The notification shall show the mark or grade achieved in each component of assessment for the module or unit of study and the credit achieved.

G10.2.5P Where a meeting of an award board is due to take place within 15 working days of the meeting of the field board, the issue of the notification of marks and grades for modules to be taken into account for an award shall take place after the meeting of the award board.

G10.2.6P Students who are enrolled on modules or units of study outside of an award registration shall receive notification of their marks or grades and credit for modules or units of study as soon as practicable following the meeting of the relevant field board.

G10.2.7P Field boards are empowered to decide the marks or grades awarded for each element and component of assessment. Neither changes to provisional marks or grades, nor the relationship between marks or grades and final marks or grades nor the credit awarded shall, of themselves, be grounds for review of a decision of a field board.

G10.2.8P Award boards and other examining boards are empowered to recommend particular awards at differential levels where appropriate having regard to the overall profile of assessment outcomes and other factors set out in the Academic Regulations and Procedures. The relationship between overall assessment outcomes and credit awarded for individual modules or units of study shall not, of itself, be grounds for a review of a decision of an examining board.

G10.2.9P If a student wishes to have access to his or her provisional marks or grades before their normal release, he or she may submit a written request to the Academic Registrar specifying the marks or grades concerned. The Academic Registrar, or his or her nominee, shall supply the marks to the student, as far as possible in the format in which they will appear on the final notification of marks or grades. The authenticity of the request may be verified before any disclosure. The marks or grades shall be disclosed within forty days of receipt of the request (plus any days for verification of the request) and shall be the marks or grades held on the day of compliance with the request. If the request is received within forty days of the meeting of the examining board the student shall be informed of the University's practice regarding the release of marks or grades and the normal process of release of such data shall constitute the response to the request.

G10.2.10P The University reserves the right to make a charge for complying with a request for disclosure of marks or grades before their normal release.

G11 REQUIREMENTS FOR GRANTING AWARDS

G11.1R An award may be granted when and only when the following conditions are satisfied:

- a the student was registered on an award approved by the University at the time of his or her assessment and has paid the appropriate fees to the University and to the institution (if different) at which he or she was registered;
- b the faculty or affiliated institution at which the student was registered has confirmed that the student has completed an award approved by the Academic Board as leading to the award being recommended;

- c the award has been duly recommended by an examining board convened and constituted in accordance with the Academic Regulations;
- d the recommendation for the award has been signed by the chair of the examining board confirming that the recommendations have received the written consent of the external examiner;
- e the student has no outstanding obligation to the University

G11.2R The granting of the award shall be administered on behalf of the University by the Academic Registrar

G12 WITHHOLDING OF AWARDS FROM STUDENTS

G12.1R The University may withhold awards from students who:

- a have outstanding obligations to the University; or
- b are the subject of an allegation of a breach of discipline

G12.2P Before the meeting of the relevant examining board(s) at which confirmation of eligibility for an award, a recommendation for an award, or consideration of performance in modules or units of study is due to take place, an appropriate officer of the relevant faculty shall warn students who have outstanding obligations to the University or who are the subject of allegations of breaches of discipline that their award may be withheld and/or that they will not be permitted to re-register for the same or another award, nor enrol on other modules or units of study or other study.

G12.3P A student with outstanding obligations to the University or who is the subject of an allegation of a breach of discipline shall be assessed in the normal way and the decision shall appear on the results list but with an indication that any award for which the student is eligible shall not be conferred until outstanding obligations have been discharged. The examining board shall not be informed of the existence of the outstanding obligation or allegation of breach of discipline.

G12.4P Administrative procedures regarding notification of the student's achievement shall be undertaken in the normal way.

G12.5P If the outstanding obligation is not discharged, or the allegation of a breach of discipline has not been concluded before the next point of re-registration or enrolment the student will be not normally be permitted to re-register for the same or any other programme or award, or to enrol for any module or unit of study or other study. The University may permit re-registration or re-enrolment where the outstanding obligation is a debt at or below a sum to be determined by the Vice-Chancellor or his nominee.

G12.6P If the outstanding obligation, or allegation of a breach of discipline has not been cleared by the time of the meeting of the examining board (normally the award board) at which eligibility for or recommendation for conferment is due to be made, the board shall not be told of the outstanding obligation until after it has concluded its decisions on all candidates. The faculty academic registrar shall ensure that the secretary to the examining board:

- i records the academic decision in the normal way

- ii after the examining board has made its decisions on all candidates, notifies the board that the award will be withheld
- iii records the student's name and results on the results list in the normal way but with an annotation to indicate that the award will not be conferred. This annotation shall be in a form prescribed by the Academic Registrar
- iv prepares a supplementary results list in the prescribed format showing the academic decision of the examining board but with no date of publication, undertake the normal checking and approval procedure, and lodge the signed list with the Academic Registrar.

G12.7P After the examining board the Faculty Academic Registrar shall ensure that the student is notified in writing of the decision to withhold the award. The notification shall be in a form prescribed by the Academic Registrar.

G12.8P When the obligation is discharged in full including clearance of cheque(s) the Head of Financial Services or other appropriate University officer shall inform the Academic Registrar immediately, whereupon the Academic Registrar shall ensure that:

- i the supplementary results list is dated, countersigned and authorised for publication by the faculty
- ii arrangements are made for the grant of an award for which the student has qualified.

G12.9P When a student becomes the subject of a formal allegation of a breach of discipline the secretary to the Student Discipline Committee shall notify the Academic Registrar so that procedures similar to those set out in G12.3 to G12.9 above may be undertaken.

G12.10P When the allegation has been determined and any consequential action disposed of the Academic Registrar shall arrange for the publication of the decision of the examining board. If the outcome of the allegation is that the student is dismissed from the University, the Vice-Chancellor may decide whether the award should be conferred or continue to be withheld for six years from the date of the examining board's decision, after which, if any obligation outstanding to the University has not been discharged, the examining board's decision shall thereupon be annulled.

G12.11P Link to <http://www.uwe.ac.uk/finance/> (university debt policy)

G12.12P Link to <http://info.uwe.ac.uk/secretariat/> (student disciplinary rules and regulations)

G13 LEVEL OF AWARD TO BE GRANTED

Definition: determined by the approved programme structure and the credit achieved by an individual students

G13.1R The award recommended by an examining board shall be that for which the student is registered or a lower award, specified in the approved assessment regulations, for which the student has fulfilled the requirements

G13.2R Where a student, having failed to meet the requirements for a named award, may be eligible by the accumulation of credit for an unnamed University award,

the named award board shall communicate the student's assessment record to the - faculty award board for consideration of the student's eligibility for a University award

G13.3R Where the assessment regulations so provide, the award board shall confirm the eligibility of a student for an intermediate award where he or she has satisfied the requirements for that award whether or not he or she is proceeding directly to a further award. However, the intermediate award will only be granted if the student requests the award on terminating registration or is subsequently recommended for no higher award within the award route

G14 CERTIFICATE OF AWARD

Definition – the formal university document confirming that an award of the University has been granted

G14.1R The certificate of award granted by the University shall record:

- a the name of the University and, if appropriate, of any other organisation sharing responsibility for the programme of study or research
- b the student's name as held on the University's student record
- c the award including any differential level as appropriate
- d where appropriate, the award title as approved by the Academic Board for the purposes of the certificate
- e where appropriate, an endorsement:
 - i that the award was studied in the sandwich mode;
 - ii that the award was studied in the full-time mode where such information is needed to distinguish an award accredited by a professional body from a full-time award with the same title;
 - iii to record the language of tuition and assessment where this was other than English

G14.2R The certificate shall bear the signature of the Vice-Chancellor and the Academic Registrar

G15 CERTIFICATE OF CREDIT

Definition – the formal university record of modules taken and credit awarded

G15.1R A student shall be entitled to receive a certificate of credit showing all credit achieved at the point at which the student's registration or enrolment with the University ceases

G15.2R The certificate of credit issued by the University shall record:

- a the full name of the student as held on the University's student record
- b the start date of the student's registration for an award or enrolment on a module
- c where appropriate, the name of the affiliated institution at which the module(s) or unit(s) of study was (were) completed
- d the module(s) or similar unit(s) of study successfully completed with details of the level and amount of credit, the mark(s) gained and the date when credit was awarded

- e University credit awarded for Accredited Experiential Learning set against the module(s) concerned and the date when the credit was awarded
- f credit transferred through Accredited Learning and recognised by the University as contributing to the requirements of an award of the University, identified by level
- g where applicable, the qualitative level of performance achieved within professional practice modules or units where professional competencies have been assessed
- h credit gained from periods of supervised and assessed work experience or placement in the UK or abroad qualifying for either standard credit or placement credit
- i information on assessed key skills, where applicable
- j as appropriate, credit equivalence for the European Credit Transfer Scheme (ECTS)

G15.3R The certificate of credit shall be issued by the University and shall bear the signature of the Academic Registrar

G16 DEPRIVATION OF AWARD

Definition – the formal removal of an award from a graduate

G16.1R The Academic Board may deprive any person of any award granted to him or her by the University on the recommendation of the Vice-Chancellor where:

- a the person has been granted an award and has been found to have been admitted to the award route or granted the award under false pretences or on material non-disclosure
- b the person has been granted an honorary degree and has acted in a manner which the Academic Board considers would bring the name of the University into disrepute as a result of the granting of the award

G17 HONORARY DEGREES

Definition – a degree conferred in recognition of achievement, merit or public service and without the recipient having had to fulfill the usual prerequisites for the awarding of the degree.

G17.1R The Academic Board shall establish a committee to which it shall delegate responsibility for approving nominations for the award of honorary degrees

G17.2R The University reserves the grant of honorary degrees normally to persons who have made a major contribution to the work of the University or in recognition of achievement associated more widely with or supportive of its mission, aims and activities whether in business, cultural endeavour, education, the professions, public service, science or technology or otherwise

G17.3R The award of an Honorary Masters degree will normally be reserved for persons of distinction whose achievements or attainments are of substantial significance or importance

G17.4R The award of an Honorary Doctorate will normally be reserved for persons of distinction whose achievements or attainments are of outstanding significance or

importance

G17.5R The Vice-Chancellor shall establish the means of generating confidential nominations for consideration by the committee

G17.6R Within the other provisions of the Academic Regulations, the committee may establish more specific criteria for the honorary degrees to be awarded in a particular year or at a particular ceremony

G17.7R Honorary degrees shall normally be conferred on behalf of the University by the Chair of the Academic Board at a suitable public ceremony and shall not normally be conferred in absentia

G18 PROFESSORIAL TITLE

Definition – the highest title awarded to academic staff measured against a criteria to determine a proven record in their field as a scholar, teacher or practitioner

G18.1 THE DESIGNATION OF PROFESSORS

G18.1.1R The Academic Board shall establish a committee to which it shall delegate its power to award the title of professor and associated titles

G18.1.2R Subject to the authority of the Academic Board, the committee shall establish procedures for determining the criteria for eligibility for the granting of professorial titles, for the status and tenure of professorships and for the selection and consideration of applications

G18.1.3R The title of professor, visiting professor, or visiting practitioner professor may be awarded to candidates who demonstrate a proven record of distinction as a scholar, teacher or practitioner in terms of one or more of the following criteria:

- a contribution by research, consultancy, original work in the creative arts, or practice to the furtherance of knowledge, or to the advancement of the subject or to its application to society
- b academic leadership
- c standing in a particular subject or profession

G18.1.4P The University may consider for designation as Professor, by reference to criteria in G17.1.3P above:

- i any member of academic staff of the University who submits an application or who accepts nomination by another member of the academic staff of the University
- ii in the capacity of a Visiting Professor, any person who is not employed by the University and is nominated by an Executive Dean.

G18.1.5P **For candidates employed by the University** - candidates shall supply a full curriculum vitae and application demonstrating how they meet the criteria set out in G17.1.3P above and the names and addresses of at least three referees. The information on referees should indicate the aspects of the application each referee is thought competent to comment on and why; and in what context the

referee has come to know the work of the candidate. A candidate who seeks to be designated 'Professor of ...' shall identify and seek to justify the proposed title in the application.

- G18.1.6P** **For candidates for Visiting Professor/Visiting Practitioner Professor** - proposers shall supply the fullest practicable curriculum vitae and a proposal demonstrating how the candidate meets the criteria set out in G17.1.4P above, evidence of the candidate's outstanding achievement in his or her field of practice, how the candidate would significantly enhance the University's public profile by virtue of current (as distinct from past) standing in his or her field, and what contribution the candidate is expected to make to the work of the University during the tenure of the proposed Visiting Professorship; and the names and addresses of three referees indicating the aspects of the application each referee is thought competent to comment on and why.
- G18.1.7P** **For candidates employed by the University** - the curriculum vitae and application shall be considered by the Professorial Committee or in accordance with a process approved by the Committee who may decide to interview the candidate. The Committee shall obtain appropriate written references and appropriate confidential external assessment before agreeing to confer a professorial title. The selection process and the proceedings of the Committee shall be confidential. The candidate need not be informed of the names of the external assessors. The Committee need give no explanations for its decisions. There shall be no right of appeal against decisions of the Committee except that any dispute as to proper procedure shall be drawn to the attention of all members of the Committee and any two members may require the issue to be referred to an external advisor approved by the Academic Board.
- G18.1.8P** The process of appointment to a post shall be separate from, but may take place consecutively or concurrently with, that of determining an application for professorial status. Where professorial status is considered concurrently with an application for a post, candidates' referees and external assessors for the post shall also be invited to comment on candidate's suitability by reference to the professorial criteria. Additional confidential external assessment of professorial suitability may also be sought by the Professorial Committee. A decision on the award of a professorial title shall be taken separately from the appointment process and shall remain with the Professorial Committee. Where the two processes are consecutive the determination of professorial status shall follow the normal procedure.
- G18.1.9P** The Professorial Committee may, at its discretion, choose whether to take up references and confidential external assessment and interview the candidate for Visiting Professor/Visiting Practitioner Professor. Exceptionally, it may proceed to an appointment on the basis of the written proposal alone.
- G18.1.10P** The Chair of the Professorial Committee may invite an external assessor to attend a meeting.
- G18.1.11P** The business of the Committee shall normally be conducted by the members meeting together. At the discretion of the Chair of the Committee business may exceptionally be transacted in such other manner as is thought acceptable by the secretary to the Committee in the particular circumstances, provided always that the arrangements enable the secretary to record an unequivocal minute of

the proceedings and of any decisions taken.

- G18.1.12P** The quorum is 50% of members including the Chair.
- G18.1.13P** The Committee may seek advice on particular applications from individual members of the Professoriate selected by the Chair of the Committee.
- G18.1.14P** The title of Professor is a personal distinction and carries specific financial reward. Visiting Professors may be paid for specific services undertaken for the faculty with which the appointment is associated.
- G18.1.15P** The Professorial Committee shall report on an annual basis the designation of professors to the Academic Board and Board of Governors, including any specific title approved.
- G18.1.16P** The title of Professor shall be valid for the following periods:
- i for professors employed by the University: for the period of their employment
 - ii for Visiting Professors/Visiting Practitioner Professors: for a fixed term not normally exceeding three years, which may be renewable. The Committee may terminate the designation if the circumstances in which it was made alter to render the title inappropriate.
- G18.1.17P** A professor employed by the University shall normally be required to deliver an open lecture, or otherwise demonstrate the professed reputation and qualities, before a University audience within one year of designation as a professor.

H COLLABORATIVE PROVISION

Definition – collaborative provision denotes educational provision leading to an award or to specific credit towards an award of the University in conjunction with approved partners.

H1 PRINCIPLES

H1.1 Partners in collaborative provision may be based in the UK or worldwide. The agreements set up with each partner shall determine the boundaries of the partnership relative to the standing and academic maturity of the partner: the greater the progression in institutional terms, the less onerous the intervention and control by the University (and vice versa).

H1.2 Notwithstanding the above, the University's relationships with its partners are based wherever possible on the validation of programmes developed in collaboration with the partners. They are grounded in the strengths of the partner, with the objective of building their future capacity in terms inter alia of quality assurance, the provision of further levels of student attainment, staff development and strategic development.

H1.3 Each partnership, whether of a programme or an institution is preceded by a series of steps that involve preliminary overtures, approval in principle by the Academic Board, institutional review and close negotiation, including validation. If successful an Agreement is signed and confirmed by the Academic Board for a specified period.

H1.4 The Academic Registry working with faculties and other professional services as appropriate takes responsibility for the assessment of potential partnerships and for their guidance through the approval process.

H1.5 There is a senior committee, reporting to the Academic Board which takes an overview of the University's relationships with all external educational organisations and receives, investigates and where appropriate recommends to the Chair of Academic Board that formal relationships be considered.

H1.6 The register of partnerships is compiled and updated by the Academic Registry for Academic Board.

H2 OVERSEAS PARTNERSHIPS

H2.1 The University of the West of England is responsive to the internationalisation of the higher education curriculum and student experience and is welcoming to non-UK students from around the world.

H2.2 There is a template that enables an analysis to be made of the level of risk involved in each potential partnership. The outcome of that exercise, combined with the level of complexity of the proposal, dictates the size and composition of the University team that undertakes the institutional review of the overseas institution, and the scope of the review.

H2.3 Annual and period reviews are conducted in accordance with the Agreement and include a review of the relationship itself at specified intervals.

H2.4 Student support is made available where possible at the point of delivery. Student feedback is sought and their comments form part of the annual monitoring and review processes. If the relationship is terminated or fundamentally restructured, students already registered are enabled to complete the programme of study in the form for which they were registered.

H2.5 The arrangements put in place shall be compatible with UK and partner country legislation in all cases.

H2.6 Link to <http://acreg.uwe.ac.uk/> (Internationalisation Strategy)

H3 UK PARTNERSHIPS

H3.1 The University seeks partnerships, primarily within the South-West region. The relationships available are flexible and may include a single programme of study or a far-reaching inter-institutional relationship.

H3.2 The University is evaluating requests for partnerships adopts a risk-based analysis of the institution and tests not only subject competence and quality, appropriate to the anticipated level of the award, but the qualifications and experience of staff and the scope for their further development, the strength of academic services and student support and welfare, and the appropriate infrastructure support. There is an initial template that ensure all relevant areas are covered and a formal visit made to the institution.

H3.3 Once institutional approval has been given, validation of new programmes of study or approval of existing programmes of study to be delivered at and/or by the partner organisation takes place, led by academic staff with the active support of the Academic Registry.

H3.4 Institutions are encouraged to seek professional body recognition where this is available and support for such applications forms part of the validation process.

H3.5 Monitoring of the provision takes place via annual monitoring and review and via reviews of the relationship itself at specified intervals.

H3.6 External examiners for programmes of study leading to awards of the University are appointed and paid by the University and their reports are sent in the first instance to the Vice Chancellor.

H3.7 Student support is made available where possible at the point of delivery. Student feedback is collected and forms part of annual monitoring. Appeals and complaints are handled locally in line with the particular Agreement but all students registered for a University award have access to an appeal to the Vice Chancellor under G8 above.

H3.8 Link to <http://acreg.uwe.ac.uk/> (UWE Federation Strategy)

H4 FORMS OF RELATIONSHIP

H4.1R The Academic Board shall approve procedures by which applications from institutions or organisations external to the University for relationships with the University may be considered and approved. The procedures shall provide for

the development, approval, review, renewal and rescinding of approved arrangements

H4.2P A proposal by a faculty to enter into a relationship with an external institution will normally receive preliminary consideration at the annual planning meeting of the faculty concerned.

H4.3P A formal application for designation as an affiliated institution must be made in writing by the Principal, or equivalent, of the external institution to the Academic Registrar. The application should indicate the academic areas and types of awards for which validation may need to be sought, and should confirm that the Board of Governors, or equivalent body, of the external institution has been apprised of the application.

H4.4P Thereafter the Academic Registrar will be responsible for managing the process of considering the application for a formal academic relationship. The initial stage is normally an informal discussion between senior representatives of the University and of the external institution in which the procedure is explained, complementarity of institutional missions is explored and the areas of potential academic interest are discussed. This meeting may include representatives of the specific academic areas involved.

H4.5P The Chair of Academic Board shall be informed of the application and will be invited to approve it in principle, subject to approval by the Academic Board of the suitability of the external institution as the location for the delivery of the award(s) concerned.

H4.6P The Academic Registrar shall arrange for any proposal involving an institution outside the United Kingdom to be referred to the Chair of Academic Board.

H4.7P The Academic Registrar shall co-ordinate enquiries to ascertain whether the external institution is able to meet the University's requirements and expectations for satisfactory delivery of the award(s) concerned.

H4.8P Depending on the scale and nature of the academic relationship envisaged, these enquiries may include:

- i processes and procedures for quality assurance and enhancement
- ii monitoring and evaluation
- iii regulations and procedures governing student's relationship with the external institution
- iv computing, library and learning resources facilities
- v staffing
- vi any other aspect of particular relevance to the form of relationship proposed.

H4.9P Following completion of the investigations, there shall be a meeting of appropriate senior staff of the University and the external institution (including staff from the academic areas concerned), known as the 'institutional meeting', which shall lead either:

- i to a formal recommendation to the Chair of Academic Board for the designation of the external institution as an affiliated institution;
- or
- ii to recommendation(s) for further action, in which case further documentation and/or discussions will be required before the institutional assessment can become the basis of a recommendation to the Chair of Academic Board.

H4.10P The Vice-Chancellor or nominee shall agree in principle any institutional and faculty arrangements with the external institution concerning levels of funding, student numbers, etc.

H4.11R Institutions or organisations having a formal agreement with the University for the purpose of providing part or the whole of a route to a University award shall be referred to as affiliated institutions

H4.12P The Academic Registrar shall draft a formal agreement between the University and the affiliated institution, and shall co-ordinate the process culminating in the agreement being signed on behalf of the University by the Vice-Chancellor or nominee and on behalf of the external institution by the Principal, or equivalent.

H4.13P The form of affiliation may vary according to the institution's experience and practice. The latter will be taken into account in determining whether and how the University should be involved in the validation and review of awards and how monitoring and evaluation will be conducted.

H4.14P The Agreement will make clear, inter alia, the arrangements to apply for the monitoring and evaluation, review and modification of any award(s) covered by the agreement. The precise details of these will depend on the nature of the academic relationship and the extent of authority delegated to the external institution.

H4.15P The Academic Registrar shall arrange for any validation of awards required by the relationship to be taken forward according to the University's requirements. Whilst award planning may take place concurrently with the institutional assessment, no award may be validated or conducted by an external institution to lead to an award of the University before the decision has been taken, arising from the institutional meeting, to submit a recommendation to the Academic Board for designation of the external institution as an affiliated institution.

H4.16P Link to <http://acreg.uwe.ac.uk/> (collaborative provision handbook)

H5 AFFILIATED INSTITUTIONS

H5.1R The relationship with an affiliated institution may involve the University in:

- a validation and review of provision offered by the affiliated institution leading to awards of the University or to awards jointly validated by the University and another validating body
- b arrangements for monitoring and evaluation of provision offered by the affiliated institution leading to awards of the University
- c provision for cooperation aimed at widening participation in higher education or at other strategies for furthering the vision

and mission of the University

H5.2R Where an affiliated institution provides part or the whole of a programme leading to an award of the University, there shall be a formal written agreement approved by the Academic Board which shall refer to the maintenance of the academic standards and the quality assurance requirements of the University. The Agreement shall specify how the responsibilities of the University and the affiliated institution for standards and quality shall be discharged

H5.3P The agreement shall normally be made for a period of five years (normally academic years). The agreement may provide for review of details of the agreement within the approval period, by mutual agreement, and for review of the whole agreement at the end of the approval period. The agreement shall provide for one year's notice of termination of the agreement subject to satisfactory provision being made for completion of programmes by existing students.

H5.4P Some months before the end of the period approved for the affiliation agreement the Academic Registrar will notify the Principal or equivalent of the affiliated institution of the arrangements for review of the agreement which will focus on an evaluation of the operation of the agreement and proposals for its continuation and revision, if appropriate.

H5.5P Link to <http://acreg.uwe.ac.uk/> (collaborative provision handbook)

H6 JOINT AWARDS WITH OTHER INSTITUTIONS AND AWARDING BODIES

Definition – a single programme awarded by two separate degree awarding institutions

H6.1R The Academic Board may exceptionally approve awards offered jointly by the University with one or more institutions of higher education recognised by the University as having awarding powers comparable to those of the University. Such awards shall satisfy the Academic Regulations and shall be governed by written agreement(s) specifying the responsibilities and obligations of the awarding institutions. These shall include responsibility for the maintenance of academic standards and quality, the assessment of students and arrangements for the granting of the award and the maintenance of award records.

H6.2P Link to <http://acreg.uwe.ac.uk/> (collaborative provision handbook)

H7 ESTABLISHING A RELATIONSHIP WITH EXTERNAL INSTITUTIONS FOR DELIVERY OF PROGRAMMES OF SUPERVISED POSTGRADUATE RESEARCH STUDY

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

H7.1P An initial inquiry concerning a possible relationship shall be referred to the Academic Registrar who shall manage the process of considering the application for a formal academic relationship. The external institution, through an appropriate member of its senior management and with the concurrence of the

Principal, shall indicate in writing that the institution formally seeks the approval of the relationship.

- H7.2P** The external institution shall supply the University with:
- i details of its procedures and processes for consideration of applications for registration for programmes of supervised postgraduate research study
 - ii the terms of reference and composition of any relevant committee and the relationship of such committee to the Academic Board
 - iii the details of the managerial oversight of the process and staffing support for its administration
 - iv the details of its procedure for consultation with students and for complaints by students about programmes of supervised postgraduate research study.
- H7.3P** The documentation shall be considered by the Vice-Chancellor, or nominee and the Academic Registrar, who shall judge whether the documents show evidence that the external institution's processes satisfy the standards expected of the University's faculties in their management of supervised postgraduate research study.
- H7.4P** Questions or issues arising may be pursued with the external institution in writing, but may require a meeting with the representatives of the external institution. The group may advise the institution of revisions to its processes or structures which would be necessary in order to satisfy the University.
- H7.5P** Having satisfied itself that the external institution's processes and structures are satisfactory, the group shall recommend to the Chair of Academic Board to recognise the external institution as an affiliated institution for the purposes of programmes of supervised postgraduate research study.
- H7.6P** The Academic Registrar shall draft the agreement, based on the model agreement, and shall co-ordinate the process culminating in the agreement being signed on behalf of the University by the Vice-Chancellor or nominee and on behalf of the external institution by the Principal.
- H7.7P** If the external institution has a significant number of registrations agreed by the University, the University Research and Knowledge Exchange Committee may invite the Principal or nominee of the external institution to nominate a representative to serve on the relevant University Committee(s). The Research and Knowledge Exchange Committee shall decide whether the nominee satisfies any research criteria it adheres to in its consideration of University members such committees.
- H7.8P** Some months before the end of the period approved for the agreement, the Academic Registrar will notify the Principal of the external institution of the arrangements for review of the agreement and proposals for its continuation and revision, if appropriate.
- H7.9P** The agreement shall provide for one year's notice of termination of the agreement subject to satisfactory provision being made for the completion of programmes by

existing students.

H8 RELATIONSHIPS WITH INSTITUTIONS OUTSIDE THE UNITED KINGDOM

H8.1R The University may approve an academic relationship with an institution located outside the United Kingdom. All such relationships shall be governed by formal written agreements approved by the Academic Board specifying the purpose and duration of the agreement, the provision for monitoring, renewal and termination, and the responsibilities and obligations of the parties to the agreement

H8.2R The Academic Board shall approve procedures for the validation, approval and review of part or the whole of awards leading to awards of the University or for the recognition of credit for entry with credit to awards of the University

H9 RELATIONSHIPS WITH OTHER AWARDING BODIES

H9.1R The Academic Board may establish procedures for the validation, monitoring and review of routes leading to awards of another body where the processes of that body so provide

H9.2P Many of the University's awards are accredited or otherwise recognised by professional, statutory and regulatory bodies for the purpose of professional registration for the right to practice and contributing towards requirements for membership of professional, statutory and regulatory bodies. Accreditation processes are formal and they involve judgements about standards and quality. Where these are questioned or threatened by a failure to observe agreed arrangements and procedures, or where accreditation is withheld or suspended, the consequences will be significant both for the employment of graduates and for the reputation and standing of the University.

H9.3P Although there are differences amongst professional, statutory and regulatory bodies in their statutory responsibilities and approach to involvement with higher education provision, most require formal involvement with the University's approval, validation and regulatory processes in order to satisfy themselves about the standard of an award and the content, coverage and application of the curriculum in their subject areas. Engagement with University processes will include some or all of the following:

- i formal accreditation/recognition of named awards (a University responsibility)
- ii validation (jointly or separately if professional and statutory bodies insist upon their own procedures) and approval of some or all of the curriculum, of approaches to teaching and learning, provision of learning resources involving preparing students to meet professional standards, and of student entry requirements
- iii approval of assessment regulations and of individual external examiners.

H9.4P In addition, some professional, statutory and regulatory bodies have a major role in the development of the curriculum in their area and provide a continuing source of advice and information, including on future trends in employment, and

for award development in the University.

- H9.5P** The procedures for maintaining contact and formal involvement with professional, statutory and regulatory bodies' processes reflect the range of activities described above.
- H9.6P** The Academic Registrar is the designated official correspondent with all professional, statutory and regulatory bodies in respect of the formal accreditation of awards and the formal notification of decisions and responses arising in the context of accreditation.
- H9.7P** Practices will vary across professional, statutory and regulatory bodies and in many cases representatives and officers of such bodies will expect to maintain direct links with faculties, and faculties will wish to maintain their channels of communication with professional, statutory and regulatory bodies. However, it is important that oversight of communication is maintained. The Academic Registrar must therefore be kept informed of communications which may have an impact on academic policy and the development of awards and schemes. It is a faculty's responsibility to ensure that the Academic Registrar is so informed, and to contact the Academic Registrar for advice where there is any uncertainty about the procedures to be followed.
- H9.8P** Where a professional, statutory or regulatory body is proposing to accredit an award for the first time, or to carry out a review of any aspect of provision which it already accredits, the initial approach from the professional, statutory or regulatory body should be to the University through the Academic Registrar. The Academic Registrar will liaise through the appropriate Academic Registry officer with the faculty concerned on the arrangements which shall apply. Where a professional, statutory or regulatory body's initial approach on such matters is direct to the faculty, the faculty will copy the correspondence to the Academic Registrar before any commitments are made on the University's behalf.
- H9.9P** The Academic Registrar will decide the extent to which participation by an officer or member of the University's Management Team may be required in the accreditation visit, or similar event. In particular, the involvement of the Academic Registry representation is likely to be necessary and desirable in any discussions which may involve possible validation issues and the application of the Academic Regulations, including the relevant assessment regulations of the University.
- H9.10P** Thereafter, detailed planning and arrangements for any visit or similar event will be made directly by the faculty in conjunction with the professional, statutory or regulatory body. The faculty should ensure that the Academic Registry is kept informed of arrangements for the visit and related matters and that reports on visits and their outcomes are made to the appropriate University committee.
- H9.11P** Where the involvement of a professional, statutory or regulatory body is required for the formal validation of a proposed new award for which a faculty is seeking accreditation, all formal exchanges with the body concerned on these matters will be carried out by the Academic Registry.
- H9.12P** Where a professional, statutory or regulatory body requests any amendment to the University's Academic Regulations and Procedures, such requests must be

made in writing to the Academic Registrar. It is the Academic Registrar's responsibility to establish a procedure allowing consultation of appropriate staff, including the University Senior Management Team, and consideration of any requested variations to the Academic Regulations. The Academic Registrar will inform the professional, statutory or regulatory body of whether the requested variation is permitted and will keep the faculty informed of the process and outcome. The Academic Registrar will also arrange for consideration of requests from professional, statutory and regulatory bodies for the addition of a differential level to an accredited award where such a level is justified by reference to practice and usage within the profession.

H9.13P Where a professional, statutory or regulatory body requires that it approves external examiners, the arrangements for securing approval of the external examiners from the professional, statutory or regulatory body will be made by the Academic Registrar, once these examiner nominations have been approved through the University's procedures.

H10 REQUESTS FROM PROFESSIONAL, STATUTORY AND REGULATORY BODIES FOR VARIATIONS TO ASSESSMENT REGULATIONS

H10.1P Professional, statutory and regulatory bodies may request variations to assessment regulations in respect of awards recognised or accredited by them only if the body's requirements cannot be met within the assessment regulations approved by the University.

H10.2P Requests shall be submitted in writing by the professional, statutory or regulatory body to the Academic Registrar and shall include the specific regulation or requirement of the body which cannot be met by the assessment regulations for the programme.

H10.3P The faculty with responsibility for the award shall attempt to ensure that the professional, statutory or regulatory body's requirements are met within the existing and approved assessment regulations for the award.

H10.4P The Academic Registrar shall consult the relevant faculty, through the programme director (or award leader for non-modular programmes), about the request. These consultations shall take account of any discussions which have already taken place and steps taken by the faculty to meet the requirements of the professional, statutory or regulatory body without variation to the assessment regulations for the award.

H10.5P The Academic Registrar shall be responsible for convening a group to consider and decide whether, and, where appropriate, how to vary the assessment regulations for the programme. The University reserves the right to refuse requests for variations to assessment regulations.

H10.6P The Academic Registrar shall notify the professional, statutory or regulatory body and the faculty of any variations approved by the group and shall ensure that the variations are recorded in the assessment regulations for the programme and notified to appropriate staff who shall be responsible for communicating these to students.

I**NON STANDARD DEGREE REGULATIONS**

Definition – university awards with separate and distinct assessment regulations that do not conform to the University’s standard assessment regulations as permitted by Academic Board

Further information available from the Academic Registry.

J**ACADEMIC DRESS**

Definition – the agreed design of robes worn by the University’s officers and graduates

J.1R**Certificate and Diploma**

- Gown: Black traditional gown with ruched sleeves gathered with black cord and button
- Hood: Simple shape in black, part lined in plain red
- Hat: Black mortar board or Oxford soft hat

First Degree

- Gown: Black traditional gown with ruched sleeves gathered with black cord and button
- Hood: Simple shape in black, fully lined in red brocade
- Hat: Black mortar board or Oxford soft hat

Postgraduate Certificate and Diploma

- Gown: Black traditional gown with ruched sleeves gathered with black cord and button
- Hood: Simple shape in black, fully lined in red brocade and with red brocade ribbon on top edge
- Hat: Black mortar board or Oxford soft hat

Masters Degree

- Gown: Black traditional gown with long hanging sleeves and fronts trimmed with red brocade
- Hood: Simple shape in plain red, fully lined with red brocade
- Hat: Black mortar board or Oxford soft hat

Doctor of Philosophy**Professional Doctorate****Professional Practice Doctorate**

- Gown: Red panama cloth traditional gown with fronts and sleeves trimmed with grey silk
- Hood: Simple shape in plain red, fully lined with grey silk
- Hat: Black cloth Tudor bonnet with red cord and tassel

Higher Doctorate

- Gown: Grey panama cloth traditional gown with fronts and sleeves trimmed with red brocade
- Hood: Simple shape in grey panama, fully lined with red brocade
- Hat: Black velvet Tudor bonnet with grey cord and tassel

J.2R

The Academic Dress of the senior officers of the University shall be:

Vice-Chancellor

- Gown: Black with fronts and sleeves trimmed and decorated in red and silver
- Hat: Black mortar board with silver cord and tassel

Chairman of Board of Governors

Gown: Black with fronts and sleeves trimmed and decorated in red and silver

Hat: Black mortar board with silver cord and tassel

Pro-Chancellor

Gown: Black with fronts and sleeves trimmed and decorated in silver

Hat: Black velvet Tudor bonnet with silver cord and tassel

Chancellor

Gown: Black brocade with gold facings and sleeves trimmed in gold

Hat: Black velvet Tudor bonnet with gold cord and tassel

K RESEARCH DEGREE REGULATIONS

K1 PRINCIPLES

K1.1 Supporting the need for the University to maintain appropriate institutional oversight of learning, teaching and assessment activities, the Academic Regulations are structured in terms of a hierarchy of compliance requirements:

Principles – these are the guiding values that inform the Academic Regulations and set out the reason(s) for regulating.

Regulations (R) – compliance is non-negotiable. Failure to adhere to the regulation may put the University at unacceptable risk, threaten the standards of its awards, run counter to principles of natural justice, be in breach of external legislation or jeopardise the quality of the student experience.

Procedures (P) – reflect established good practice, represent the most efficient and effective way of working and comply with the principles and regulations. The expectation is that procedures will normally be followed at all levels. Any departure from the procedures must be justified by a rationale that demonstrates the academic or logistical need for the variation and which shows how the alternative procedure reflects the principles and regulations.

Working Practices (WP) – describe the detailed administrative and system (ISIS) processes (not all working practices have been detailed).

K1.2 Postgraduate Research Code of Practice

The University has adopted a Code of Practice on research degree programmes, based upon the QAA Code of Practice which sets out the responsibilities and expectations of research staff and students and which is attached as Appendix 5.

K2 AWARDS

K2.1R The following awards may be granted to persons who successfully complete approved supervised research (including, where required, taught units of study) and satisfy the conditions in the Academic Regulations:

Master of Philosophy (MPhil)

Doctor of Philosophy (PhD)

Master of Philosophy by publication (MPhil)

Doctor of Philosophy by publication (DPhil)

Professional Doctorate (award titles as approved by the Academic Board from time to time)

K2.2R Research degree by published research

The awards of Doctor of Philosophy (DPhil) and Master of Philosophy (MPhil) may be granted to persons who successfully submit evidence of scholarship through a collection or substantial piece of published work and satisfy the conditions in the Academic Regulations

K2.3R Professional Doctorate

The University may award an appropriately titled professional doctorate to registered candidates who successfully complete an approved programme requiring completion of taught elements and supervised research of relevance and application to a defined area of professional practice and appropriate to the level and nature of the award. The following award titles have been approved by Academic Board and others may be approved from time to time.

Doctor of Biomedical Sciences (DBMS)
Doctor of the Built Environment (DBEnv)
Doctor of Business Administration (DBA)
Doctor of Counselling Psychology (DCounsPsych)
Doctor of Education (EdD)
Doctor of Health Psychology (DHealthPsych)
Doctor of Health and Social Care (DHSC)

K2.4 Creative Practice

K2.4.1R A candidate may undertake research in which the principal focus is the preparation of a scholarly edition of one or more texts, works of fiction, musical or choreographic works, or other original artefacts

K2.4.2R A candidate may undertake research in which the candidate's own creative work forms, as a point of origin or reference, a significant part of the intellectual enquiry where:

- i such creative work shall have been undertaken as part of the registered research programme. In such cases, the presentation and submission may in part be other than in written form
- ii the creative work is clearly presented in relation to the argument of a thesis written by the candidate and set in its relevant theoretical, historical, critical or design context
- iii the final submission is accompanied by some permanent record (for example, video, photographic record, musical score, or diagrammatic representation) of the creative work and bound with the thesis where practicable
- iv the application for registration shall set out the form of the candidate's intended submission and of the proposed methods of assessment

K2.5R Where the programme of related studies includes approved studies leading to a taught award and a candidate is registered for that award and fulfils all its requirements, he or she may be recommended for that award in addition to the degree of MPhil or PhD

K2.6R Higher Doctorate

The following awards may be granted to persons who provide evidence of work of high distinction in accordance with the Academic Regulations:

Doctor of Letters (DLitt)
Doctor of Science (DSc)

K3**DESCRIPTORS**

Definition: Descriptors exemplify the outcomes of the main qualification at each level within the QAA's Framework for Higher Education Qualifications, and demonstrate the nature of change between levels. They provide clear points of reference at each level, and describe outcomes that cover the great majority of existing qualifications. The MPhil and Doctoral descriptors apply to all the University's research degrees.

K3.1**MPhil Descriptor****K3.1.1P**

The award of a Master of Philosophy requires that a candidate should demonstrate that he/she:

- i has engaged in enquiry which makes a contribution to knowledge within his/her field of study
- ii can demonstrate a systematic understanding of the current state of knowledge within his/her field of theory and/or practice
- iii shows the ability to conceptualise, design and implement a project capable of contributing new knowledge close to the forefront of the discipline or field of practice
- iv can demonstrate a sound understanding of the methodology and techniques of enquiry relevant to the discipline or field of study
- v has developed a capacity to form judgements of issues and ideas in the field of research and/or practice and communicate and justify these to relevant audiences
- vi can critically reflect on his/her work and evaluate its strengths and weaknesses

K3.1.2P

The overall difference between a doctorate and an MPhil is not one of time or length but rather an issue of depth and sophistication.

K3.2**Doctoral Descriptor****K3.2.1P**

The award of a Doctorate of the University (other than a Higher Doctorate) requires that a candidate should demonstrate that he/she:

- i. has conducted enquiry leading to the creation and interpretation of new knowledge through original research or other advanced scholarship, shown by satisfying scholarly review by accomplished and recognised scholars in the field
- ii. can demonstrate a critical understanding of the current state of knowledge in that field of theory and/or practice
- iii. shows the ability to conceptualise, design and implement a project for the generation of new knowledge at the forefront of the discipline or field of practice including the capacity to adjust the project design in the light of emergent issues and understandings
- iv. can demonstrate a critical understanding of the methodology of enquiry

- v. has developed independent judgement of issues and ideas in the field of research and/or practice and is able to communicate and justify that judgement to appropriate audiences
- vi. can critically reflect on his/her work and evaluate its strengths and weaknesses including understanding validation procedures.

K4 COLLABORATION WITH OTHER BODIES

K4.1R The University shall encourage co-operation with industrial, governmental, commercial, professional or research establishments for the purposes of research leading to research degree awards

K4.2P The nature of arrangements with any collaborating establishment should be clearly defined and agreed in writing by the University prior to the commencement of the project. This should include, for example, the use of any facilities, access to data, ownership of intellectual property, issues of confidentiality etc. Details of these arrangements will be discussed with the student. The University will also make available to collaborators information about ongoing academic aspects of the project, any requirements of students and its expectations of collaborators in their supervision of students.

K4.3P Where a project involves extended periods working in collaborating organisations, there should be means of ensuring that, although absent from their principal place of study, student progress continues to be carefully supported and monitored.

K4.4P The University will be responsible for meeting the requirements of external funding bodies with regard to the support of postgraduate research study and will ensure that students and supervisors are aware of any requirements they are expected to fulfil with regard to such bodies.

K5 ADMISSIONS

Definition - a student is 'admitted' to the University when he or she has satisfied the University's entrance requirements or otherwise provided evidence of ability to achieve the required standard at entry and been accepted on to a programme of study

Further information about admissions can be found in the Code of Practice at Appendix 5.

K5.1R The Academic Board shall approve procedures governing the application, registration (including transfer of registration), supervision and examination of research students

K5.2P Faculties are responsible for selection and admission of students in accordance with approved faculty procedures and under delegated authority from Academic Board.

K5.3R Research may be proposed in any field of study where the proposal is capable of leading to scholarly work and to its presentation in a written thesis for assessment by appropriate examiners and provided that the University has the

expertise and resources to offer supervision. For the professional doctorate, the research proposal must be capable of research-based enquiry involving the understanding or application and dissemination of knowledge within a defined professional context which might include the acquisition and development of skills in the chosen professional field

K5.4P The faculty shall normally identify an approved supervisor to act as Director of Studies and shall give preliminary consideration to the viability of the research proposal or collection of published works in the context of the faculty's existing research interests and resources prior to interviewing the candidate(s).

K5.5R All research proposals shall be considered for research degree registration on their academic merits without reference to the concerns or interests of any funding or sponsoring body

K5.6R Registration shall be subject to approval by the appropriate faculty committee of:

- i the suitability of the candidate to undertake research and, for candidates for the professional doctorate, for applying such research to a defined area of professional practice
- ii the candidate's command of the English language sufficient to complete the programme of work satisfactorily
- iii the research topic; and
- iv the director of studies and research facilities

K5.7P The process of selection and admission shall also:

- i identify the level of award for which the candidate is applying
- ii identify the mode, period and place of study
- iii identify the form of the proposed submission and methods of assessment
- iv consider the programme of related studies as necessary to ensure that the applicant will have the opportunity to acquire the skills needed to complete their proposed research effectively in accordance with K7 below
- v consider any potential intellectual property right (IPR) issues
- vi identify the nature of arrangements with any collaborating establishment ensuring that these are clearly defined and agreed in principle in writing, and include details of the applicant's use of facilities, data or other resources including advice and supervision
- vii consider details of any adviser/s including qualifications, post held, place of work, research interest and previous supervisory experience
- viii identify any likely need for confidentiality of research
- ix consider any ethics procedures to be followed

K5.8R Applicants may apply to register full-time or part-time for programmes leading to the award of Master of Philosophy, Doctor of Philosophy, Professional Doctorate. Applications for DPhil are *de facto* part-time.

K5.9 Entry Requirements

- K5.9.1R** Candidates accepted for registration for the degree of Master of Philosophy, Doctor of Philosophy or professional doctorate shall normally hold a first or second class honours degree of a UK university or of the CNAAB, or of a university of comparable standard outside the UK. The normal expectation is that applicants will hold at least a 2:1 honours degree classification or a Masters qualification.
- K5.9.2R** Candidates accepted for registration for a professional doctorate shall in addition to the requirements specified in K9.5.1R have such experience of relevant professional practice as determined by the regulations for the named professional doctorate.
- K5.9.3R** Professional doctorates candidates may also be required to demonstrate that they have access to a suitable professional context in which to conduct the research and advanced study, as may be specified in the regulations for the award
- K5.9.4P** Where a faculty wishes to consider applicants offering professional experience in lieu of formal qualification, mechanisms should be established by which equivalency can be clearly and rigorously demonstrated and the applicant considered on his/her merits in relation to the nature and scope of the work proposed. Professional experience, publications, written reports or other appropriate evidence of accomplishment may be taken into consideration. An applicant wishing to be considered in this way shall include in their application the names of two suitable persons, excluding the proposed director of studies, supervisors or advisors whom the faculty may consult concerning the applicant's academic attainment and suitability to undertake a research programme.
- K5.10.5P** The standard of English language qualification required for international students wishing to pursue research is normally IELTS 6.5 or TOEFL 600, in areas where language proficiency is less critical this may be reduced to IELTS 6.0 or TOEFL 570. Equivalent qualifications may be acceptable subject to approval by the appropriate authority.
- K5.10.6P** Proof of qualifications will be required as part of the application process and references will be checked where appropriate.
- K5.10.7P** An applicant whose work forms part of a larger group project or collaboration shall clearly state his/her individual contribution to the project and its relationship to the group project. Each individually registered project shall in itself be distinguishable for the purposes of assessment and shall be appropriate for the award being sought.
- K5.10.8P** Where a project is part of a piece of externally funded research the faculty, in liaison with the University's Research and Business Innovation Service, shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the applicant's research degree.
- K5.10.9P** The faculty may approve an application from a person proposing to complete their research programme wholly or substantially outside the UK subject to:

- i satisfactory evidence of the facilities available for the research both in the University and abroad
- ii arrangements proposed for supervision enable frequent and substantial contact between the applicant and the supervisor/s e.g. by telephone, video conferencing, e-mail and adequate face-to face contact
- iii suitable arrangements in place to meet the training requirements

K5.10 Research Degree by Publication

K5.10.1R Applicants for the Master or Doctor of Philosophy by publication (MPhil/DPhil) shall only be eligible to register for the award if they meet one or more of the following criteria:

- (a) they are employed by the University, or employed by an affiliated institution of the University
- (b) the applicant has a close association with the University, as determined for this purpose by the Executive Dean of the relevant Faculty or, for applicants not linked to a particular Faculty, by the Vice-Chancellor.

K5.10.2P The definition of “employed by” the University shall take account of the University’s personnel policies and shall include full and part time staff; staff on fixed term or temporary contracts shall only be eligible if their contract is of a minimum one year of at least 10 hours per week and has at least six months left to run, Applicants from affiliated institutions shall be employed by those institutions on full or part time permanent contracts. Applicants claiming eligibility by reason of close association with the University shall include those who have retired from employment by the University not more than one year prior to the application to register for the award. The Executive Dean of Faculty shall have overall authority to decide eligibility for applicants not specifically covered above.

K5.11 The Interview and Formal Offer

K5.11.1P Information about the interview process and about the formal offer can be found in the Code of Practice at Appendix 5.

K5.12 Funding and Resources

K5.12.1R A candidate shall pay the fees determined by the University which shall cover module fees contributing to the training requirement up to at least the minimum specified for the award

K5.12.2P Information about funding and resources can be found in the Code of Practice at Appendix 5 and at <http://www.uwe.ac.uk/money/index.shtml> (information for students)

K6 INDUCTION

Further information about registration and induction can be found in the Code of

Practice at Appendix 5.

K6.1 Registration

Definition: the process by which a student becomes a member of the University and is subject to university rules and regulations and gains access to facilities. Initial registration is the process by which details of the supervisory team, the training needs analysis and programme of related study are confirmed.

K6.1.1R The normal minimum and maximum periods of registration shall be as follows:

	Minimum	Maximum
Master of Philosophy (F/T)	18 months	36 months
Master of Philosophy (P/T)	30 months	48 months
Doctor of Philosophy (PhD) (F/T)	24 months	60 months
Doctor of Philosophy (PhD) (P/T)	36 months	72 months
Professional Doctorate (F/T)	36 months	48 months
Professional Doctorate (P/T)	48 months	72 months
Doctor of Philosophy (DPhil) (PT)	12 months	72 months
Master of Philosophy by publication (MPhil) (PT)	12 months	48 months

K6.1.2R Where a candidate applies to change from full-time to part-time study or vice versa, the minimum and maximum registration periods shall be determined by the appropriate faculty committee at the time of change within the normal limits

K6.1.3P The faculty committee may exceptionally approve a shorter period of registration where an applicant has previously undertaken research as a registered candidate for a research degree, in which case the registration period may take account of all or part of the time already spend by the applicant on such research.

K6.1.4P If a candidate registered for the DPhil or MPhil by publication ceases to be employed by the University, he or she may continue with the registration for a maximum of two years on payment of appropriate fees and providing arrangements acceptable to the faculty committee can be made for the continuation of the supervision.

K6.1.5P The faculty shall be responsible for the registration of students to programmes of supervised research and shall ensure that procedures are in place to execute this responsibility in a timely and appropriate manner. Students are required to re-register at the start of each subsequent academic year. The faculty is responsible for the prompt registration of the student. Once the faculty has approved the registration of a research student, the Director of Studies will ensure that that student registers without delay (no individual can be counted as a research student, and no supervision should be provided beyond a bare minimum until registration is completed). Annual fees and any other fees levied by the faculty are payable on registration.

K6.1.6P Faculties shall ensure that all research students are made aware, before embarking on registration for a research degree award, of the requirement for a formal progression examination at the end of the relevant period and of the consequences of failing to demonstrate satisfactory progress at this examination.

K6.2 Confirmation of registration

Definition: approval by the appropriate faculty committee of registration for a specific research award, including definition of the research project, title, supervision

arrangements and proposed schedule of work. Modules to be undertaken as part of the research training should also be confirmed at this stage.

K6.2.1P The confirmation of the student's registration must be approved by the appropriate faculty committee in accordance with the timescale of approved faculty procedures.

K6.2.2P The Director of Studies should work closely with the student during the period leading up to confirmation of registration and is responsible for providing guidance on the development of a detailed, well-defined research project specification and associated programme of work and reading. This must be:

- within the student's own capabilities and interests
- within the expertise of the proposed supervisory team
- practicable in terms of available physical resources

K6.2.3P As part of the confirmation of registration process, the Director of Studies is responsible for working with the student to complete a training needs analysis and to formulate a training plan which may incorporate informal and/or non-assessed elements as appropriate as well as programmes of mandatory and assessed research training.

K6.3 Changes to registration

K6.3.1P Faculties must have in place, and must disseminate, procedures for the consideration and approval of major changes to a research student's project direction, to the supervisory team, the student's mode of attendance (e.g. FT/PT) and degree registration (i.e. the suspension, extension or withdrawal of registration). This is in addition to the need for procedures for initial registration, ongoing monitoring, progression and assessment noted elsewhere in the Academic Regulations.

K6.3.2P Procedures should be clear, consistent, fairly applied and documented in accessible written form. They must operate within the context of university policy on confidentiality and be mindful of the need for sensitive handling of personal information and circumstances. They should be well understood by both staff and students. Students in particular should be made aware of the avenues of help and support available to them.

K6.3.3P Significant changes should not be undertaken lightly or approved without appropriate evidence. Supervisors must actively consider when changes are appropriate and in the student's best interest. The student should be appropriately informed of and involved in the process.

K6.3.4P An appropriate faculty committee is responsible for the consideration and approval of changes to a student's registration in accordance with K6.3.5 – K6.3.11 below. It must ensure that any conditions of approval such as rescheduled dates for resuming studies, or completing the research project, are clearly defined and communicated to all concerned. The faculty should ensure that such changes are recorded appropriately.

K6.3.5R **Suspension of Registration** - where the candidate is prevented, by ill-health or good cause accepted by the appropriate faculty committee, from making progress with the research, the registration may be suspended normally for not more than one year at a time

K6.3.6P Registration may be suspended if the student experiences external circumstances, including certificated illness, which prevent him/her from working. Any application to the appropriate faculty committee for suspension of registration must be supported by appropriate evidence. The committee shall consider whether it is likely that the student will be able to complete the work after the period of suspension. The appropriate faculty committee shall notify the director of studies and the student of any period of suspension approved and of the revised timetable for the progression examination and final assessment and explain what rights the student has during the period of suspension.

K6.3.7R **Extension of the Registration Period** - the appropriate faculty committee may exceptionally extend the period of registration beyond the normal maximum for one year at a time

K6.3.8P Extension of the registration period will not automatically be given, and usually be for no more than one year at a time. There must be good reason for the delay in completing the project together with a realistic revised date for completion.

K6.3.9P The University's Research Degrees Committee may extend the registration of a research student who is in the final assessment stage for periods of no longer than 12 months at a time provided that there is a good reason for doing so

K6.3.10P **Withdrawal of Registration** may be initiated by the student or the University.

The Director of Studies is responsible for initiating the procedure for notification to the appropriate faculty committee as soon as it becomes clear that the candidate is no longer making satisfactory progress and is unlikely to complete the work. Applications to the committee for withdrawal should be supported by appropriate explanation and evidence. As part of withdrawal procedures the faculty must ensure that the student is adequately informed of any intention to withdraw his/her registration.

K6.3.11P The appropriate committee may exceptionally permit a candidate to submit a thesis for examination within the minimum period of registration for the award along with resultant changes to the revised timetable for the progression examination and final assessment.

K6.3.12P **Mode of study** - applications for change in the mode of study must be approved by the appropriate faculty committee.

K6.4 **Research topic**

K6.4.1P For the purposes of registration, the overall aim and structure of the programme of research should be defined. It is expected that the programme will develop and evolve in detail whilst remaining within the scope of the initial definition. Any more fundamental change to either the overall aim or methodology of the programme shall require the prior approval of the appropriate faculty committee.

K6.4.2P Circumstances where a change or extension of the topic is permissible include:

- i a change in the candidate's employment which impacts upon the registration
- ii the project fails to develop satisfactorily
- iii the collaborating establishment discontinues its support or interest.

K6.5 Title

K6.5.1P Changes to the title of the thesis or collection of published, works up to the point of application for approval of examiners, should be submitted to the appropriate faculty committee for approval, with a brief rationale for the change. Changes to title subsequent to this point are covered under K13.1.17P below.

K6.5.2P A candidate who is registered for the degree of Doctor of Philosophy and who is unable to complete the approved programme of work may, at any time prior to the submission of the thesis for examination, apply for transfer of registration to the MPhil. Applications for changes to periods of registration shall be considered by the appropriate faculty committee in accordance with K6.3.

K6.6 Induction

Definition: the process whereby the University and the faculty introduce a student to the various elements of their programme and experience including the provision of information

Information about induction can be found in the Code of Practice at Appendix 5.

K6.7 Supervisory Team

Definition: a team of approved academics and/or professionals to support a research student throughout the duration of their studies

Information about supervisory teams can be found in the Code of Practice at Appendix 5.

K6.7.1R Faculty committees need to exercise caution when appointing a Director of Studies if the individual is themselves a candidate for a research degree at UWE to ensure that there is no potential for conflict of interest. A candidate for DPhil may be a supervisor where the faculty committee considers that he or she has completed sufficient publications to demonstrate sufficient experience of research

K6.7.2P The appropriate faculty committee should ensure that as far as possible, staff appointed as Directors of Studies will have completed appropriate training in supervision skills.

K6.7.3P The role of the Director of Studies includes to:

- i ensure that the student and all members of the supervision team understand the roles and responsibilities of each member of the team
- ii ensure that the student is fully aware of the requirements of the University and the Faculty, in terms of registration, enrolment, progression examinations, annual monitoring, access to resources, IPR, research governance and ethics, health and safety and dignity at work
- iii irrespective of periodic monitoring processes, ensure that the student is made aware in a timely fashion of any problems or concerns with the progress being made by the student. Where these concerns are serious, the Dean or his/her nominee should also be made aware of any such concerns.

K6.7.4P The role of the Supervision Team includes to:

- i ensure that the team meets with the student at appropriate intervals
- ii ensure that the meetings are properly conducted and recorded. Meetings should, as a minimum, cover a discussion of the student's progress since the last meeting and should agree a set of actions resulting from a review of their project plan, publication plan and training and development needs.

K6.7.5P A supervisory team shall embrace the following three elements:

- i knowledge of the research area
- ii familiarity with the relevant University's regulations and procedures
- iii previous experience of successful research degree supervision at an appropriate level.

K6.7.6P The student shall be informed in writing of the supervisory team to which he/she has been allocated as soon as possible after the start of the registration.

K6.7.7P Applications to change the composition of the supervisory team must be approved by the appropriate faculty committee following consultation between the team and the student. Changes to the supervisory team may be advisable when:

- i a key member of the supervisory team leaves the University
- ii the direction of the student's project changes such that the supervisory team no longer has the subject expertise to support the student appropriately
- iii a supervisor is absent from the university, through illness, sabbatical, or other reason and is unavailable by other means of communication for a significant period (It is for the faculty to determine what is meant by 'significant' based on the student's individual circumstances and the role and responsibilities of the supervisor concerned, but this will normally be taken to be eight weeks or more. Faculties should ensure that temporary alternative arrangements are in place to support the student as appropriate should the absence be for a shorter period)
- iv the relationship between supervisor and student has irrevocably broken down and remains so after all reasonable attempts at mediation via the faculty's internal procedures have been exhausted
- v the Executive Dean determines that such a change will be in the best interests of either party.

K6.7.8P There shall be regular contact, including adequate face-to-face contact, between the student and the supervisory team. The appropriate frequency of meetings will depend on a number of factors – the nature of the research, the mode of attendance (part-time or full-time) and the particular stage of the research programme. It will be the responsibility of the supervision team to plan the frequency of meetings explicitly, in discussion with the student.

K6.7.9P Faculties shall ensure that individual supervisors are not overloaded and that adequate support and advice is available to the supervisors where serious concerns of student ability or application to the study programme are identified.

K6.7.10P The faculty must ensure that there are clear and identified routes for the research student and supervisor/s to seek independent advice should communication links

within the relationship break down.

K6.7.11P Faculties shall establish processes for the evaluation and monitoring of supervision arrangements, including the provision of regular written reports by student and supervisors in order to satisfy itself that the student is being provided with supervision adequate to enable him/her to succeed in his/her studies. Failure by a supervisor to submit a report without good grounds may result in the appropriate faculty committee considering alternative supervisory arrangements.

K6.7.12P The faculty shall establish processes to enable the appropriate faculty committee or the faculty executive to withdraw approval of a Director of Study or supervisor should his/her performance fall below the required standard.

K7 RESEARCH TRAINING

Definition: the process by which students will acquire the skills required to become effective researchers and fulfil the requirements of their research programme.

K7.1R All research students are required to undertake an assessed training programme appropriate to their needs, of a minimum credit value, to enable them to fulfil the requirements of the UWE MPhil or Doctoral Descriptor

K7.2R The credit requirements are:-

Master of Philosophy

60 of which at least 40 at level M

Doctor of Philosophy (PhD)

60-120 of which at least 40 at level M

Professional Doctorate

120 – 270 at level M

Master of Philosophy by publication

60 of which at least 40 at level M

Doctor of Philosophy by publication (DPhil)

60-120 of which at least 40 at level M

K7.3P It is recognised that some students will benefit from undertaking research training beyond the minimum to fulfil the credit requirement. In some circumstances it may be appropriate for students to achieve some or all of the credit requirement via Accredited or Accredited Experiential Learning but this option should be employed with discretion.

K8 DISSEMINATION, PUBLICATIONS AND CONFERENCES

Information about dissemination, publication and conferences can be found in the Code of Practice at Appendix 5.

K9 INTELLECTUAL PROPERTY

Definition: Intellectual property (or IP) and the rights associated with them (intellectual property rights, or IPR) underpin the relationships and contracts that UWE is able to enter into with third parties (including businesses, organisations, charities and funding bodies, et al.). The University's IPR Policy sets out the IPR procedures

and processes of due diligence with regard to ownership and the rights to use intellectual property. It is intended to help to protect UWE and its employees from potential legal action by third parties relating to any IP associated liability.

The University's Intellectual Property Policy can be found at Appendix 3 and further information can be found in the Code of Practice at Appendix 5.

K10 INVOLVEMENT IN TEACHING

Further information can be found in the Code of Practice at Appendix 5.

K11 SUPPORT FOR RESEARCH STUDENTS

Definition – the provision of academic and pastoral advice and support available to students throughout their studies available at faculty and institutional levels

Further information can be found in the Code of Practice at Appendix 5.

K12 PROGRESSION

Definitions: progression is in two stages: the progression examination and annual monitoring. progression relates to the stages through which students, their research project and their associated learning advance.

K12.1R Faculties are required to ensure that they have in play appropriate processes for monitoring student progression.

Further information can be found in the Code of Practice at Appendix 5.

K12.2 PROGRESSION EXAMINATION

Definitions: progression examination is a formal test of progress in the early stages to ensure a suitable basis for continuation of the programme has been established; progression for most research students is in two stages : the progression examination and annual monitoring, for professional doctorate programmes there may be additional progression points set down in the programme specification.

K12.2.1P The Progression Examination is intended to combine assessment of the formulation and planning of the research programme with an evaluation of progress to date and of the suitability of the project as a basis for the research degree in question. It should verify that the student, supported by the supervisory team, has:

- i defined the objectives and scope of the research project adequately
- ii been actively engaged in working on the research project and has made progress commensurate with the time spent
- iii made an appropriate survey of the relevant research literature and demonstrated an ability to make a critical evaluation of published work
- iv acquired an appropriate knowledge of research methods applicable to the area of research, and can explain and justify his or her choice of research methods
- v developed an adequately detailed plan of work to enable the research degree to be completed within the expected time period.

K12.2.2R In the case of PhD students the progression examination shall be held no later than the end of the first twelve months of a registration period, or no later than nine months in the case of an MPhil registration In the case of part-time students, the

period will be increased pro rata, but must be defined at the start of the registration period.

K12.2.3P For professional doctorate candidates a progression examination should be held on the research project within 12 months of commencement of the research for full-time students (and pro-rata for part-time), in line with requirements for the traditional PhD programme. For some professional doctorate programmes the procedures approved for the PhD may be able to apply but for others the structure may not lend itself to this and the process may need to be varied to suit the individual programme whilst adhering to the principles and the rigour of the regulatory framework

K12.2.4P Candidates for DPhil and MPhil by publication who are registered for more than one year will normally be expected to undergo a progression examination. A DPhil candidate will undergo a progression examination around 18 months after registration unless they have submitted their commentary and portfolio of materials before this time. An MPhil by Publication candidate will under go a progression examination around 12 months after registration unless they have submitted this point.

K12.2.5P The time of the progression examination may only be delayed if the student has a period during which, for external reasons (such as a medical condition), it is not possible for him/her to work on the research project. The appropriate faculty committee shall consider all requests for a delay in the progression examination. Under such circumstances the registration should be suspended, and the time of such suspension shall not be counted towards the period before the formal progression examination is undertaken.

K12.2.6P The progression examination shall have two components - the progression report written by the student, and the viva voce examination.

K12.2.7P The progression report shall be in two parts and shall make it clear to the satisfaction of the examiners that the work has scope for a sufficient contribution to knowledge to justify consideration for the relevant degree and shall include the following:

- i the provisional title of the thesis or collection of published works
- ii a concisely worded statement of the aim of the research
- iii reference to work already completed and planned future work, and how this fulfils the aim of the research
- iv where the proposed research forms part of a group project, a statement identifying the separate and distinctive nature of the candidate's research.

K12.2.8P Part 1 of the progression report shall normally be between 3,000 and 6,000 words and shall not exceed 6,000 words without the prior permission of the appropriate faculty committee. It shall include:

- i the background to the research proposal
- ii a critical summary of relevant related research work
- iii the methods being used
- iv timescales for the remaining stages of the work including the proposed submission of the thesis.

K12.2.9P Part 2 of the progression report shall consist of work which may have been written by the candidate for other purposes and which he or she wishes to present to the

progression examiners. There shall be no word limit for items submitted as part 2 of the progression report. Candidates might wish to include in part 2 a full critical review of relevant related research work where this has been prepared for inclusion in the final thesis; bibliographic references and copies of any public output. However there shall be no requirement to produce these items specifically for the progression report.

K12.2.10P Where the candidate wishes to request permission to:

- i present the thesis/accompanied by material in other than written form and/or;
- ii present the thesis/collection of published works in a language other than English and/or; (see K13.6.1 below)
- iii have the thesis retained on restricted access for a period of time

and has not previously done so, the request shall accompany the report and shall be submitted following the progression examination to the appropriate faculty committee with the recommendation of the examiners. The faculty committee shall submit such requests for approval by the Research Degrees Committee.

K12.2.11P The candidate shall submit the report to the designated faculty officer, who shall arrange for its distribution to the other examiners. All examiners shall submit a written preliminary report to the Chair of the appropriate faculty committee.

K12.2.12P If the examiners are satisfied with the progression report, the viva voce examination may proceed.

K12.2.13P If one or more examiners are not satisfied that any useful purpose will be served by holding the viva voce examination, the Executive Dean or his/her nominee shall make the decision as to whether the progression examination shall go ahead as planned or whether to give the candidate a specified period of time, not normally more than 2 months pro-rata, in which to re-submit a revised progression report before the viva voce examination.

K12.2.14P The progression examination shall be conducted by the Director of Studies and at least one other independent examiner, who shall be a member of academic staff not associated with the research project or the supervisory team. With the consent of the candidate, other members of the supervisory team may be present at the examination but shall not participate in the discussion unless invited to do so by the examiners.

K12.2.15P The independent examiner shall be responsible for assessing the extent to which the candidate has made an appropriate start on the research project. He or she shall be an experienced researcher with a general understanding of the field of the candidate's research project but need not necessarily be a leading subject expert in that field. It is not required that the independent examiner will be a member of the faculty in which the candidate is studying, but this will normally be the case.

K12.2.16P If, after the viva voce examination both examiners are satisfied as to the candidate's progress and achievement to date and plans for the continuation of the project, the student may be permitted to progress. The Director of Studies shall notify the appropriate faculty committee of the outcome. Notification of progression shall be made to the student in writing by the appropriate faculty officer.

K12.2.17P If the examiners are agreed that the student should not proceed, they shall prepare a

written report to be submitted to the Executive Dean, who will decide whether to confirm the decision or to require a second viva voce examination.

K12.2.18P When the examiners are unable to agree on a recommendation a second viva voce examination will be held.

K12.2.19P Where a second viva voce examination is held it shall be conducted by a third examiner nominated by the Executive Dean and appointed by the appropriate faculty committee. That examiner shall not be informed of the recommendations of the other examiners. On receipt of the recommendation of the third examiner the Executive Dean shall decide whether to permit the progress of the candidate.

K12.2.20 The candidate shall have the right to apply for a review of progression decisions. G7 above applies with the panel of examiners constituting an examining board.

K12.3 Annual progress monitoring

Definition: annual monitoring takes place throughout a student's registration with the University and is the process by which progress can be monitored

K12.3.1P The focus for annual monitoring and assessment in the years subsequent to the progression examination should be to ensure that adequate progress is being maintained.

K12.3.2R Faculties shall publish procedures for each member of the supervisory team and the student to report progress to the appropriate faculty committee annually. The procedures shall provide for the annual report to be in an approved written format and for it to be considered by the appropriate faculty committee. Guidance on the content and completion of annual progress reports shall be provided by the faculty.

K12.3.3R As a result of consideration of progress reports, the appropriate faculty committee shall take any appropriate action which may include the withdrawal of the candidate's registration. Where progress is not satisfactory, the committee shall ensure that appropriate remedial measures are put in hand which will attempt to ensure satisfactory progress in the future before authorising continuation or termination of registration. Where reports received from both the supervisors and student are satisfactory, the committee shall authorise continuation of the student's registration for the next academic session.

K12.3.4R Failure of the student to submit progress reports without good reasons, which are acceptable to the appropriate faculty committee, may constitute grounds for withdrawal of the student's registration.

K13 ASSESSMENT

Definition: assessment at research level is usually through the means of a thesis and viva voce examination although students are also assessed on research training activities.

Further information can be found in the Code of Practice at Appendix 5.

K13.1 Appointment of examiners for the thesis/collection of published works

- K13.1.1R** The Academic Board shall establish procedures relating to the selection, approval, appointment, roles and responsibilities of examiners.
- K13.1.2P** The responsibility for identification of appropriate examiners lies with the Director of Studies, who should start the process during the 12 months prior to the anticipated date of the examination, in consultation with:
- other members of the supervisory team
 - senior research staff within the discipline at the University or elsewhere
 - other research active academics in closely related fields
 - the student
- K13.1.3R** A candidate for PhD, MPhil and professional doctorate shall be examined by at least two and normally not more than three examiners, of whom at least one shall be an external examiner and one an internal examiner. Candidates for MPhil and DPhil by publication are examined by two external examiners.
- K13.1.4P** The examining team should contain an appropriate balance of experience of examining at research degree level and subject specific expertise. At least one examiner shall have experience of examining research degree candidates at the appropriate level. Normally panels will have the combined experience of at least four degree examinations at the same level as the candidate or higher between them.
- K13.1.5P** The judgement of the research should be made largely by academics uninfluenced by personal knowledge of the candidate. Where a candidate might be considered to have a relationship which may compromise the objectivity of any examiner, either through employment or by any other means, two external examiners must be appointed.
- K13.1.6P** Not less than three months before the expected date of examination the appropriate faculty committee shall submit to the Academic Registrar the designated form(s) proposing the examination arrangements including the details of the proposed examiners for approval.
- K13.1.7P** The title under which the thesis is submitted for assessment should match that approved by the appropriate faculty committee. If the candidate proposes a change to the approved title of the thesis, he or she must submit the final title of the thesis to the Academic Registrar for approval by the Research Degrees Committee at the same time as the examination arrangements are proposed. Changes to the title thereafter are only permitted if required by the examiners.
- K13.1.8** **Internal Examiners** - an internal examiner shall be:
- i a member of staff of the University; or
 - ii a member of staff of the candidate's collaborating establishment; or
 - iii a member of staff of an affiliated institution where the candidate is registered
- and shall not have acted previously as the candidate's examiner.
- K13.1.9R** **External Examiners** - external examiners shall be independent of the University and affiliated institutions registering students with the University for research degree, and any collaborating establishment linked to the research project, and shall not have acted previously as the candidate's supervisor or adviser.

K13.1.10R Where the candidate and the internal examiner are both on the permanent staff of the same institution or establishment, a second external examiner shall be appointed. This shall not normally apply if the candidate is on a fixed contract of employment of 12 months or less

K13.1.11P In this context "on the permanent staff" is defined as follows:

- a) the candidate is an employee of the University/Affiliated Institution with a contract longer than 12 months duration.
- b) the candidate is an employee with a fixed term contract of less than 12 months duration but this is one of a succession of fixed term contracts, such that the total duration of employment is greater than 12 months.

This does not apply if the student is in receipt of a bursary and, in association with this, has been allocated part-time teaching hours.

K13.1.12P There may be other circumstances related to the nature of a candidate's employment within the University where it may be good practice to appoint two external examiners in order to establish the objectivity of the examining panel.

K13.1.13R Faculty committees need to exercise caution when appointing internal examiners where the individuals themselves are candidates for research degrees at UWE to ensure that there is no potential for conflict of interest.

K13.1.14P The candidate shall take no part in the arrangement of the examination and shall have no contact, in connection with the examination of his or her research or thesis, with the proposed or appointed internal and external examiners until the viva voce examination.

K13.1.15P Panel appointments are valid for a period of 12 months from the date of approval, after which they will lapse unless the thesis has been submitted for examination.

K13.1.16P Examiners will receive appropriate information and guidance via the Academic Registry. The panel will also receive a further short procedural briefing from the Chair during the pre-viva preparation session.

K13.2 Independent chair

K13.2.1P The appropriate faculty committee will recommend to the Academic Registrar an independent Chair for the viva voce examination. The independent Chair shall be an experienced researcher with a general understanding of the field of the candidate's research project but need not necessarily be a subject expert in that field. Independent Chairs will receive training before undertaking the role.

K13.2.2P Approved training materials for the role of Independent Chair can be obtained from the appropriate faculty research officer or from the Academic Registry.

K13.2.3P The Academic Registrar shall arrange for the issue of letters of appointment to the examiners and independent Chair and any confidentiality agreement which has been approved in relation to the thesis.

K13.3 Confidentiality of thesis

K13.3.1R The University may at the time of registration determine that a thesis should remain confidential

K13.3.2R Where the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission can be made. All requests for confidentiality of thesis should be made as early as possible and no later than at the stage of appointment of examiners. Applications shall be made to the Academic Registrar for approval by the appropriate committee

K13.3.3R The approved period of confidentiality shall normally not exceed two years from the date of the viva voce examination. In exceptional circumstances the Committee may approve a longer period but the period approved will be no longer than necessary. Where a shorter period would be adequate the Committee shall not automatically grant confidentiality for two years.

K13.3.4P Where the Committee has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in the library of the University (and collaborating establishment, if any) and, in the case of a PhD, the British Library, the thesis shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period (see K13.3.4R) shall only be made available to those who were directly involved in the research.

K13.3.5P The Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A thesis shall not be restricted in this way in order to protect research leads.

K13.4 Research degrees examining board

K13.4.1P There shall be a Research Degrees Examining Board with a constitution approved by or on behalf of the Academic Board. The research degrees examining board will receive the recommended outcome from the viva voce examination alongside outcomes in taught modules from field boards and on this basis will make recommendations for the award of the appropriate research degree to Academic Board. The examining board shall include an external examiner appointed by the Committee on behalf of the Academic Board.

K13.4.2P The Research Degrees Examining Board is responsible for determining

- i that the academic quality and standards of the examination process are being maintained
- ii whether a student has complied with the requirements to receive an award or to progress to further study on an award where appropriate
- iii the recommendation to Academic Board for a particular award having regard to the student's overall profile of assessment under the regulations for the programme, and subject to such limitations as are set out in the University's Ordinances and Academic Regulations
- iv the effect of any extenuating circumstances affecting the performance of a student in relation to an award or progression within an award;
- v the action to be taken in relation to the determination of the outcome

- of the award, in accordance with the Academic Regulations, in respect of a student who has committed an assessment offence;
- vi any relevant matters arising from the work of the board which the board wishes to draw to the attention of the appropriate faculty committees.

K13.4.3P The Research Degrees Examining Board may be responsible for determining progression on some research programmes which have defined progression points; it will not assume responsibility for the Progression Examination, which will remain with faculties.

K13.4.4P The composition of the Research Degrees Examining Board shall be:

- i Chair - Chair of Research Degrees Committee or his/her nominee
- ii 5 Directors of Research (one from each faculty)
- iii 1 representative of each affiliated institution registering a significant number of postgraduate research students with the University
- iv the chief external examiner
- v *in attendance*, such other persons, associated with research degree programmes as may be designated by the Chair

The quorum shall be two thirds of the members eligible to attend.

K13.4.5P Professional administrative and Secretariat support for the examining board shall be provided by the Academic Registry who shall ensure that a comprehensive and accurate record of proceedings is maintained.

K13.4.6P The Chief External Examiner will have wide experience of both research and also the assessing of research degrees. S/he will have a broad understanding of research across a range of disciplines and have had experience of applying regulatory frameworks to research degree programmes.

K13.4.7P The Chief Examiner will:

- i confirm that the academic quality and standards of the examination process are being maintained
- ii ensure that the procedures and arrangements for the examining board are conducted in accordance with the University's Academic Regulations and requirements
- iii ensure that the examining board discharges its responsibilities relating to any matters concerning assessment offences and consideration of extenuating circumstances affecting individual students
- iv advise the examining board on any issues relating to the eligibility of a student for an award
- v approve the award recommendations made by the examining board
- vi attend at least one examining board in person per academic year
- vii provide an annual report to the University by 16 August each year, upon receipt of which the chief examiner fee is paid

K13.5 Examining boards : Professional Doctorate

K13.5.1R The appropriate field board is normally responsible for assessment in "taught" modules

- K13.5.2R** An award board may need to be established to be responsible for
- (i) any taught units which are not covered by the University's standard assessment regulations
 - (ii) any progression points defined in programme-specific assessment regulations
- K13.5.3R** The Research Degrees Exam Board will receive the outcomes of assessment in "taught" units" and from the viva voce examination of the thesis and will make recommendations on awards to the Academic Board.
- K13.6** **Format of the thesis (PhD, MPhil, Professional Doctorate)**
Definition: A thesis is a document with a prescribed word length that presents the author's research and findings and is submitted in support of candidature for a degree or professional qualification.
- K13.6.1R** The language of the thesis shall normally be English. Permission to present the thesis in another language shall normally be sought at the time of the application for registration and shall normally only be given if the subject matter of the thesis involved substantial language and related studies and if appropriate supervision and examination arrangements are available.
- K13.6.2P** The candidate shall normally provide a draft of the thesis to the supervisor(s) prior to submission and shall receive their comments on it.
- K13.6.3R** Candidates are normally required to have completed taught elements including the credit requirement before submitting the thesis for examination. The results of assessed taught elements shall be communicated to the research degrees examining board by arrangements approved by the Academic Board.
- K13.6.4P** A thesis submitted for examination purposes shall be in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed (such as 'perfect binding' or spiral binding). A thesis submitted in temporary binding shall be in its final form in all respects except the binding. Copies of CD-ROMs or other materials must be secured in a pocket within the thesis
- K13.6.5R** The final decision on the content of the thesis and when to submit it rests with the candidate, subject to the satisfactory completion of required taught elements and of the agreed minimum period of registration.
- K13.6.6P** The thesis shall be submitted to the Academic Registrar within the period of registration, with the designated form confirming that it has not been submitted for a comparable award.
- K13.6.7P** The candidate shall be informed by the relevant faculty of the procedure to be followed for submission of the thesis (including the number of copies to be submitted for examination).
- K13.6.8P** **Abstract** - There shall be an abstract of approximately 300 words bound into the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. One loose copy of the abstract shall be submitted with the thesis. The loose copy of the abstract shall have the name of the author, the degree for which the thesis

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

K13.6.9P Statement of objectives - the thesis shall include a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.

K13.6.10P Collaboration - where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

K13.6.11P Publication - the candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.

K13.6.12P Length - the text of the thesis should normally not exceed the following word length (excluding ancillary data):

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

PhD 40,000
Professional Doctorate 35,000
MPhil 20,000;

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

PhD 80,000
Professional Doctorate 60,000
MPhil 40,000.

K13.6.13P Format - the following requirements shall be adhered to in the format of a submitted thesis:

i it shall normally be in A4 format, in permanent and legible form, using either typescript or print. Where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x)

ii it shall be printed on the right hand (recto) side of the page. The paper shall be white and within the range 70 g/m^2 to 100 g/m^2

iii the margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm

iv double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used

v pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages. Page

- numbers shall not be printed in the margin
- vi the title page shall give the following information:
 - a the full title of the thesis
 - b the full name of the author
 - c that the degree is awarded by the University
 - d the award for which the thesis is submitted in partial fulfilment of its requirements
 - e the faculty in which the student was based
 - f the name of the affiliated institution, where relevant
 - g the collaborating establishment(s), if any
 - h the month and year of submission which shall be updated on each occasion on which the thesis is submitted.

K13.6.14P Parts of the thesis, and very exceptionally all of it, may be presented in other formats (such as CD-ROM) or using paper sizes other than A4, where it can be demonstrated that the contents can be better expressed in that form and are capable of being assessed. An application to submit a thesis in another format must be made to the Academic Registrar on the designated form for consideration by the Committee as early as possible in the student's enrolment and must have the support of the Director of Studies.

K13.6.15P The format of the final bound version of the thesis, submitted after the viva voce and after any follow up work has been completed to the satisfaction of the examiners is covered under K13.12 below.

[Specimen thesis title page]

THE ORIGINS OF UNDERWATER
BASKET WEAVING IN WESSEX

JOHN ALBERT SMITH

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

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

Faculty of Maritime Studies, University of the West of England, Bristol
March 2008

K13.7 Format of the collection of published works (DPhil/MPhil by publication)

K13.7.1R For the purposes of the award of DPhil/MPhil by publication, 'published work' may encompass books, original and exhibited creative work in any medium, peer reviewed publications in the public domain or any other form of scholarly publication.

K13.7.2R The application shall comprise:

- i a commentary setting out the applicant's view of the nature and significance of the work submitted, the claim to originality, reference to research methodologies employed and the applicant's assessment of the contribution of the published work to existing knowledge in the relevant subject area.
- ii a statement of the extent of the applicant's contribution to the work submitted, covering joint authorship or other types of collaboration.
- iii a statement confirming which part of the work submitted, if any, has been or is being submitted for another academic award.
- iv a statement setting out how the training requirement has been or is to be met.
- v three copies of the published works
- vi a proposed title for the submission

Parts i, ii, iii iv and vi of the application shall be in English. Part v above of the application shall normally be in English unless the subject matter involves substantial language and related studies and approval for submission in another language has been given at registration.

K13.7.3R The length of the commentary may vary considerably according to discipline. The maximum length for the critical commentary is 20,000 words but it is anticipated that most will be significantly shorter than this. There is no minimum word count.

K13.8 Viva voce examination

Definition: an examination (normally oral) which may be used to help determine a candidate's overall result in addition to the normal methods of assessment.

K13.8.1R The examination shall have two stages:

- a the candidate's submission of the thesis/collection of published works and the examiners' independent preliminary assessment of it; and
- b the defence of the thesis/collection of published works by the candidate by viva voce or approved alternative examination

K13.8.2R A candidate shall normally be examined by viva voce examination on the research covered by the thesis/collection of published works and on the field of study in which the research lies. Where for reasons of sickness, disability or other valid cause the Research Degrees Examining Board is satisfied that a candidate would be under serious disadvantage if required to undergo a viva voce examination, it may approve an alternative form of examination. Such approval shall not be given on the grounds that the candidate's knowledge of the language in which the thesis is presented is inadequate

K13.8.3P If the Research Degrees Examining Board permits an alternative form of examination it shall identify the form of examination and the Academic Registrar shall notify the supervisors, the examiners and the candidate of the approved arrangements.

K13.8.4P Once examination arrangements have been approved and in consultation with the examiners, the independent chair and the Academic Registrar, the Director of Studies shall decide the date and logistical arrangements for the examination and notify the Academic Registrar, the candidate, supervisors and examiners.

K13.8.5P The Academic Registrar shall send a copy of the thesis to each examiner, with the designated form for the examiner's preliminary report, and the Academic Regulations relating to research degrees and shall ensure that the examiners are properly briefed on their duties. The Academic Registrar shall send a copy of the thesis to the Independent Chair

K13.8.6P For DPhil and MPhil by publication the Academic Registrar shall send to each examiner and the independent Chair a copy of:

- i the statement from the applicant, setting out his or her view of the nature and significance of the work submitted
- ii the statement from the applicant setting out the extent of his or her contribution to the work submitted, involving joint authorship or other types of collaboration
- iii the statement from the applicant indicating which part of the work submitted, if any, has been submitted for another academic award
- iv the published work to be considered. Where it is not possible to provide a copy of the published work, the Academic Registrar will make arrangements for the examiners to view the work
- v the proposed title for the scholarly work.

K13.8.7P The requisite copies of the thesis/collection of published works (one for each member of the panel including the Chair) must be received by the Academic Registry for distribution to the panel at least six weeks prior to the proposed date of the viva. The examiners (i.e. excluding the Chair) will indicate no later than ten working days before the proposed date whether the thesis is of a sufficient standard that the viva should proceed.

K13.8.8 The First Stage (independent preliminary report)

K13.8.8.1P Preliminary reports from examiners must be completed and returned to the Academic Registrar at least 10 working days before the scheduled date of the viva voce examination. The viva voce examination may not take place until the preliminary reports have been received and the Academic Registrar has confirmed to the Faculty Academic Registrar, independent chair and director of studies that the viva voce examination may proceed. In exceptional circumstances permission for the viva voce examination to proceed without one or more of the preliminary reports may be granted by the Academic Registrar.

K13.8.8.2P Guidance to examiners should make it clear that a viva should not proceed if:

- there is insufficient evidence of an original contribution to knowledge or scholarship
- the work is not reported with sufficient clarity for it to be accessible to the

informed reader.

K13.8.8.3P In the preliminary report each examiner shall consider whether the thesis/collection of published works, *prima facie*, satisfies the requirements of the degree. The report shall give the examiner's recommendations on:

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

and where possible make an appropriate provisional recommendation conditional on the outcome of any *viva voce* examination.

K13.8.8.4P Each examiner shall read and examine the thesis/collection of published work and submit, on the designated form, an independent preliminary report before any *viva voce* examination is held. In the preliminary report each examiner shall consider whether the thesis/collection of published works, *prima facie*, satisfies the requirements of the degree. The report shall give the examiner's recommendations on:

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

and where possible make an appropriate provisional recommendation conditional on the outcome of any *viva voce* examination.

K13.8.8.5P The candidate and supervisory team will not normally receive copies of the examiners' preliminary reports.

K13.9 Further work before viva

K13.9.1R Where one or more examiner(s) consider(s) that the thesis is so unsatisfactory that no useful purpose would be served by conducting a *viva voce* examination, they may recommend that the *viva voce* examination should not proceed and refer the thesis for further work as part of the first examination. In such cases the examiners shall provide the Research Degrees Examining Board with written guidance for the candidate concerning the deficiencies of the thesis. The examiners shall not recommend that a candidate fail outright without holding a *viva voce* examination or other alternative examination

K13.9.2P The Academic Registrar will inform the examiners, the Director of Studies, the independent chair, and the candidate enclosing the advice of the examiner(s) on the further work necessary. The Academic Registrar may, at this stage, ask the examiners

to consult in order to produce consolidated advice to the candidate. The candidate shall be permitted up to one calendar year from the date of the notification to submit the revised thesis. A thesis may be referred back for further work on only one occasion before the viva voce examination is held.

K13.9.3P The candidate shall be responsible for deciding the manner in which to improve the thesis/collection of published work.

K13.9.4P The candidate shall submit the revised thesis / collection of published work to the Academic Registrar who shall forward it to the examiners with the designated form. Each examiner shall submit an independent preliminary report on the designated form to the Academic Registrar. Once the reports have been received, the Director of Studies shall be permitted to re-arrange the viva voce examination.

K13.10 **Second Stage (viva voce)**

K13.10.1P If all examiners recommend that the viva voce examination be held, or if the thesis/collection of published work has been submitted after further work, the Academic Registrar shall inform the Faculty Academic Registrar that arrangements for the examination may continue. The faculty shall be responsible for notifying the candidate, the examiners and the supervisors of the arrangements.

K13.10.2 P The Examining Panel will meet for a period of at least 30 minutes prior to the viva in order to plan the viva. The Chair is responsible for ensuring that the viva is conducted according to the Academic Regulations.

K13.10.3P A viva voce examination shall normally be held in English and on a campus of the University, or the campus of an affiliated institution where the candidate has been registered for the award through that institution. The Academic Registrar or the Chair of the Committee may grant permission for a viva to be held elsewhere in the UK or abroad ("off campus") where there is good reason. Any decision to hold a viva voce examination off campus is subject to the appointment of an experienced internal examiner, the agreement of the candidate and all the examiners, and the appointment of an independent chair. Where it is proposed to hold a viva off campus the candidate and/or director of studies shall submit an application to the Academic Registrar on the appropriate form.

K13.10.4P The supervisors and a representative of the Research Degrees Examining Board, may, with the consent of the candidate, attend the viva voce examination but may not participate in the discussion with the candidate unless at the invitation of the chair. The representative of the Examining Board shall remain whilst the examiners decide on their recommendation on the award but shall not participate in that discussion. The supervisors may not remain whilst the examiners decide on their recommendation on the award.

K13.10.5P Neither candidate nor supervisor may be present during the panel's deliberations. The conduct of the viva voce examination is at the discretion of the independent chair in consultation with the examiners Possible outcomes are as listed in K13.11.2 and in all cases the panel will complete and sign 'The Recommendation of the Examiners'.

K13.10.6P If the examiners agree on the outcome of the examination they shall, at its conclusion, submit on the designated form a joint report and recommendation relating to the award.

K13.10.7P The preliminary reports and the joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Chair of the Research Degrees Examining Board to be satisfied that the recommendation chosen is correct. The joint report shall be submitted to the Academic Registrar.

K13.10.8P If the examiners do not agree they shall submit separate reports and recommendations on the designated forms. The Academic Registrar shall submit them to the Research Degrees Examining Board for a decision in accordance with K13.11.3.

K13.10.9P A candidate required to submit minor amendments to the thesis/collection of published work shall be permitted up to three months for a full time student or six months for a part time student from the date of the notification to submit the minor amendments. The candidate shall be responsible for deciding the manner in which to improve the thesis/ collection of published work.

K13.10.10P The Independent Chair must ensure that the examiners' report is duly completed and submitted to the Academic Registrar immediately after the examination.

K13.10.11P The Director of Studies should ensure that the external examiners' claim forms are submitted to the Academic Registrar immediately after the examination.

K13.11 Examiners' decisions

K13.11.1R The Research Degrees Examining Board will make recommendations for the award of research degree to Academic Board on the basis of the reports and recommendation of the examiners following the viva voce examination and in consideration of outcomes from taught components.

K13.11.2R Following the viva voce examination the examiners may recommend that:

- i the candidate be awarded the degree
- ii the candidate be awarded the degree subject to minor amendments being made to the thesis/critical commentary(DPhil/MPhil) in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required
- iii the candidate be permitted to re-submit for the degree and be re-examined, with or without a viva voce examination;
- iv the candidate be not awarded the degree and be not permitted to be re-examined;
- v in the case of DPhil/MPhil by publication an unsuccessful candidate may be permitted to reapply after a period of three years.

or

- v in the case of a PhD or DPhil examination, the candidate may resubmit for the award of MPhil subject to the presentation of the thesis/collection of published works amended to the satisfaction of the examiners with or without the requirement for an additional viva

K13.11.3P The distinction between an outcome of an award "subject to minor amendments" (ii above) and "permitted to resubmit" (iii above) is a qualitative one, rather than depending merely on the extent of corrections needed. If the deficiencies are only concerned with presentation, then this can be covered by minor amendments,

however extensive these may be. "Permitted to resubmit" should be used when the actual research work done is either flawed or incomplete, and the candidate will therefore have to undertake more work.

K13.11.4R Where the examiners' recommendations are not unanimous, this shall be reported by the independent Chair to the Research Degrees Examining Board which may:

- i uphold a majority recommendation (provided that the majority includes at least one external examiner)
- ii uphold the recommendation of the external examiner; or
- iii require the appointment of an additional external examiner, once only, to participate in the examination of the candidate as if for the first time

K13.11.5P Where the candidate is awarded the degree subject to minor amendments, or is permitted to resubmit and be re-examined, the Chair will be responsible for the co-ordination of an additional written report reflecting the recommendations and guidance of the panel as to the alterations and additional work required. This will be communicated to the candidate and Director of Studies by the Academic Registry

K13.12 Re-examination of thesis

K13.12.1R A candidate who submits a thesis for re-examination shall be required to pay the appropriate fee.

K13.12.2R One re-examination may be permitted by the Research Degrees Examining Board subject to the candidate submitting for re-examination within one calendar year from the date of the latest part of the first examination.

K13.12.3R The Research Degrees Examining Board may require that an additional external examiner be appointed for the re-examination.

K13.12.4R Where a viva voce examination has been dispensed with, the re-examination shall take place within one calendar year of the date of this dispensation.

K13.12.5R The Research Degrees Examining Board may, where there are good reasons, approve an extension of the resubmission period.

K13.12.6R The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination.

K13.12.7P In all other respects the re-examination shall be conducted as the first examination.

K13.12.8P Following the completion of the re-examination the examiners may recommend in accordance with the provisions set out in K13.11.2, excepting that option (iii) shall not apply.

K13.12.9P Where the examiners' recommendations are not unanimous, the Research Degrees Examining Board may:

- i. uphold a majority recommendation (provided that the majority includes at least one external examiner) or
- ii. uphold the recommendation of the external examiner

K13.12.10P Where the degree is not awarded, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate by the Academic Registrar.

K13.13 Final bound version of thesis

K13.13.1P A thesis shall be presented in a permanent binding of the approved type before the degree may be granted. The candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination except where amendments have been made to meet the requirements, or at the suggestion of the examiners.

K13.13.2P The approved binding for a final version of a thesis shall be:

- i of a fixed type so that leaves cannot be removed or replaced
- ii the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright
- iii the outside front board shall bear the title of the work, the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type
- iv the spine of the binding shall bear the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type, reading downwards
- v the binding of a thesis shall be black for MPhil and pantone 485 red for a PhD.

K13.13.3P Sufficient copies of the final thesis, incorporating any amendments required by the examiners, shall be submitted in order that copies may be supplied to the University Library, the library of any collaborating establishment and of any relevant affiliated institution. The thesis shall include the following copyright text:

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

and shall be accompanied by the designated form confirming that the contents are identical with the version submitted for examination purposes except where amendments have been made to meet the requirements or at the suggestion of the examiners. In the case of a PhD, the final thesis shall also be accompanied by the British Library doctoral thesis agreement form duly completed.

K13.14 Binding of a collection of published work

K13.14.1R After a successful examination for DPhil/MPhil by publication the submission should be bound where practical, in a bright red binding for DPhil or black for MPhil, bearing on the outside front board the title of the submission, the name and initials of the candidate, the qualification and the year of submission, in at least 24 pt type. The spine should bear the name and initials of the candidate, the qualification and the year of submission in at least 24 pt type, reading downwards. Where this is not possible due to the nature of the submission, it should be enclosed in a bright red (DPhil) or black (MPhil) box file, to be provided by Academic Registry with similar wording.

K13.15 Certificates

K13.15.1P After the final bound version of the thesis is received, or after a successful outcome from a viva for DPhil or MPhil by Publication and completion of any amendments to the critical commentary to the satisfaction of the examiners, a results list will be produced by the Academic Registry and the certificate and certificate of credit issued. Awards will be conferred at the next faculty awards ceremony.

K14 REVIEW OF A DECISION OF THE EXAMINERS

G7 above applies

K15 CONSULTATION WITH AND FEEDBACK FROM STUDENTS

Further information can be found in the Code of Practice at Appendix 5

K16 HIGHER DOCTORATE

*Definition: a higher tier of research doctorates, awarded on the basis of a formally submitted portfolio of published research of a very high standard. Higher doctorates are often also awarded *honoris causa* when a university wishes to formally recognise an individual's achievements and contributions to a particular field.*

K16.1 Application

K16.1.1R The Academic Board shall delegate its authority to a committee to consider applications for higher doctorates and to determine whether to recommend to the University that it grant such degrees

K16.1.2P The Academic Board has delegated its authority to make recommendations for the award of Higher Doctorates to the Higher Doctorates Committee (hereinafter referred to as the Committee).

K16.1.3R Applications, specifying the higher doctorate applied for, as listed in K2.6 shall be made in writing to the Academic Registrar

K16.1.4R An applicant shall normally be a holder of at least seven years' standing of a first degree or a holder of at least four years' standing of a taught or research Masters degree or of a Doctor of Philosophy awarded by the University, the CNAAB or a university in the United Kingdom or of a qualification of equivalent standard

K16.1.5R Applicants will be leading authorities in their field or fields of study, as evidenced by, *inter alia*, established reputation in an academic community, evidence of citation of published work, contribution to the public domain.

K16.1.6P Applications shall be made in writing to the Academic Registrar in the form prescribed in K16.1.5 The applicant should mark the envelope as 'Higher Doctorate' and shall state his or her full name, address for correspondence, and qualifications with their dates. The work submitted shall have been published already; it may constitute any of the types of work listed in K16.1.5 and shall normally be submitted in the form in which it was published. Where the work to be considered is of a nature which does not enable copies to be submitted, the applicant shall provide evidence of its existence and information on where it can be viewed.

K16.1.7R The application shall comprise:

- a a statement of not more than 6000 words setting out the applicant's view of the nature and significance of the work submitted
- b where joint authorship or other types of collaboration are involved, a statement of the extent of the applicant's contribution to the work submitted
- c a statement confirming which part of the work submitted, if any, has been submitted for another academic award
- d normally three copies of the work submitted or such copies as are agreed by the Academic Registrar. The submission may take the form of books, contributions to journals, patent specifications, reports, specifications and design studies and may also include other relevant evidence of original work. The work shall be submitted in accordance with procedures approved by the Academic Board; and
- e the applicant's curriculum vitae

K16.1.8R Parts a, b, c and e of the application shall be in English. Part d of the application shall normally be in English unless the field of study is another language unless the subject matter involves substantial language and related studies. Permission to submit in another language will need to be considered as part of the application taking account of expertise and examining arrangements.

K16.1.9P On receipt of an application, the Academic Registrar shall notify the Chair of the Committee who shall appoint those members who are not ex officio so as to ensure that the Committee includes at least one member with expertise in the field of study of the applicant. The Committee shall consider whether a prima facie case has been made. If it so decides, it shall identify a person with relevant expertise from outside the University from whom it shall seek advice both on the appropriateness of proceeding to examination and on recommendations for the appointment of external examiners. The Academic Registrar shall supply the external expert adviser(s) with a copy of the application.

K16.1.10P Taking the external advice into account, the Committee shall decide whether the application shall proceed to examination. If it decides to proceed to examination, it shall also decide the names of at least two persons to be invited to act as external examiners who have expertise in the field of study under consideration and who have experience of examining at least at doctoral, and preferably at higher doctoral, level.

K16.1.11P The Academic Registrar shall notify the applicant of the Committee's decision on whether to proceed to examination.

K16.1.12R Exceptionally, a person acting as an external adviser to the committee may be appointed as an examiner

K16.1.13R The applicant shall pay such fees and at such time as are determined by the University

K16.1.14P The fee payable by the applicant shall be in two parts: the first part to be submitted with the application and the second, where relevant, before examination of the application.

K16.2 Examination

K16.2.1P The Academic Registrar shall send to each examiner a copy of the complete application. Where it is not possible to provide a copy of the published work, the

Academic Registrar shall make arrangements for the examiners to view the work. The candidate shall not contact the examiners in relation to the application and examination for the higher doctorate.

- K16.2.2R** The examiners shall advise on whether the applicant has fulfilled the following criteria:
- a that the work submitted is of high distinction
 - b that it constitutes an original and significant contribution to the advancement of knowledge or to the application of knowledge or to both; and
 - c that the work has established that the applicant is a leading authority in the field or fields of study concerned, as evidenced by, inter alia, established reputation in an academic community, citation of published work, contribution to the public domain
- K16.2.3P** The examination shall be undertaken by reference to the submitted material only. The examiners shall submit independent written reports to the Academic Registrar by a date determined by him/her. The Academic Registrar shall submit them to the Committee for decision. The assessment shall accord with the criteria set out in K16.2.2 The reports shall comment in detail on the extent to which the application satisfies those criteria, shall comment on the appropriateness of the specific award sought by the applicant and shall make recommendations to the Committee.
- K16.2.4R** Each examiner shall report independently to the committee. If the examiners disagree the committee may appoint a third examiner
- K16.2.5P** If the examiners disagree the Committee may decide to act on the recommendation not to grant the award. Alternatively, it shall appoint a third examiner who shall not be informed of the views of the other examiners. The Academic Registrar shall provide the third examiner with the submitted material seen by the original examiners. The third examiner shall assess and report in a similar manner to the original examiners.
- K16.2.6R** The committee may, at its discretion, invite the applicant to discuss his or her submitted work with the committee and the appointed examiners
- K16.2.7R** The committee may decide:
- a taking account of the recommendation of the examiners, to recommend to the University that the degree be awarded;
 - b not to recommend the award of the degree
- K16.2.8P** The Academic Registrar shall convey the decision to the applicant in writing.
- K16.2.9R** There shall be no appeal against the decision of the committee nor shall the committee provide any feedback at any stage of the process, nor shall there be any refund of any part of the fee in the event of an unsuccessful application. Unsuccessful applicants are not precluded from re-applying after an appropriate passage of time.
- K16.2.10P** On receipt of a recommendation by the Committee for an award, the Academic Registrar shall produce a result list confirming the recommendation of the Committee dated with the date of the relevant meeting of the Committee. The Academic Registrar shall pass the result list to an appropriate officer of the University for publication and production of the certificate.

- K16.2.11R** The University shall retain in its library one copy of the full documentation submitted as part d of a successful application
- K16.2.12P** Written and published material submitted shall not normally be returned to the applicant.
- K16.2.13P** An applicant granted a Higher Doctorate will normally be required to give a public lecture within one year of conferment of the award.

APPENDICES

APPENDIX 1 GLOSSARY OF TERMS

Academic Appeal	A request for a review of a decision of an academic body charged with decisions on student progression, assessment and awards
Academic Complaint	The expression of a specific concern about the provision of a course/module, or a programme of study, or a related academic service
Academic Regulations	The Academic Regulations of the University. The Modular Assessment Regulations are contained within the Academic Regulations of the University.
Accredited Experiential Learning (AEL)	Experiential learning undertaken outside the University which is assessed and confirmed by the University for the award of University credit.
Accredited Learning (AL)	Learning which is accredited or otherwise certificated by an institution of higher education, including the University, or other external body and is recognised by the University as contributing to a student's credit total for a University award.
Assessment Attempt	Completion of the required assessment for a module. An attempt consists of two assessment opportunities. Students have a right to two attempts at a module (with the exception of professional practice modules and masters dissertations)
Assessment Opportunity	An assessment opportunity is provision for assessment of a module. There are two opportunities within each attempt to pass a module.
Award	An award (e.g. BA(Hons)) is granted on completion of an approved programme of study.
Capping	The restriction of the mark gained on resitting to the minimum pass mark.
Credit	A means of quantifying and recording the achievement of assessed learning and of specifying academic level.
Component of Assessment	The required assessment (one or a maximum of two components) for a module
Controlled Conditions	Completion of work for assessment under conditions prescribed by the University to guarantee that the work is that of the student alone and that there is parity of treatment between all students undertaking the assessment.

Default Award	A named award available only on a programme leading to a professionally recognised or accredited award and awarded where the credit requirements of the University are met but where the additional requirements of a professional body are not met.
Differential Level of Award	Indicates a particular level of achievement on an award. For honours degrees this is expressed as classification.
Element	An assessment requirement within a component.
Enrolment	The process each year by which students are select/confirm the modules they intend /are required to undertake during that year
Examining Board	University bodies that have responsibility for confirming results, progression and classifying students' degrees
Extenuating Circumstances	Evidence submitted by a student to an examining board in explanation for absence from study, attendance, assessment or examination, or for poor performance in assessment, which the board may, at its discretion and as the regulations for the award shall allow, accept and take into account in recommending an award for a student
Formative Assessment	
In Good Standing	Currently relates to not being in financial debt to the University or not being subject to any University disciplinary proceedings or proceedings relating to expulsion for academic reasons at the point specified
Inter-Faculty Modular Scheme	An approved undergraduate or postgraduate scheme which is managed by a named faculty but which draws on fields from two or more faculty modular schemes.
Interim Award	A lower level award available to students who decide not to complete their award or who fail to achieve it, but who have achieved the credit requirement for the interim award.
Integrated Bachelor/Masters Degree	An extended programme, normally lasting four years, where a three year undergraduate curriculum leads directly into an integrated level M programme. Students are normally required to meet specified performance criteria as stated in the approved programme specification in order to progress to level M study.
Latest Enrolment Point	The last date on which a student may enrol for a module. It is notified to students by the faculty responsible for the module and is always before the deadline for the first assessment on the module.

Masters Dissertation	A particular form of project module at level M undertaken as the final part of a masters award
Moderation	The process by which assessment processes can be confirmed as being consistent across modules – examples of moderation include double marking, sampling
Modular Programme	An approved programme of study leading to an award within a named faculty's modular scheme.
Modular Scheme	An approved undergraduate or postgraduate modular scheme managed by a named faculty which leads to one or more awards.
Module	The smallest sub-division of teaching and assessment for which credit is awarded within the University's Modular Framework. Modules are of different sizes and have correspondingly different credit values.
Module Delivery Period	The dates between which a module runs as specified in the University Calendar. Where the dates do not correspond to the University Calendar they will be specified by the faculty responsible for the module.
Module Specification	The approved and authoritative statement of the teaching, learning and assessment requirements for a module. Module specifications are published on the University Intranet.
Named Award	An award with a descriptor which has specified entry, curriculum and assessment requirements (e.g. BA (Hons) Historical Studies). It may have other requirements as described in the approved programme specification.
Ordinances	The Ordinances are authorised by the Board of Governors and provide the framework for the University's academic activity. The Ordinances are implemented through the Academic Regulations.
Other Conditions/Other Means (of Assessment)	The completion of work for an assessment other than under controlled conditions subject to meeting any stated deadline for submission of the work for assessment
Placement	A period of approved work, work experience or study in a host organisation approved by a faculty for this purpose. The duration of the placement may be up to 48 weeks and may be a requirement for a named award.
Placement Credit	Credit awarded for a successfully completed placement which is not assessed under the University's Academic Regulations. Placement credit does not specify an academic level.
Professional Practice Module	A module which includes a requirement for assessment of professional competencies by an

	appropriately qualified practitioner and is normally undertaken by study and practice in a professional setting.
Programme	A programme is a degree scheme that leads to a UWE award.
Programme Specification	The authoritative statement of the teaching, learning and assessment requirements for a programme leading to a University award. Approved programme specifications are published on the University Intranet.
Project Module	A module which has as its principal focus a project, dissertation or other form of individual or group study.
Reassessment	The opportunity to be assessed in a module again as a new attempt
Referral	The opportunity to be assessed again in a module within a single attempt
Registration	The process by which students at the start of each academic session confirm personal and financial details and confirm their ongoing membership of the University
Sandwich Placement	A period away from the University involving a work experience which is a requirement for a sandwich award.
Standard Module	The default type of module. Unless otherwise stated in the module specification, a module is classed as a standard module.
Unnamed Award	An award without a descriptor (e.g. Bachelor of Arts). It may be achieved by the accumulation of credit outside a prescribed programme or curriculum or where a student has failed to meet the specified curriculum requirements for a named award but has achieved the minimum credit total for a University award. The higher national certificate and higher national diploma, the integrated masters degree (e.g. MEng) and a masters degree are not available as unnamed awards.
University Modular Framework	The University-wide modular and credit Framework
UWE Federation	
Viva Voce Examination	An oral examination normally involving the chief external examiner solely to determine a borderline degree classification or differential level of an award.
Without Attendance	means not being required to attend classes prior to reassessment other than where attendance in class is required for the reassessment itself.

APPENDIX 2



ACADEMIC BOARD Learning Teaching and Assessment Committee

QUALITY AND STANDARDS COMMITTEE

ACADEMIC REGISTRY

The following Fields of Study were approved by the Quality and Standards Committee at its meeting of 29 September 2008. The updated list reflects changes to Fields requested by The Faculty of Environment and Technology and the Faculty of Social Sciences and Humanities. If you require further details please contact Dr Alison Rudd in Academic Registry (ext 82508 e-mail: Alison.rudd@uwe.ac.uk)

Approved Fields of Study: October 2008

Fields	Field Leader
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BRISTOL BUSINESS SCHOOL

Accounting & Finance	Dr David Bence
Economics	Paul Dowdall
Human Resource Management	Dr Peter Nicholls
Marketing	Ray McDowell
Operations and Information Management	Judith Jordan
Organisation Studies	Dr Peter Simpson
Strategy & International Business	Judith Jordan

CREATIVE ARTS

Art	TBC
Culture and Media Studies	Estella Tincknell
Design	TBC
Drama	Dr Scott Fraser
Professional Acting (BOVTS)	Andrew Normington
Stage Management (BOVTS)	Paul Rummer
Visual Culture	Dr Angela Partington

ENVIRONMENT AND TECHNOLOGY

BIT Professional Studies	Tod Burton
BNE Inter-disciplinary	Steve Galliford
Computer Science	David Coward
Construction and Civil Engineering	Kevin Burnside

Design and Engineering
Information Systems and Digital Media
Geography and Environmental Management
Mathematics and Statistics
Planning and Architecture
Property and Communities

John Lanham
Morris Williams
Dr Jackie Rogers
Alison Hooper
Janet Askew
Steve Galliford

HEALTH AND LIFE SCIENCES

Acute & Critical Care Adult Nursing
Allied Health Professions
Continuing Care Adult Nursing
Health, Community & Policy Studies
Maternal & Child Health
Mental Health & Learning Disability
Natural and Life Sciences
Psychology

Judy Harrison
TBC
Susie Ventura
TBC
TBC
Neil Summers
Dr David Veal
Dr Josh Schwieso

SOCIAL SCIENCE AND HUMANITIES

Area Studies
English
History
Languages
Law Postgraduate
Law Undergraduate
Linguistics
Philosophy
Politics
Primary, Early Childhood and Education Studies
Secondary Education and Lifelong Learning
Sociology and Criminology

Dr Catherine Fletcher
Professor Peter Rawlings
Professor Diana Jeater
Dr Kate Beeching
Dr Kate Dawson
Mark O'Brien
Professor Jeanine Treffers-Daller
Iain Grant
Dr Dean McSweeney
Dr Penelope Harnett
Professor Lynn Raphael Reed
Dr Sean Watson

HARTPURY COLLEGE

Animal and Land Sciences
Equine Science
Sports Science

Dr Nancy Oaks
Rosie Scott
Dr. Allan Edwards

APPENDIX 3

Intellectual Property Policy and Regulations (including the UWE policy relating to physical materials)

INTRODUCTION

This document sets out the Intellectual Property Policy of the University of the West of England, Bristol (UWE). The policy paper outlines the rights, responsibilities and procedures of the University and its staff and students in relation to intellectual property and material(s) created, to which UWE resources, e.g. time, funds, facilities or expertise, have contributed. It also underlines the importance of University staff and students respecting third party intellectual property rights.

Intellectual property, or IP, and the rights associated with them, *intellectual property rights*, or IPR, underpin the relationships and contracts that UWE is able to enter into with third parties (including businesses, organisations, charities and funding bodies, *et al.*) including the arrangements it makes as part of its Knowledge Exchange agenda.

Any lack of clarity over the ownership of rights at any time may inhibit UWE's legal involvement in future projects and its right to use the outcomes of research or development projects as no body will enter into an agreement with the University if the IPR position is not clear.

This Paper sets out the IPR procedures and processes of due diligence with regard to ownership and the rights to use intellectual property. It is intended to help to protect UWE and its employees from potential legal action by third parties relating to any IP associated liability.

There might be a number of tax considerations (whether UK or overseas tax) to be dealt with in respect of the exploitation of IP, IPR and the formation of businesses and/or companies. Any such tax consequences will depend on the specific details of each case. Accordingly this policy does not address these issues and therefore specific advice will need to be taken by all parties involved in such matters at the appropriate time.

The Legal Position

Under the *Patents Act 1977*, *Copyright, Designs and Patents Act 1988*, and *Copyright and Rights in Databases Regulations 1997* (the **Acts**), there is a presumption that ownership of copyright, database rights, designs and patents produced in the course of employment belongs to the employer. The Acts also confirm that in the case of designs produced under a commission the person commissioning the design is the first owner. The legal ownership of any rights can be varied by relevant legal agreement and documentation.

Protection of UWE intellectual property may be relevant in order to allow commercial exploitation or to encourage further funding of academic activity. Protection may involve keeping information confidential for a period, and where appropriate, undertaking patenting or other legal forms of protection. It is the aim of UWE to ensure individuals are supported in their entrepreneurial endeavours and rewarded through the policy for the creation and legal exploitation of intellectual property and intellectual property rights. It is also important to UWE that individuals do not infringe third party IPR in their work

The policy and procedures as set out will be reviewed by UWE from time to time and any queries on the policy should be referred in the first instance to the Director of Research, Business and Innovation (RBI).

INTELLECTUAL PROPERTY POLICY

1. Policy Principles

- The product of work carried out with the benefit of UWE resources and/or UWE assets (including, but not limited to, facilities, resources, assets, materials, funding, staff and staff time, confidential information and confidential background intellectual property rights, know-how and expertise, intellectual assets) constituting Intellectual Property (IP) and the associated Intellectual Property Rights (IPR) should be owned, protected and used by UWE for the general good of the whole UWE community.
- UWE should not infringe any third party IP and IPR.
- UWE should meet its contractual obligations to third parties including those associated with the dissemination, management and exploitation of IP and IPR and obligations of confidentiality.
- UWE should make provision to recognise and reward persons who:
 - a) create work within UWE that may have commercial value; and/or
 - b) bring into UWE, for its benefit, work already created which they own.

2. Policy Regulations

The following Regulations are designed to implement the UWE IP Policy.

2.1 Oversight of UWE's IP Policy and Regulations

- a) The Director of RBI is responsible for the day to day implementation of the UWE IP Policy and Regulations.
- b) The Intellectual Property Management Group (IPMG), a body appointed by the University Management Group and including the Director of RBI, under the direction of the Vice Chancellor is responsible for advising the governors on issues relating to:
 - i) the formation of businesses to exploit IP and IPR;
 - ii) changes to the UWE IP Policy and Regulations;
 - iii) any IP issues falling outside the UWE IP Policy; and
 - iv) to hear appeals made by staff and students in relation to unusual or special cases involving IP or IPR.

3. Scope of the UWE IP Policy and Regulations

3.1 The UWE IP Policy and Regulations normally covers any and all forms of IP and IPR and all materials relating to all of UWE's activities, including the following;

- a) patentable and non-patentable inventions,
- b) all copyright in confidential information belonging to UWE,
- c) databases and associated rights, computer software, source code, firmware,
- d) trade marks,
- e) e-learning materials and content,
- f) registered and unregistered designs, plant varieties, and topographies and geographical indicators,
- g) all confidential information, trade or business secrets,

- h) films, TV productions, videos, CD ROMS, DVDs, multimedia works, broadcasts, performing rights, typographical arrangements, field and laboratory notebooks and research notes,
- i) original artistic works such as paintings, drawings, engravings, sculptures, photographs, diagrams, maps, works of architecture and works of artistic craftsmanship,
- j) administrative, financial, teaching materials and course materials (including all copyright and design rights),
- k) all materials placed on the UWE web-site or presented by other electronic, audio or audio/visual means,
- l) physical material including prototypes, physical models, physical designs, electronic devices, biological materials, chemical compositions,
- m) other works and materials created with the aid of UWE facilities or resources,
- n) know-how and information associated with the above.

3.2 UWE owns IP, IPR, products and materials:

- a) if they are created by employees of UWE either directly, or indirectly as a result of their employment by UWE, in circumstances where the law presumes ownership by the employer (ownership is not limited to activities or specific times e.g. hours of work, and applies to IP, IPR and materials created by part-time and casual employees which arise directly or indirectly from their employment); or
- b) where the legal owner of the IP and IPR has assigned his/her rights to UWE.

3.3 The IP Policy and these Regulations normally cover all persons:

- a) bound by the UWE IP Policy by virtue of their employment; or
- b) who as a signatory to a contract is bound to the UWE IP policy (such as a contract for services or a student contract); or
- c) who agree to abide by the policy specifically in writing, by conduct or by verbal agreement.

3.4 The IP Policy and Postgraduate Study

- a) UWE claims ownership of all IP, IPR, products and materials arising from research and/or project outcomes arising from postgraduate study (including IP, IPR, products and materials produced by part-time post-graduate students), unless specifically excluded under 4.3., or otherwise agreed in writing between the postgraduate student and UWE, following a recommendation by the Executive Dean (or their nominee) and the Director of RBI (see section 4.4, below) to waive these rights.
- b) Except for post-graduate theses, publication of works (whether such publication arises during or after the student's study at UWE) derived from research, or projects, conducted at, or on behalf of UWE, or involving the use of UWE's IP, or physical or intellectual assets, will require the permission of the Executive Dean (or nominee), or the Director of RBI.
- c) Publication of works involving the use of the IP, or physical or intellectual assets (whether such publication arises during or after the student's study at UWE), which are owned by the student will require the permission of the student.
- d) When a thesis contains confidential information (commercial or legal), eg. where;

- i) the disclosure would compromise UWE's ability to conform to its legal obligations to a third party (e.g. business, funding body, charity etc) to maintain confidentiality,
 - or ii) the disclosure would compromise UWE's ability to protect IP or IPR that UWE wishes to exploit, e.g. by patenting, the thesis will be kept in confidence in accordance with the UWE policy on research ethics and for the length of time necessary to allow UWE to comply with the conditions of i) and ii) above to their full extent.
- e) it is the responsibility of the student to disclose any relevant IP and IPR, which they or their employer (if relevant) own to enable their Director of Studies to determine whether an assignment or licence agreement is needed, before such IP or IPR is used in research or project work.
 - f) Postgraduate students will be asked, as part of the registration process, to confirm in writing their consent to abide by the UWE IP Policy and Regulations.

4. Exceptions to the Regulations

- 4.1 IP and IPR which pre-date an individual's employment, paid association or registration as a post-graduate student as referred to in 3.4 are excluded from the scope of the Policy.
- 4.2 Normally, scholarly works which are produced by UWE staff and students and which are non-commercial and solely intended for academic purposes, such as articles in journals, papers for conferences, study notes (but not those used to deliver teaching), books or contributions to books including editing (which are not commissioned by UWE), and works of art, performance art and music (which are created without use of UWE assets or UWE resources and are not commissioned by UWE) are not subject to these Regulations except where; i) the disclosure would compromise UWE's ability to conform to its legal obligations to a third party (e.g. business, funding body, charity etc) to maintain confidentiality, or ii) the disclosures would compromise UWE's ability to protect IP or IPR that UWE wishes to exploit. It is the responsibility of UWE staff and students producing scholarly works to ensure that they are not covered by points i) and ii), in this section 4.2.
- 4.3 IP created by undergraduate students and postgraduate students on taught courses is exempt, except where: i) UWE specifically negotiates and agrees otherwise with the agreement of the student (this may apply for example in the case of final year projects, or projects involving 3rd parties, external funding, or works requiring use of pre-existing UWE-owned IP); and ii) where the student is employed by UWE and the IP, IPR and material arises from that employment.
- 4.4 Where an Executive Dean (or nominee) and the Director of RBI recommend that, before an individual starts a course or starts work on a specific project, UWE should waive its rights to any resulting IP and IPR in favour of that individual, UWE will waive its rights using the UWE IP WAIVER AGREEMENT pro forma, which will be registered and stored with RBI.
- 4.5 The waiving of rights under section 4.4 may only be considered if UWE does not have obligations to a third party (e.g. business, funding body, charity etc) that would otherwise inhibit UWE legally entering into the waiver. The Agreement needs to be signed by the individual and by the Director of RBI, and also to confirm that UWE has a continued right to use such IP and IPR for the purposes of research (including third party funded research) and education.

- 4.6 Where IP and/or IPR are created/owned jointly UWE and by parties exempt from the UWE IP Policy and Regulations, agreement may be sought between UWE (represented by the Director of RBI) and the exempt party to determine if, or how, the IP may be exploited and how the outcome of any successful commercialisation would be shared. It should be noted, however, that in such a case neither UWE nor the exempt party may exploit the jointly owned IP without the authorised, written agreement of the other party.

5. Responsibility to identify, disclose and protect IP, IPR and materials covered by the UWE IP Policy and Regulations

- 5.1 When undertaking work from which IP, IPR and materials covered by the UWE Policy and Regulations arise or may be expected to arise, all persons bound by the UWE IP Policy and Regulations must:

- a) notify the Director of RBI and Executive Dean, in writing, of any innovation, invention, IP, IPR, exploitable technology or material created, as soon as they become aware of it, by completing the UWE "INVENTION AND MATERIAL DISCLOSURE FORM", seeking advice from RBI, when needed;
- b) keep the nature of and matters relating to IP, IPR and material confidential (through proper use of confidentiality agreements etc) until the fact and manner of disclosure is agreed by the Director of RBI and Executive Dean;
- c) assist with the protection and exploitation of IP and IPR developed and keep suitable records of creation; and
- d) co-operate fully with UWE and its agents (e.g. external patent agents and lawyers);
- e) co-operate with UWE to ensure that assignments or confirmatory assignments to IP and IPR are executed, where appropriate; and
- f) support negotiations in relation to IP, IPR and Materials conducted by persons approved by the Director of RBI or IPMG.

6. Disclosure of IP to be used in research, project work or other UWE activities

- 6.1 All persons bound by the UWE IP Policy and Regulations are responsible to UWE for:
- a) ensuring that all bids and contracts are approved through relevant research, project and contract approval processes; and
 - b) complying with project contractual obligations binding on UWE (it is the responsibility of the faculty Project Manager to ensure that all staff and students to be engaged on the project are aware of and have agreed to be bound by the terms of the contract before commencing work on it); and
 - c) complying with the Export Control Act 2002 ("Export Act") and Export of Goods, Transfer of Technology and Provision of Technical Assistance (Control) Order 2003 ("the Order") and inform the Director of RBI if they have reason to believe that they, UWE or a third party intends to use Technology in circumstances where it will or may become necessary to apply for an export licence under the Export Act or the Order
 - d) disclosing to the Executive Dean (or nominee) or the Director of RBI at the outset of the work, or as soon as they become aware of it:
 - i) the ownership by a third party of any IP referred to or used for their work; and
 - ii) any use to be made of existing university IP during their work; and
 - iii) any IP which they themselves own which is proposed to be used by the University.

7. Responsibility to respect third party IPR

UWE students and staff are advised that any use and copying of third party materials (e.g. books, journals and images in print or electronic form including internet sources, third party research studies, databases, artistic works including all recorded musical or audio works, software, designs, trade marks, photographs, specifications etc), are subject to the law of copyright and other intellectual property rights and also, in many cases, to the terms and conditions of licences to which UWE is a party.

Infringement of copyright, patents, trade marks or related rights or licence terms and conditions places the University at risk of legal action, withdrawal of access to resources by information providers and/or damage to its reputation.

- 7.1 All persons bound by these Regulations must observe the law of copyright and related rights and licences to which UWE is party in their use of copyright materials, including books and journals (whether print or electronic), databases, artistic works and software and should familiarise themselves with the *Guidelines on respect of copyright* provided as University Financial Regulation 18 and with the guidance available from Library Services.
- 7.2 All persons bound by these Regulations must ensure as far as reasonably possible that any use by them of materials, inventions or any IPRs in materials created or used by them does not infringe the rights of third parties.

8. Securing UWE's rights in relation to IP, IPR and materials

- 8.1 All persons bound by the UWE IP Policy and Regulations must co-operate with RBI to ensure:
 - a) that research and project/work outcomes are, wherever possible, owned by, assigned to or licensed for UWE's use and/or commercialisation on adequate and advantageous terms; and
 - b) that such terms are agreed and made clear in any bid or proposal or collaboration document relating to the research or project/work prior to commencement of the work; and
 - c) before the start of any collaboration with third parties who are not bound by these regulations (including students, visiting academics as well as other universities, businesses and organisations) from which IP may arise or for which UWE IP may be used or disclosed, that RBI is informed in good time to secure appropriate agreements for UWE relating to confidentiality and IP issues; and
 - d) that where there is an intention for students (including postgraduate students) to be engaged on research, projects or activities involving any of the following;
 - i) collaborations involving third parties (e.g. businesses, government, organisations, etc) where UWE has an obligation to maintain confidentiality and/or obligations relating to the use of and access to IP and IPR,
 - ii) where conditions of funding require UWE to exploit any resultant valuable IP or IPR (e.g. some funders, government, EU, some charities, etc),
 - iii) where UWE wishes to continue to use the outputs of such projects or activities after the student leaves UWE,
 - iv) where potentially valuable IP and IPR may be created or has been created; that students are informed by the Faculty at the time of advertising the post and before being engaged on the project or other activities that they will be required to sign an agreement conferring all right title and interest in IP and

IPR to UWE, agreeing to abide by the UWE IP Policy and Regulations and agreeing to maintain confidentiality in relation to the project or activity.

It is the responsibility of the Faculty representative, project manager or tutor, as the case may be, (with assistance from RBI) to ensure that the students give informed consent by signing – using the **STUDENT ASSIGNMENT OF INTELLECTUAL PROPERTY RIGHTS AGREEMENT** before being engaged by UWE on the research, project or other activity.

- e) that UWE procures, where necessary, an appropriate consent (licence or assignment) to use any IP or IPR owned or controlled by a third party where such IP or IPR is referred to or used in UWE work, at the outset of the work to avoid infringement, and
- f) that no work is conducted for the benefit of or using material owned by a third party before the terms of ownership and use of project/work outcome are contractually agreed by an authorised signatory for UWE.

9. Reward for creation of IP, IPR or materials under the UWE IP Policy and exploited by UWE

9.1 Prior to the distribution of gross revenues received by UWE, UWE may deduct the following costs to calculate Net Revenues:

- a) Royalties due to third parties including funders;
- b) Costs and professional fees associated with the protection, maintenance, renewal and prosecution of the IP and IPR;
- c) Costs associated with undertaking due diligence on the IP, IPR or materials;
- d) Costs and professional fees associated with the defence of the IP and IPR;
- e) Legal costs and professional fees associated with negotiation, legal agreements and advice;
- f) Costs associated with marketing the IP and IPR (including travel costs); and
- g) The costs of any development work that is not externally funded or recoverable by UWE;
- h) Any tax payable in the UK or overseas.

9.2 The sharing of Net Revenues from the exploitation of IP and IPR will be:

Net Revenue	Inventors' share	Faculty share	University share
Any sum	50%	25%	25%

9.3 Exceptions

- a) UWE will not pay a royalty to employees for core activities undertaken within normal course of duties relating to teaching activities, or CPD activities.
- b) UWE will not pay a royalty on monies received from a third party by UWE to undertake research, consultancy or further development work.
- c) UWE will not pay a royalty from monies received from the sale of shares associated with the exploitation of IP, IPR or material, and this will be confirmed in the shareholders agreement for any spin-out company. It is expected that inventors/creators would have shares themselves as part of such exploitation in accordance with section 10 of the Regulations.

- d) UWE will normally wait until the amount of royalty to be distributed is greater than £100 (one hundred pounds sterling) in any one lot before undertaking royalty distribution.

9.4 Where IP is generated by more than one inventor or creator, they are each responsible for informing UWE of the proportion of their individual contributions to its generation. For the purposes of distribution of Inventors' shares in respect of Net Revenues received from exploitation of IP, IPR and material generated jointly it shall be the responsibility of the inventors/creators to agree their relative apportionment and to inform UWE in writing by completion of the "INTELLECTUAL PROPERTY / MATERIAL INCOME DISTRIBUTION FORM". This document is an important part of the due diligence process and should be completed prior to the exploitation of any IP, IPR or materials.

9.5 Income from one invention (including exploitation of material relating to such invention) which is exploited is counted together irrespective of whether the same IP, IPR or material is commercialised through one or multiple agreements.

10. Duration of Obligations under the UWE IP Policy and Regulations

10.1 Persons bound by the IP Policy shall remain bound to all such terms for the length of time necessary for the terms to have their full meaning and effect, including obligations of confidentiality. Persons leaving UWE shall continue to acknowledge UWE's IP rights created during their employment or other engagement with UWE and shall continue to abide by the UWE IP Policy and the IP Regulations in regard of such rights and continuing obligations.

10.2 Materials, files (in whatever form including electronic, audio, or visual storage formats) and laboratory books that contain records of UWE owned IP shall be left with the Executive Dean of the faculty, or with the Director of RBI, as respectively appropriate, when employees or other persons bound by the IP Policy leave UWE employment, or UWE, as the case may be.

11. Infringement

11.1 All persons bound by the UWE IP Policy and Regulations must alert RBI immediately on becoming aware of a suspected infringement of IP rights being either:

- a) infringement of IP rights owned by UWE: or
- b) UWE's infringement of IP rights owned by a third party.

11.2 All persons bound by the UWE IP Policy and Regulations must comply with UWE's instructions in relation to any actual or suspected infringement of third party IP rights, in order to minimise the impact and extent of the infringement. Any action taken will be entirely at the discretion of UWE.

12. Setting up a Business or Company

A Start-up or Spin-out Company or Business is a useful vehicle through which to further develop and exploit services or products which result from research, innovation and educational endeavour. For the purposes of the IP Policy a Business should be regarded as a Company but may alternatively be established as a Partnership or by a Sole Trader as it is possible to have a tax status as both an employee of UWE and as a Business owner.

- A Company or Business falling under the IP Policy includes one that involves an employee of UWE or a third party who intends to use the product of work carried out with the benefit of UWE resources and/or UWE assets (including but not limited to facilities, resources, assets, materials, funding, staff and staff time, confidential information, IP and IPR, know-how, and intellectual assets)
- 12.1 Permission to set up a Business or incorporate a Company under the UWE IP Policy and Regulations requires the permission of the Board of Governors on the recommendation of the Vice-Chancellor who is advised through the University Management group by the IPMG.
- 12.2 Permission will not usually be given until a viable business plan, relevant legal agreements and equity positions have been approved by RBI, and in some cases until sources of investment has been identified.
- a) Relevant legal agreements may include:
- i) Memorandum & Articles of Association (not needed in the case of a Partnership or Sole Trader):
 - ii) Shareholders' Agreement (not needed in the case of a Partnership or Sole Trader):
 - iii) Licence Agreement(s) (for use with a Company or Business):
 - iv) Collaboration Agreement with UWE (for use with a Company or Business) normally including terms relating to:
 - Research, consultancy, or education services provided by UWE, and UWE Employees and defining the terms under which UWE employees may participate in the Company's work, and
 - Supply of services, defining the terms under which UWE and the Company use each other's resources, staff, premises and equipment and the financial and other terms for this;
 - v) Deed of Partnership (for a partnership):
 - vi) Service/Employment Agreements for key employees: where required, these agreements relate to the terms of engagement by the Company or Business of the CEO/Managing Director and of other non-UWE key employees and consultants.
- 12.3 Permission from the Vice Chancellor, or alternatively the Director of RBI acting on his behalf, and the Executive Dean is required for any UWE employee to take a Directorship in a Company, or Business. Normally such a position will be non-executive.
- 12.4 UWE expects to be a shareholder in spin-out Companies which involve UWE employees, UWE resources or UWE assets. Normally UWE will take an equal shareholding to the UWE founder(s). Any subsequent dilution of equity (e.g. due to investors, non-UWE based Company managers, CEO etc) shall normally be pro-rata between UWE and the UWE founder(s).
- 12.5 UWE will normally transfer its IP and IPR to such Companies or Businesses in the form of licences (exclusive or non-exclusive).
- 12.6 RBI, on behalf of UWE, will negotiate with stakeholders (including funding bodies, joint owners with UWE of Intellectual Property and any previous sponsors of work undertaken at or with UWE) to which the Company/Business wishes to have access. The UWE Founders and Founding Team may need to assist in this process.

- 12.7 Staff and/or students are advised to seek their own independent legal and financial advice (including accountancy and tax) in relation to the formation of a Company or Business or any payment under this policy.
- 12.8 It is recommended that any such Company or Business formed takes out insurance to cover a number of factors including but not limited to; public liability insurance, professional indemnity insurance, employer's liability insurance, directors and officers insurance, buildings and contents insurance and product liability insurance, as appropriate.

13. Conflicts of Interest

By engaging in Knowledge Exchange activities with all the positive benefits for UWE, or through other activities, employees may find they place themselves in a difficult position with regard to their duties (e.g. as a Company Director) where the outside interest/engagement may conflict or appear to conflict with the interests of UWE or with their duties as employees.

Conflicts of Interest also have the potential to bring the name of UWE and the employee into disrepute where there is a conflict over legal requirements to both UWE and another organisation (e.g. the fiduciary duties of a company director may conflict with terms of employment by UWE).

These Regulations are not meant to discourage the many valuable outside activities of UWE faculty and staff members as the majority of the outside activities and financial interests of faculty and staff members are compatible with their obligations to UWE.

The requirement to declare and register such interests is designed to benefit both the employee and UWE from disclosure and discussion of possible problems concerning outside activities and interests.

- 13.1 A potential *Conflict of Interest* will include the following;
- a) conflicts to the mission of UWE or to research or teaching integrity,
 - b) conflicts of loyalty or commitment (having contractual relationships with third parties such as being a trustee, having a personal consultancy or being a member of external committees),
 - c) financial conflicts (especially relating to financial interests, personal consultancies, having ownership of or being a partner in another organisation),
 - d) conflicts between legal obligations as a company director or trustee and duties as an employee of UWE,
 - e) being an employee of UWE together with being an employee and/or director of another organisation or self-employed, where the roles undertaken in both positions present competing or conflicting interests for the individual concerned.
- 13.2 Faculty and staff members are primarily responsible for determining and disclosing their own possible Conflicts of Interest by completion of the "**REGISTRATION OF POTENTIAL CONFLICT OF INTEREST FORM**", and submitting this to the Director of RBI.
- 13.3 RBI will maintain a register of potential Conflicts of Interests.
- 13.4 In the event that the Executive Dean or Director of RBI believe that the potential Conflict of Interest needs discussing further they will set up a meeting with the employee, and will advise IPMG of any recommendations for action where appropriate.

14. Discretion to assign/licence back IP and IPR

- 14.1 In the event that UWE decides that it does not wish to pursue or continue to pursue the protection and/or exploitation of any IP or IPR it may at the discretion of the IPMG assign or licence its rights back to the inventors/creators of such IP or IPR on terms (including the sharing of any future economic benefit from any subsequent exploitation) to be negotiated. This will only generally be considered where there is clear evidence that the IP and IPR is not related to other interests UWE may have and in general the terms will confirm that UWE has a continued right to use such IP and IPR for research (including third party funded research) and teaching purposes. Any such requests should be made in the first instance to the Director, RBI.

15. Breach of Regulations

- 15.1 UWE reserves the right to regard a deliberate breach of the IP Policy or Regulations as a disciplinary matter for UWE staff and students and will be treated under normal procedures.
- 15.2 UWE may, at its discretion, consider all avenues available to it, including legal action, seeking injunction and damages or otherwise, in respect of persons bound by the UWE IP Policy and Regulations but who act in breach of them.

RBI 5th August 2008

**APPENDIX 4
CROSS CHECK DOCUMENTS TO ACADEMIC REGULATIONS 2006, ACADEMIC
PROCEDURES 2006 AND MAR3.1**

1. ACADEMIC REGULATIONS 2006

Academic Regulations 2006	Regulatory Framework 2008		Academic Regulations 2006	Regulatory Framework 2008
A1.1	B2.1.1R		B1.3	D5.1R
A1.2	B2.1.3R		B1.4	D1.5R
A1.3	Section K		B2.1	Section D2 – definition
A1.4	Section K		B2.2	D2.1R
A1.5	Section K		B2.3	D2.2R
A1.6	B2.1.4R		B2.4	D2.3R
A2.1	B16.2R		B2.5	D2.4R
A2.2	B16.4R		B2.6	Deleted – no longer required
A2.3	B16.1R		B3.1	Section D3 – definition
A2.4	B16.5R		B3.2	Section D3 – definition
A2.5	B11.6R		B3.3	D3.2R
A3.1	D4.1R		B3.4	D3.3R
A4.1	B4.1R		B3.5	D3.4R
A4.2	B4.2R		B4.1	Deleted – repetition
A5.1	Section c - definition		B4.2	D4.5R
A5.2	B5.1R		B5.1	Deleted – referred to in Section D5
A6.1	H6.1R		B5.2	D5.3R
A7.1	Section B3 – definition		B5.3	D5.1R
A7.2	B3.1R		B6.1	D6.1R
A7.3	Deleted – referred to in Section C		B6.2	D6.8.1R
A7.4	Deleted – referred to in Section A		B7.1	Section D6 – definition
A7.5	B3.4R		B7.2	D6.7.1.R
A7.6	B3.5R		B7.3	D6.6.2R
A7.7	B3.6R		B7.4	D6.7.3R
A7.8	B4.7R		B8.1	Section D6 – definition
A7.9	B3.8R		B8.2	D6.8.1R
A7.10	B3.9R		B8.3	D6.8.2R
A7.11	Section K		B8.4	D6.8.3R
A7.12	Section K		B8.5	D6.8.4R
A8.1	A5.1		B9.1	D6.6.1R
A8.2	B12.4R		B9.2	D6.6.2R
A8.3	B10		B9.3	D6.6.1R
A9.1	B10.1R		B9.4	D6.6.3R
A9.2	B10.3R		B9.5	Deleted
A9.3	B11.4R		B10.1	D7.1R
A9.4	B11.5R		B10.2	D7.2P
A10.1	B6.1R		B10.3	Deleted
A10.2	B6.2R		B10.4	D7.6P
A10.3	B6.3R		B10.5	D8.7R

Academic Regulations 2006	Regulatory Framework 2008		Academic Regulations 2006	Regulatory Framework 2008
A10.4	B6.4R		B10.6	D7.9R
A10.5	B6.5R		B10.7	D7.10R
A11.1	B7.1R		B11.1	D9.2P
A12.1	B8.1R		B12.1.1 – B12.2.1	D11.1R
B1.1	Section D - definition		B12.2.2	D11.3R
B1.2	D1.4R		B13.1	D8.1R
B13.2	D8.3R		E3.3	F7.3R
B13.3	D8.3R		E4.1	F2.1R
B13.4	D8.3R		E4.2	F2.2R
B13.5	D8.3R		E5.1	F16.1.1R
C1.1	B13.1R		E5.2	F16.1.2R
C1.2	B13.2R		E5.3	F16.1.3R
C1.3	B13.3R		E5.4	F16.1.8R
C1.4	B13.5R		E5.5	F16.1.12.1R
C2.1	B15.1R		E5.6	F16.1.11R
C2.2	B15.2R		E6.1	F17.1R
C2.3	B15.3R		E6.2	F17.2R
C2.4	B15.4R		E6.3	F17.15R
C2.5	B15.5R		E6.4	F17.16R
C2.6	B15.6R		E6.5	F17.19R
C3.1	B13.6R		E7.1	F3.1R
C4.1	H9.1R		E7.2	F3.3R
C5.1	B12		E7.3	F16.2.2.8R
C5.2	B12.2R		E7.4	F3.4R
C5.3	B12.3R		E8.1	F9.4R
C5.4	B12.4R		E8.2	F9.5R
D1.1	Section E2 – definition		E8.3	F9.6R
D1.2	E2.1R		E8.4	F9.7R
D2.1	E3.1R		E8.5	F9.8R
D2.2	E3.2R		E9.1	G3.1R
D2.3	E3.3R		E9.2	G3.2R
D2.4	E3.4R		E9.3	G3.4R
D2.5	E3.5R		E9.5	G3.5R
D2.6	E2.6R		E10.1	G4.1R
D3.1	E4.1R		E10.2	G4.2R
D3.2	E4.2R		E11.1	G5.1R
D4.1	E5.1R		E11.2	G5.2R
D5.1	E6.1R		E12.1	G6.2R
D6.1	E7.1.2R		E12.2	G6.3R
D6.2	E7.1.3R		E13.1	G7.1R
D6.3	E7.2.4R		E13.2	G7.2R
D6.4	E7.2.6R		E13.3	G7.3R
D6.5	E7.2.12R		E13.4	G7.4R
D7.1 - D7.2	E8.2R		E13.5	G7.6R
D7.2	E8.3R		E13.6	G7.7R
D7.4	E8.4R		E13.7	G7.8R
D7.5	E8.5R		E13.8	G7.9R

Academic Regulations 2006	Regulatory Framework 2008		Academic Regulations 2006	Regulatory Framework 2008
D8.1	E10.1R		E13.9	G7.22P
D9.1	E11.1R		E14.1	G9.1R
D9.2	E11.2R		E14.2	G9.2R
E9.3	E11.3R		E14.3	G9.3R
D9.4	Section K		E14.4	G9.4R
D10.1	E12.1R		F1.1	G10.1.1R
E1.1 – E1.2	F1.1		F1.2	G10.1.2R
E2.1	F3.5R		F1.3	G10.1.3R
E2.2	F3.6R		F104	G10.1.4R
E3.1	F7.1R		F2.1 – F2.2	G11.1R
E3.2	F7.2R		F3.1	G12.1R
F3.2	G12.2R			
F.3.3	B8.1R			
F4.1	G12.1R			
F5.1	G13.1R			
F5.2	G13.2R			
F5.3	G13.3R			
F6.1	G14.1R			
F6.2	G14.2R			
F7.1	G15.1R			
F7.2	G15.2R			
F7.3	G15.3R			
F8.1	G16.1R			
G1.1	H4.1R			
G1.2	H4.11R			
G2.1	H5.1R			
G2.2	H5.2R			
G3.1	H6.1R			
G4.1	H8.1R			
G4.2	H8.2R			
Section H	Section K			
I1	G17.1R			
I2	G17.2R			
I3	G17.3R			
I4	G17.4R			
15	G17.5R			
I6	G17.6R			
I7	G17.7R			
J1	G18.1.1R			
J2	G18.1.2R			
J3	G18.1.3R			
Section K	Section J			

2. ACADEMIC PROCEDURES 2006

Academic Procedures 2006	Regulatory Framework 2008		Academic Procedures 2006	Regulatory Framework 2008
B1a			8	D11.6P
1	D1.1R		9	D11.7P
2 – 3	D1.2P		10	D11.8P
4	B3.3P		C1a	
5	Deleted – repetition		1	C13.7P
6	Deleted – repetition		2	C13.8P
7	D7.3P		3 – 4	C13.9P
8 – 9	B3.2P		5	C13.10P
10	Deleted		6	C13.11P
11	D1.2P		7	C13.12P
12	D2.5P		8	C13.13P
13	D9.1P		9 – 10	C13.14P
14 – 15	D5.5P		11	C13.15P
16	D9.2P		12	C13.16P
17	D9.3P		13	C13.17P
18	Deleted		14 – 15	C13.18P
19	D8.1R		16	C13.19P
20	D8.2R		17	C13.20P
21	Deleted		18 -19	C13.21P
B6a			20	C13.22P
1	D6.1R		21	C13.23P
2	Section D6 – definition		C1b	
3	D6.2P		1 – 2	C1.7P
4 - 5	D6.6.4P		3 – 4	C1.8P
6	D6.7.5P		5	C1.9P
7	D6.7.6P		6	C1.10P
8	D6.7.7R		7	C1.11P
9	Section D6 – definition		8	C1.12P
10	D6.6.4P		9	C1.13P
11	Deleted		9 – 10	C1.14P
12	D6.8.6P		11	C1.15P
13	D6.8.7P		12	C1.16P
14	Deleted		13	C1.17P
15	D6.8.8P		14 -15	C1.18P
16 - 17	D6.5P		16	C1.19P
B10a			17	C1.20P
1	D7.6R		18 – 19	C1.21P
B12a			20	C1.22P
1	Deleted		21	C1.23P
2	D10.2.4P		C1b	
3	D10.2.1R		1 – 2	C2.1P
4	D10.2.2R		3	C2.2P
5	D10.2.3R		4	C2.3P
6	D10.3.1P		5	C2.4P
B12b			6 – 7	C2.5P

Academic Procedures 2006	Regulatory Framework 2008		Academic Procedures 2006	Regulatory Framework 2008
1	D11.2P		C1c	
2	Deleted		1	C3.1P
4	D11.4P		3	C3.3P
5 - 7	D11.5P		4	C3.4P
C1c cont..			C2d cont...	
5	C3.5P		13	C6.2.10P
6	C3.6P		14	C6.2.11P
C1d			15 – 16	C6.2.12P
1	Section C4 – definition		17	C6.2.13P
2	C4.1P		C2e	
3	C4.2P		1	C6.3.1P
C3a			2	C6.3.2P
1	C5.1P		3	C6.3.3P
2	C5.2P		4	C6.3.4P
3	C5.3P		5	C6.3.5P
4	C5.4P		6	C6.3.6P
5	C5.5P		7	C6.3.7P
6	C5.5P		8 – 9	C6.3.8P
7	C5.7P		10	C6.3.9P
C2a			11	C6.3.8P
1	A6.3.1		12	C6.3.10P
2	E9.2R		13	C6.3.11P
C2b			14	C6.3.12P
1 – 4	A6.4.1P		15	C6.3.13P
5	A6.4.2P		16	C6.3.14P
6 – 8	A6.4.3P		17	C6.3.15P
9 – 10	A6.4.4P		18	C6.3.16P
11 – 13	A6.4.5P		19	C6.3.17P
C2c			C2f	
1	C6.1.7P		1	C7.1P
2	C6.1.8P		2	C7.2P
3	C6.1.9P		3	C7.3P
4	C6.1.10P		4	C7.4P
5	C6.1.11P		5	C7.5P
6	C6.1.12P		6	C7.6P
7	C6.1.13P		7	C7.7P
8	C6.1.14P		8	C7.8P
9	C6.1.15P		9	C7.9P
10	C6.1.16P		10	C7.10P
11	C6.1.17P		11	C7.11P
12	C6.1.18P		12	C7.12P
13	C6.1.19P		C2g	
14	C6.1.20P		1	F18.1P
15	C6.1.21P		2	F18.2P
16	C6.1.22P		3	F18.3P
17	C6.1.23P		4	F18.4P
18	C6.1.24P		5	F18.5P

Academic Procedures 2006	Regulatory Framework 2008		Academic Procedures 2006	Regulatory Framework 2008
19	C6.1.25P		6	F18.6P
20	C6.1.26P		D1a	
C2d			1	E2.2P
1	C6.2.1P		2	E2.3P
2	C6.2.2P		3	E2.4P
3 – 5	C6.2.3P		4	E2.5P
6	C6.2.4P		5	E2.6P
7	C6.2.5P		D8a	
8 – 9	C6.2.6P		1	E9.1R
10	C6.2.7P		2	E9.5P and E9.3P
11	C6.2.8P		3	E9.6P
12	C6.2.9P		4	D9.7P
D8b			E5a cont...	
1	E11.1R		6	E16.2 – definition
2	E11.2P		7 – 8	F16.3.1R
3	E11.3P		9	F16.3.2R
4	E11.4P		10	F16.1.12.2R
5	E11.5P		11	F16.1.12.3R
D9a			12	F16.1.12.4R
1	Replaced by new complaints procedure – web link in regulatory framework		13	F16.1.9R
D10a			14	F16.1.10R
1	E12.2P		15	F16.1.3R
2	E12.3P		E6a	
3	E12.4P		1 – 3	F17.4P
4	E12.5P		4	F17.5P
5	E12.6P		5 - 6	F17.20.2P
6	E12.7P		7	F17.21.2P
7	E12.8P		7	F17.20.6P
8	E12.9P		9	F17.20 – Definition
9	E12.10P		10	F17.20.3R
E4a 1- 35	F14.1P – F14.33P		11	F17.21.3R
E4b			12 – 13	F17.21.4P
1 – 55	F15.1P – F15.8.3P		14	F17.21.5P
E4c			15	F17.21.4P
1	F11.2P		16	F17.21.6P
2	F11.3P		17	F17.22.1R
3	F11.4P		18	F17.22.3P
4	F11.6R		19	F17.22.4P
5 – 6	F11.9P		20	F17.22.5P
7	F11.10P		21 – 22	F17.22.6P
8	F11.11P		23	F17.22.8P
9	F11.12P		24	F17.22.6P
E4d			25	F17.22.9P
1	F13.1R		26	F17.8P

Academic Procedures 2006	Regulatory Framework 2008		Academic Procedures 2006	Regulatory Framework 2008
2	F13.2P		27	F17.9P
3	F13.3P		28	F17.10P
4	F13.4P		29	F17.11P
5	Deleted		30	F17.12P
6	F13.5P		31	F17.13P
7	F13.6P		32	F17.14P
8	F13.7P		33	F17.3P
9	F13.8P		34	F17.6P
10	F13.9P		35	F17.7P
11	F13.10P		36	F17.17P
12	F13.11P		37 – 38	F17.18P
E5a			39	F17.19R
1	F16.1.2R		E7a	
2	F16.1.5R		1	H10.1P
3	F16.1.6R		2 – 3	H10.3P
4	F16.1.7R		4	H10.4P
5	Deleted		5	H10.5P
E7a cont...			E13a cont...	
6	H10.6P		12	G7.17P
E9a			13	G7.18P
1	G3.8P		14	G7.19P
2	G3.11P		15	G7.20P
3	G3.12.1P		16	G7.21P
4	G3.13.1P		17	G7.22P and G7.23P
5	G3.13.2P		18	G7.24P
6	G3.13.3P		19	G7.25P
7	G3.13.4P		E13b	
8	G3.13.5P		1	G8.1.1R
9	G3.13.6P		2	G8.1.2R
10	G3.13.7P		3	G8.1.3R
11	G3.14.1P		4	G8.1.4P
E12a			5	G8.1.5P
1	G6.1.2P		6	G8.1.6P
2	G6 – Definition		7	G8.1.7P
3	G6.4P		8	G8.1.8P
4	G6.5P		9	G8.1.9P
5	G6.7P		10	G8.1.10P
6	G6.8P		11	G8.1.12P
7	G6.9P		12	G8.1.13P
8	G6.10P		13	G8.1.14P
9	G6.11P		F2a	
10	G6.12P		1	G10 – definition
11	G6.13P		2	G11.2P
12	G6.14P		3	G11.3P
13	G6.15P		4	G11.4P
14	G6.16P		5	G11.5P
15	G6.17P		6	G11.6P
16	G6.18P		7	G11.7P

Academic Procedures 2006	Regulatory Framework 2008		Academic Procedures 2006	Regulatory Framework 2008
17	G6.19P		8	G11.8P
18	G6.20P		9	G11.9P
19	G6.21P		10	G11.10P
20	G6.22P		F4a	
21	G6.23P		1	Deleted
22	G6.24P		2	G13.2P
23	G6.25P		3	G13.3P
24	G6.26P		4	G13.4P
25	G6.27P		5	G13.5P
26	G6.28P		6	G13.6P
27	G6.29P		7	G13.7P
E13a			8	G13.8P
1	Deleted		9	G13.9P
2	G7.5P		10	G13.10P
3	G7.4P		G1a	
4 – 6	G7.7P		1	Deleted
7	G7.12P		2	H4.2P
8	G7.13P		3	H4.3P
9	G7.14P		4	H4.4P
10	G7.15P		5	H4.5P
11	G7.16P		6	H4.6P
G1a cont...				
7	H4.7P			
8	H4.8P			
9	H4.9P			
10	H4.10P			
11	H4.12P			
12	H4.13P			
13	H4.14P			
14	H4.15P			
15	H5.3P			
16	H5.4P			
G2a				
1	Section H7 – definition			
2	H7.1P			
3	H7.2P			
4	H7.3P			
5	H7.4P			
6	H7.5P			
7	H7.6P			
8	H7.7P			
9	H7.8P			
10	H7.9P			
Section H	Section K			
J2a	Approved amendments			
1 - 15	G17.1.4P - G17.1.17P			

3. MAR 3.1

MAR 3.1	Regulatory Framework 2008		MAR 3.1	Regulatory Framework 2008
1.1 – 1.5	A5.4		3.1.5	F10.1.5R
2.1.1	A5.4		3.1.6	F10.1.6R
2.1.2	A5.4		3.1.7	F10.1.7R
2.1.3	D1.3R		3.2.1	F10.1.8R
2.1.4	A5.4		3.2.2	F10.1.9R
2.1.5	D5.1R		3.2.3	F10.1.10R – F10.1.11R
2.1.6	A5.6		3.2.4	F9.14R
2.1.7	A5.6		3.2.5	F10.1.12R
2.2.1	E7.2.5R		3.2.6	F10.1.13R
2.2.2	E7.2.6R		3.2.7	F10.1.14R
2.2.3	E7.2.7R		3.2.8	F10.1.15R
2.2.4	E7.2.8R		3.2.9	F10.1.9R
2.2.5	E7.2.9R		3.3.1	F10.2.1R
2.2.6	E7.2.11R		3.3.2	F10.2.2R
2.3.1	F8.1R		3.3.3	F10.2.3R
2.3.2	F8.2R		3.3.4	F10.2.4R
2.3.3	F8.3R		3.4.1	F10.2.5R
2.3.4	Deleted		3.4.2	F10.2.6R
2.3.5	F8.4R		3.4.3	F10.2.7R
2.3.6	F8.6R		3.4.4	F10.2.8R
2.3.7	F8.7R		3.4.5	F10.2.9R
2.3.8	F8.8R		3.4.6	F9.14R
2.3.9	F8.9R		3.5.1	F10.3.1R
2.3.10	F8.10R		3.5.2	F10.3.2R
2.3.11	F10.2.1R		3.5.3	F10.3.3R
2.4.1 – 2.4.2	Section F9 – definition		3.5.4	F10.3.4R
2.4.3	E9.1R		3.5.5	F10.3.5R
2.4.4	Deleted		3.5.6	F10.3.6R
2.4.5	F9.2R		3.5.7	F10.3.7R
2.4.6	F9.3R		3.5.8	F10.3.8R
2.4.7	Section F8 - definition		3.5.9	F10.3.9R
2.4.8	F9.9R		3.5.10	F10.3.10R
2.4.9	F9.10R		3.6.1	F10.3.11R
2.4.10	Deleted – Section F in diagrammatic form		3.6.2	F10.3.12R
2.4.11	F9.11R		3.6.3	F10.3.13R
2.4.12	F9.12R		3.6.4	F10.3.14R
2.4.13	F9.13R		3.6.5	F10.3.15R
2.5.1	F11.1R		3.6.6	F9.14
2.5.2	F11.3R		4.1.1	F10.4.1.1R
2.5.3	F11.6R		4.1.2	F10.1.2R
2.5.4	F11.7R		4.1.3	F10.1.5R
2.5.5	F11.8R		4.1.4	F10.1.4R
2.5.6	F11.9R		4.1.5	F10.1.7R
2.6.1	F12.1R		4.2.1	F10.1.8R
2.6.2	F12.2R		4.2.2	F10.1.9R
2.6.3	F12.3R		4.2.3	F10.4.1.2R

MAR 3.1	Regulatory Framework 2008		MAR 3.1	Regulatory Framework 2008
3.1.1	F10.1.1R		4.2.4	F10.4.1.1R
3.1.2	F10.1.2R		4.2.5	F10.1.14R
3.1.3	F10.1.3R		4.2.6	F10.4.1.4R
3.1.4	F10.1.4R		4.2.7	F10.1.16R
4.3.1	F10.2.1R		5.8.2	B11.2R
4.3.2	F10.2.2R		5.8.3	B11.3R
4.3.3	F10.2.3R		6.1 – 6.14	D4.8.1R
4.3.4	F10.2.4R		7.1	G1.1R
4.4.1	F10.2.5R		7.2	G1.2R
4.4.2	F10.2.6R		7.3	G1.3R
4.4.3	F10.2.7R		7.4	G1.4R
4.4.4	F10.2.8R		7.5	G1.5R
4.4.5	F10.2.9R		7.6	G1.6R
4.5.1	F10.6.1R		7.7	G1.7R
4.5.2	F10.6.2R		8.1	G1.8.1R
4.5.3	F10.6.3R		8.2	G1.8.2R
4.5.4	F10.6.4R		8.3	G1.8.3R
4.6.1	F10.3.1R		8.4	G1.8.4R
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APPENDIX 5



**University of the
West of England**

**Postgraduate Research Degree Programmes
Code of Practice
Version 1.2**

Effective from 1st September 2008

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1 THE RESEARCH ENVIRONMENT

1.1 Research requires a supportive environment in which to flourish. However it is not practicable to specify what this entails, since the nature of the right environment is very much dependent on the subject area of the research. It is therefore the responsibility of each Faculty, through the designated nominee of the Dean, to ensure that research degrees are conducted within an environment appropriate to the subject area of the research and having adequate regard to:

- the size of the research group, both in terms of staff and students
- the depth of experience of research and of research degrees supervision among the staff group involved
- the provision of study space and facilities
- the provision of laboratories, laboratory equipment and technical support (where appropriate)
- the availability of appropriate training in research skills and employment related skills
- access to academic and welfare support facilities
- the provision of opportunities for interaction with other research students and the Faculty research community
- the links of the research group to the wider research community.

1.2 Where a Faculty is not able to provide the appropriate research environment from within its own resources, it will be expected to do so by collaborating with one or more other groups, either within the University or elsewhere.

2 MARKETING AND PROMOTIONAL INFORMATION

- 2.1** All marketing and promotional information which can be accessed by potential students should give a fair, full and consistent picture of what the student should be able to expect from the University. This applies to all aspects of promotional literature, whether the University prospectus, individual Faculty prospectuses or brochures, websites, whether managed by the University centrally, a Faculty or by individual researchers or research groups.
- 2.2** Students have a right to expect clear and accurate information on the following points:
- current research strengths within the University
 - potential supervisors
 - availability of relevant resources, such as equipment, library resources etc
 - availability of financial support, whether from sources internal or external to the University
 - fees payable, including registration fees, bench fees, and costs for any additional study or training modules not covered by the core fee
 - the fulfilment of any mandatory research and/or generic skills training programmes
 - the University's Regulations and Procedures, including annual monitoring/assessment and progression requirements and feedback mechanisms
 - University and Faculty policy on support for research students
 - University and Faculty policy on what is expected of research students
 - procedures for resolution of problems, and for formal complaints.
 - the University's Research Governance policy, including Intellectual Property Rights.
- 2.3** Staff also have a responsibility to familiarise themselves with this information and are expected to operate within this context.
- 2.4** The University and Faculties should ensure that copies of all promotional materials are maintained for a period of not less than seven years, in order that reference can be made easily to the information that was presented to any given student.

3. RECRUITMENT AND ADMISSIONS

- **The Academic Board shall approve procedures governing the application, registration (including transfer of registration), supervision and examination of research students.**
- **Faculties are responsible for selection and admission of students in accordance with approved Faculty procedures and under delegated authority from Academic Board**

(Academic Regulations 2008/9 K5.1R & K5.2P.)

Policy

- 3.1** Faculty admissions procedures should be clear, consistent, fairly applied and documented in accessible written form. They must reflect the requirements and criteria for admission detailed in the Academic Regulations (Section K5).
- 3.2** Appropriate information about the admissions procedure should be made openly available to applicants. The confidentiality of the admissions process must be maintained.
- 3.3** Staff involved in the process of making decisions about admission should be fully conversant with Faculty and University procedures.

The Interview

- 3.4** Admission decisions will be made on the basis of the information supplied by the applicant on the appropriate application form and by personal interview. Personal interview will normally be face to face, but alternative mechanisms, such as video conferencing or telephone conferencing can be adopted when circumstances make this more appropriate. Procedures for all such interviews should be such that an accurate assessment of the applicant's suitability may be made and should be clearly defined in Faculty procedures.
- 3.5** At least one member of any admissions panel should have been trained in admissions processes specifically for postgraduate research students, and would normally chair the panel. The panel should consist of at least two appropriate members of staff with relevant experience and expertise and should include the prospective Director of Studies, where this has been identified.
- 3.6** The primary purpose of the interview is to assess the student's potential to undertake and complete the proposed programme of research and to explore issues and requirements that the student may have in order to do so.
- 3.7** The interview and any background information should make explicit to the applicant:
- what is expected in terms of commitment to academic studies and attendance, workload, required attendance and presentations at seminars and conferences
 - what may be available in terms of opportunities for teaching/demonstrating and training that will be provided should such opportunities arise
 - expectations in terms of meeting the requirements of the university regarding ongoing progress

monitoring and assessment, completion of required programmes of training and timely completion of the award what support is available both from the Faculty and the Institution.

Funding and Resources

3.8

It is most important that the applicant understands the financial commitment he/she will be undertaking in terms of fees and other additional costs throughout the period of study e.g. bench fees or fees for language or other training modules where appropriate.

The availability of resources and facilities to adequately support the research project should be investigated before an offer of a place is made. The Dean or nominee must approve these arrangements before the student can be enrolled.

The Director of Studies should encourage the student to explore possibilities for financial assistance with fees e.g. from an employer or commercial sponsor.

Entry Requirements

3.9

For a supervised PhD or MPhil the normal expectation is that applicants will hold at least a 2:1 or a Masters qualification. Entry qualifications for other research awards e.g. Professional Doctorates are as stipulated in individual programme specifications.

Where the Faculty wishes to consider applicants offering professional experience in lieu of formal qualification, mechanisms should be established by which equivalency can be clearly and rigorously demonstrated and the applicant considered on his/her merits in relation to the nature and scope of the work proposed.

The standard of English language qualification required for international students wishing to pursue research is normally IELTS 6.5 or TOEFL 600, in areas where language proficiency is less critical this may be reduced to IELTS 6.0 or TOEFL 570. Equivalent qualifications may be acceptable subject to approval by the appropriate authority.

Proof of qualifications will be required as part of the application process and references will be checked where appropriate.

Approval of Application and Formal Offer

3.10

Recommendation for admission should be made in accordance with approved Faculty procedures. A student cannot be accepted onto a programme of study by a supervisor alone.

The formal offer letter to the student should be issued by the Dean/nominee and, together with any accompanying documentation, must include as a minimum

- confirmation of mode, level, period, place, starting-date of study
- title and brief outline of proposed research project including any programme of integrated study
- reference to requirement for and timing of progression examination and consequences of failing to demonstrate satisfactory progress

- fees and other charges
- the name of the Director of Studies
- facilities and support available to the student
- expectations in relation to academic and social conduct and performance including training requirements, progress monitoring and assessment
- the nature and terms of teaching or demonstrating duties
- the requirements of any sponsor.

It is also good practice to include, where appropriate, clear directions for accessing information about University research governance policy including ethics, intellectual property rights, health & safety and research misconduct, as well as the requirements of relevant professional bodies.

4 INDUCTION

- 4.1** Faculties should consider whether induction is best managed as an individual process, or on a cohort basis. This will usually depend on whether the Faculty admits all (or most) research students at one point in the academic year, or allows for recruitment at any time.

In organising induction, it should be clear to all students how, when and where to report and to whom, and what they are required to bring with them.

Special consideration may need to be given to part-time students and students based at a distance.

- 4.2** As a **minimum**, faculties will ensure that, on enrolment or on their first day, students receive a postgraduate research student handbook, or an equivalent source, which should provide appropriate and timely information including:

- supervisory and Faculty processes, institutional expectations, University Academic Regulations, information on the university's research culture and wider research community
- the role of Research Degrees Examining Board and of the Faculty Research Degrees Committee or equivalent
- codes of conduct, research governance policy and health and safety
- a copy of the most recent Faculty research report, as a source of information about other related research work in the Faculty
- information on access to IT facilities, Library Services, and other relevant resources
- registration, fees, ISIS
- training requirements and programmes of training provided centrally and within the Faculty
- relevant seminar programmes.

- 4.3** Information specific to the student's own project should also be provided, including:

- where they will be based, and the facilities available to them in their workplace
- how to contact members of their supervisory team, and other relevant senior members of staff (e.g. Director of the Graduate School, Dean or Associate Dean, etc.)
- dates for submission of registration documentation, and for the first progression report.

- 4.4** In addition it is good practice to introduce other mechanisms whereby the student can familiarise themselves with the University, the campus, its facilities and support services, particularly for students who may not have any previous knowledge of the University, the locality or the region.

- 4.5** The Faculty should also seek to provide information and opportunities for new students to integrate into both the University and the Faculty's research community and to meet other research students.

4.6 Faculties should consider whether it is appropriate and feasible to appoint an experienced research student to act as a mentor for new research students, and if so, for what period of time.

4.7 Research students who are contracted or expected to be involved in teaching should also be given the opportunity of attending an appropriate induction programme to ensure that they are aware of issues relevant to teaching at UWE. Such a programme would be expected to cover:

- an introduction to how they will be expected to support students' learning
- the UWE regulatory framework and support infrastructure
- access to online learning support resources
- the role of the Module Leader.

5. REGISTRATION

The Faculty shall be responsible for the registration of students to programmes of supervised research and shall ensure that procedures are in place to execute this responsibility in a timely and appropriate manner. Students are required to re-register at the start of each subsequent academic year. The Faculty is responsible for the prompt registration of the student. Once the Faculty has approved the registration of a research student, the Director of Studies will ensure that the student registers without delay (no individual can be counted as a research student and no supervision should be provided beyond a bare minimum until registration is completed). Annual fees and any other fees levied by the Faculty are payable on registration.

(Academic Regulations 2008/9 K6.1.5P)

5.1 Registration

The Faculty is responsible for the prompt registration of the student to a programme of supervised research. Once the Faculty has approved the registration of a research student, the Director of Studies will ensure that that student registers without delay (no individual can be counted as a research student, and no supervision should be provided beyond a bare minimum until registration is completed). Annual fees and any other fees levied by the Faculty are payable on registration.

5.2 A copy of the UWE Student Handbook together with the Faculty's own handbooks and other relevant University and Faculty documentation, Codes of Conduct etc should be issued to the student on registration.

5.3 The Director of Studies should work closely with the student during this initial phase and is responsible for providing guidance on the development of a detailed, well-defined research project specification and associated programme of work and reading. This must be:

- within the student's own capabilities and interests
- within the expertise of the proposed supervisory team
- practicable in terms of available physical resources

5.4 As part of the registration process, the Director of Studies is responsible for working with the student to complete a training needs analysis and to formulate a training plan which may incorporate informal and/or non-assessed elements as appropriate as well as programmes of mandatory and assessed Faculty research training.

5.5 The Faculty is responsible for maintaining accurate records for research students using the standard university student records system, supplemented as necessary

6 RESEARCH TRAINING

- **All research students are required to undertake an assessed training programme appropriate to their needs, of a minimum credit value, to enable them to fulfil the requirements of the UWE MPhil or Doctoral Descriptor.**

(Academic Regulations 2008/9 K7.1R)

- 6.1** The University should provide access to a coherent and appropriate programme of training for research students. This will, in general, be made up of three elements:
- research methods, methodology, skills, tools and techniques required to undertake the research degree programme
 - general transferable skills, relevant to both the research project and to subsequent employment
 - additional subject study in areas needed for completion of the research work.
- 6.2** The student's training needs will normally be identified by means of an individual training needs analysis carried out during discussions between the Director of Studies and the student no later than registration, and updated regularly during the programme.
- 6.3** The sources from which the student may acquire the necessary training are various and flexible and for the Faculty to determine. They may include the use of a standard Faculty approved programme, attendance at centrally organised workshops, study delivered elsewhere in the University (e.g. language studies), or learning achieved externally to the University.
- 6.4** The University should ensure that clear information is easily accessible about what is available in the University, when and where these elements are provided, and any deadlines by which these need to be completed.
- 6.5** The training programme for an individual student should be reviewed at appropriate intervals, and amended if the requirements of the research project or the needs of the student have changed. Individual training programmes should also be designed to enable the student to fulfil any accredited training requirements of the University for postgraduate research programmes.
- 6.6** It is the Faculty's responsibility to ensure that an accurate record of research training undertaken to fulfil assessed, accredited training requirements is maintained.
- 6.7** The Faculty will provide opportunities for students to maintain a personal development plan, training record, learning log/diary or other appropriate system designed to monitor the progress of their development.

- 6.8** Where training is assessed, it is important that students are given guidance on the assessment regulations, and understand the consequences of failing the requirements of any taught components.

7 THE SUPERVISION PROCESS

- 7.1** All students will be supported and guided by a team of supervisors, consisting of at least two suitably qualified academics or professionals as relevant. Where circumstances require it, there may be more than two supervisors but a supervision team should not be larger than three unless there is a strong rationale for it.
- 7.2** An appropriately constituted committee (normally the Faculty Research Degrees Committee or equivalent) will be responsible for the approval of the supervision team, including approving any changes to the team during the course of the research degree programme. In approving a supervision team, the committee will need to consider the depth of research experience and expertise, experience of completed supervision, any experience of research degree examining, and the workloads of staff.
- 7.3** Some research degree programmes will benefit from the involvement of additional academic or other experts. When this is identified, such experts will normally be appointed as advisers rather than as members of the supervision team. The role and purpose of such appointments will be clearly set out by the Director of Studies in writing to both the adviser and the student and other members of the supervision team.
- 7.4** One member of the supervision team will be designated the Director of Studies. The Director of Studies is responsible for ensuring that the supervision is carried out in accordance with the University's Academic Regulations, and this Code of Practice.
- 7.5** Unless there are exceptional circumstances, clearly identified and documented by the Research Degrees Committee, no person should be appointed as a Director of Studies unless he/she has supervised at least one research degree student at the same or a higher level to completion.
- 7.6** The Faculty Research Degrees Committee, or equivalent, should ensure that as far as possible, staff appointed as Directors of Studies will have completed appropriate training in supervision skills.
- 7.7** The Director of Studies will ensure that the student and all members of the supervision team understand the roles and responsibilities of each member of the team.
- 7.8** The Director of Studies will be responsible for ensuring that the student is fully aware of the requirements of the University and the Faculty, in terms of registration, progression examinations, annual monitoring, access to resources, IPR, research governance and ethics, health and safety and dignity at work.
- 7.9** Irrespective of periodic monitoring processes, the Director of Studies will be responsible for ensuring that the student is made aware in a timely fashion of any problems or concerns with the progress being made by the student. Where these concerns are serious, the Dean or his/her nominee should also be made aware of any such concerns.

- 7.10** The Supervision team must ensure that the team meets with the student at appropriate intervals, and that the meetings are properly conducted and recorded. Meetings should, as a minimum, cover a discussion of the student's progress since the last meeting and should agree a set of actions resulting from a review of their project plan, publication plan and training and development needs.
- 7.11** The appropriate frequency of meetings will depend on a number of factors – the nature of the research, the mode of attendance (part-time or full-time) and the particular stage of the research programme. It will be the responsibility of the supervision team to plan the frequency of meetings explicitly, in discussion with the student.
- 7.12** Normal practice will be for the student to maintain a written record of each formal meeting, and to take responsibility for circulating such record to all members of the supervision team. The Director of Studies should maintain an archive for the purposes of annual monitoring.
- 7.13** It is recognised that there will be informal meetings between members of the supervision team and the student. When there is no reason for concern about the progress of the programme, there is no need for any record to be kept of these informal meetings. However supervisors should keep brief records of informal meetings when there is reason to suppose that the programme is not proceeding well.
- 7.14** The University will ensure that skills in supervision are developed through an appropriate development programme. Training in supervision will be available as part of the induction programme for all new academic staff and regular opportunities for development of supervision skills will be provided. Faculties will ensure that staff have access to development opportunities, either by making use of the University programme, or by providing local programmes of staff development. Faculties will maintain records of the staff development in supervision skills undertaken by their staff.

8. MONITORING OF PROGRESS

- **Faculties shall publish procedures for each member of the supervisory team and the student to report progress to the appropriate Faculty committee annually. The procedures shall provide for the annual report to be in an approved written format and for it to be considered by the appropriate Faculty committee. Guidance on the content and completion of annual progress reports shall be provided by the Faculty.**

(Academic Regulations 2008/9 K12.3.2R)

- **In the case of PhD students the progression examination shall be held no later than the end of the first twelve months of a registration period, or no later than nine months in the case of an MPhil registration. In the case of part time students, the period will be increased pro rata, but must be defined at the start of the registration period.**

(Academic Regulations 2008/9 K12.2.2R)

The Progression Examination

8.1

The Progression Examination is intended to combine assessment of the formulation and planning of the research programme with an evaluation of progress to date and of the suitability of the project as a basis for the research degree in question.

8.2

Students should be informed of the requirements of the progression examination at the point of admission and of the consequences of failure to progress.

8.3

Faculty procedures should be clear and easily accessible to all those involved in progression examinations, and must reflect the requirements of Academic Regulations (K12.2.1.P)

8.4

The Director of Studies is responsible for ensuring that arrangements for the progression examination are made in good time and that preparation for the examination is given appropriate weight and significance during the first year of study.

8.5

Students must be provided with appropriate, detailed written feedback on their performance during the progression examination

8.6

The student has the right to apply for a review of progression decisions (in accordance with Academic Regulation K12.2.20))

Annual Monitoring

8.7

The focus for annual monitoring and assessment in the years subsequent to the progression examination should be to ensure that adequate progress is being maintained.

8.8

Faculties must establish procedures to provide an accurate and detailed evaluation of the student's progress on an annual basis. These should include arrangements for

adequate and independent scrutiny and assessment of progress by those not normally associated with the research project or the supervisory team.

- 8.9** It is for the Faculty to determine the most appropriate format and criteria for annual progress assessments. These must be sufficiently rigorous to provide an adequate test of the student's knowledge and understanding of the subject material, of progress to date and of objectives set for the future. The assessment should also test knowledge of appropriate research methodology and other subject specific skills and confirm the completion of any compulsory taught elements for that year.
- 8.10** Suitable models of good practice include the following:
- An extended piece of written work or report defended at viva, similar in format to that of the progression examination
 - A seminar presentation to Faculty colleagues on aspects of the work to date followed by a defence in open forum
 - A detailed progress report addressing specific criteria to be devised by the Faculty Research Degrees Committee, or equivalent, that will demonstrate progress at the level appropriate to the degree for which the student is registered.
- 8.11** The outcome of the annual monitoring process should be considered by the appropriate Faculty committee who will have responsibility for approving progression from one year of study to the next.
- 8.12** Faculties should ensure that procedures are transparent and accessible to all those involved in annual progress assessment and monitoring and that participants are clear as to the purpose and value of the exercise.
- 8.13** Students should be provided with appropriate and detailed feedback arising from any review of progress to help them identify issues to be addressed. It is also good practice to provide an opportunity to comment in a confidential environment about issues such as support and supervision, as well as via the more formal Faculty mechanisms for feedback.
- 8.14** In parallel, Research Degrees Co-ordinators, or equivalent, should continue to be active in monitoring the pastoral aspects of the student's learning experience to facilitate the early identification of problems that may adversely affect completion – e.g. the student/supervisor relationship, workload etc.

9 DISSEMINATION, PUBLICATIONS AND CONFERENCES

- 9.1** Postgraduate research degree students will be encouraged to take an appropriate part in dissemination activities, including academic publishing where appropriate, to an extent and in media which will depend on the discipline and the field of research.
- 9.2** In planning a research degree programme, the supervisory team should work with the student to formulate a publication plan, or other appropriate dissemination plan, which should be considered regularly at formal supervision meetings. Progress against the plan should be monitored. Such plans will take into account that the student may not be able to take the leading role in writing academic publications in the early stages of their programme, but should be encouraged to develop the skill to do so during it. Supervisors should advise students on appropriate and relevant media for publications, including conferences as well as journals.
- 9.3** Faculties will need to consider how they can provide resources to support publication, and dissemination more broadly, including conference attendance. Clear policies should exist on what support is available for research students wishing to publish, travel to conferences etc. Bids for research funding which include support for research students should include, where possible, funding for appropriate dissemination activities such as conference attendance.
- 9.4** Faculties should provide appropriate development and training in the skills associated with dissemination, including academic publishing where appropriate. This may include access to development and training opportunities in academic writing, conference presentation, poster presentation, etc. as appropriate to the particular discipline or project. Such opportunities may include internal publication and dissemination.
- 9.5** Faculties should provide opportunities for research students to make presentations of their work to their peers and to academic staff, including support in preparing such presentations and feedback on performance.

10 EXTERNAL COLLABORATORS AND FUNDERS

- 10.1** Co-operation with industrial, commercial, professional or research establishments is encouraged. The nature of arrangements with any collaborating establishment should be clearly defined and agreed in writing by the University prior to the commencement of the project. This should include, for example, the use of any facilities, access to data, ownership of IP etc. Details of these arrangements will be made available to the student. The University will also make available to collaborators information about ongoing academic aspects of the project, any requirements of students and its expectations of collaborators in their supervision of students.
- 10.2** Where a project involves extended periods working in collaborating organisations, there should be means of ensuring that, although absent from their principal place of study, student progress continues to be carefully supported and monitored.
- 10.3** The University will be responsible for meeting the requirements of external funding bodies with regard to the support of postgraduate research study and will ensure that students and supervisors are aware of any requirements they are expected to fulfil with regard to such bodies.

11 INTELLECTUAL PROPERTY AND CONFIDENTIALITY

- 11.1** All supervisors should familiarise themselves with the University's policies on Intellectual Property (IP) which was amended with effect from 11 June 2007. Postgraduate research students registered before this date should consult the previous IP policy. Both can be found on the Research, Business & Innovation web pages <http://rbi.uwe.ac.uk/intranet/default.asp>
- 11.2** Under the current IP policy, UWE claims ownership of all IP, IPR, products and materials arising from research and/or project outcomes arising from postgraduate study (including IP, IPR, products and materials produced by part-time post-graduate students), unless specifically excluded, or otherwise agreed in writing between the postgraduate student and UWE, following a recommendation by the Executive Dean (or their nominee) and the Director of RBI. For third party funded work or where IP ownership by UWE is essential, students must still be asked to sign the "Assignment of Intellectual Property Rights Agreement" which also covers obligations relating to confidentiality and power of attorney.
- 11.3** Research students should be asked as part of the registration process to confirm in writing their consent to abide by the UWE IP Policy and Regulations.

12 INVOLVEMENT IN TEACHING

- 12.1** Research Degree students may, at the discretion of the Faculty, be given the opportunity of teaching within the University, at either undergraduate or postgraduate level.
- 12.2** Research students who have no contract of employment as (for example) a Research Assistant, Research Fellow or a member of academic staff, will be paid at the normal Visiting Lecturer rate for any teaching that they undertake. Research students employed as Visiting Lecturers will have all the same duties, rights and responsibilities as other Visiting Lecturers.
- 12.3** Unless clearly stated otherwise and in writing, no research degree student shall have the right to be given paid teaching work in the University. A research student who is awarded a bursary-supported teaching assistantship shall not have the bursary withdrawn because the Faculty is unable to provide any opportunities for teaching.
- 12.4** The Faculty will ensure that no research student is expected to undertake an amount of teaching work that would hinder completion of the research degree according to the initially planned timescale.
- 12.5** Unless clearly stated otherwise and in writing, the performance of a research student as a teacher shall form no part of the assessment of the research degree that the student undertakes. The exceptions to this shall be restricted to Professional Doctorates or other similar programmes where teaching is part of the professional practice that is developed within the doctoral programme.
- 12.6** Faculties will provide induction and training programmes as appropriate for research students who are employed as Visiting Lecturers, including:
- initial guidance on the University's teaching processes and procedures, assessment regulations, and approach to teaching and learning
 - ensuring that research students employed as Visiting Lecturers will have access to other staff development opportunities for the development of pedagogic skills.
- 12.7** Where research students wish to undertake formal training in the skills of teaching and learning, faculties will consider such requests, but cannot guarantee to provide financial support. The time commitment demanded by such formal training will need to be carefully considered, to ensure that it does not conflict with the demands of the research programme.
- 12.8** Where a research student is involved in teaching, supervisors will need to recognise that this imposes timetabling constraints on students, and will respond to these sympathetically.

13 SUPPORT FOR RESEARCH DEGREE STUDENTS

13.1 All research degree students are entitled to proper levels of support in their studies, which will be provided partly by the University, partly by the Faculty and partly by the supervisory team.

13.2 The supervisory team will be responsible for ensuring that the student receives academic support and guidance in planning and implementing the research programme.

13.3 The Faculty will be responsible for ensuring that the student has access to:

- resources required to complete the project in a timely manner, including an appropriate place for the student to work
- all necessary laboratory and other study facilities, including consumable materials as required (The Faculty may charge bench fees to cover all or part of the cost of providing equipment or consumables, but any such fee shall be clearly notified to the student in advance of registration)
- the University Regulations and Procedures, and to competent, timely and professional advice on the interpretation and application of these
- appropriate IT facilities, although the demands of the individual situation will determine whether this should involve the provision of a computer workstation specifically for the sole use of the student
- a mechanism by which a student is able to access support in resolving difficulties with the supervision team.

13.4 The University will provide

- access to more specialised advice, covering financial matters, assistance with accommodation problems, careers advice and general counselling
- effective and timely administration of the final assessment of all research degrees.

14. ASSESSMENT

The responsibility for identification of appropriate examiners lies with the Director of Studies.

- **(Academic Regulations 2008/9 K13.1.2P)**

Selection and Appointment of Examiners

14.1 The responsibility for identification of appropriate examiners lies with the Director of Studies, who should start the process during the 12 months prior to the anticipated date of the examination, in consultation with:

- other members of the supervisory team
- senior research staff within the discipline at UWE or elsewhere
- other research active academics in closely related fields
- the student.

14.2 The judgement of the research should be made largely by academics uninfluenced by personal knowledge of the candidate. Where a candidate might be considered to have a relationship which may compromise the objectivity of any examiner, either through employment or by any other means, two external examiners must be appointed.

14.3 To ensure an appropriate balance of experience on the panel, the appointment of an inexperienced internal examiner is normally compensated by the appointment of a very experienced external one and vice versa. Normally panels will have the combined experience of at least four degree examinations at the same level as the candidate or higher between them.

14.4 Prior to initial consideration of the proposed examination panel by the appropriate Faculty committee, the candidate should be asked to indicate in writing whether he or she has:

- any personal links with any of the proposed examiners
- any reason to suppose that any of the examiners would not be able to make a fair and unbiased judgement about the quality of the research to be examined.

The Faculty Committee will take due account of any information that the candidate provides under this section, but will not be bound to change its nomination of examiners. Where the Committee does receive any such information, the minute of its decision and the deliberations leading to it shall be supplied to Academic Registry together with the nomination papers.

- 14.5** The Academic Registry will manage all examination appointments for approval on behalf of Academic Board in accordance with Academic Regulations. Academic Board will also appoint a senior and experienced researcher to act as an independent Chair of the viva panel, drawn from a list of approved Chairs all of whom will have received appropriate training. Letters of appointment will be issued by the Academic Registry.
- 14.6** The Director of Studies, the candidate and the relevant Faculty contacts will be notified of the full membership of the panel by the Academic Registry.
- 14.7** Panel appointments are valid for a period of 12 months from the date of approval, after which they will lapse unless the thesis has been submitted for examination.
- 14.8** All internal examiners should have attended training on the UWE procedures for examining PhD candidates. Once appointed, external examiners will receive appropriate information and guidance on these procedures prior to the examination date via the Academic Registry. The panel will also receive a further short procedural briefing from the Chair during the pre-viva preparation session.

First Stage: The Thesis

- 14.9** The Director of Studies, in consultation with the candidate, the panel Chair and the examiners, will set the date of the viva and will inform the Academic Registry.
- 14.10** **The requisite copies of the thesis (one softbound for each member of the panel including the Chair) must be received by the Academic Registry for distribution to the panel at least six weeks prior to the proposed date of the viva. The examiners (i.e. excluding the Chair) will indicate no later than ten working days before the proposed date whether the thesis is of a sufficient standard that the viva should proceed.**
- 14.11** Guidance to examiners should make it clear that a viva should not proceed if :
- there is insufficient evidence of an original contribution to knowledge or scholarship;
 - the work is not reported with sufficient clarity for it to be accessible to the informed reader.
- 14.12** Where one or more examiners considers that no useful purpose would be served by conducting a viva, they may recommend that the viva should not proceed and that further work is undertaken on the thesis as part of the first examination. In such cases the examiners will provide written guidance for the candidate on the deficiencies of the thesis. The Chair is responsible for ensuring that the report explaining this decision is passed to the candidate and the Director of Studies via the Academic Registry, within fourteen days of the original viva date. A thesis may be referred back for further work on only one occasion before the viva is held.
- 14.13** No candidate may be failed outright without recourse to viva.

14.14

The candidate will not receive copies of the examiners' preliminary reports.

Second Stage: The Viva

14.15

The Examining Panel will meet for a period of at least 30 minutes prior to the viva in order to plan the viva. The Chair is responsible for ensuring that the viva is conducted according to the Regulations and Code of Practice of the University.

14.16

Any member of the supervisory team may be present at the viva, subject to the agreement of the candidate but is not permitted to speak except at the express invitation of the Chair whose questions will be limited to those of a factual nature.

Third Stage: Examiners' Decisions

The possible outcomes from the viva are set out in Academic Regulation K13.11.2R

14.17

Where the candidate is awarded the degree subject to minor amendments, or is permitted to resubmit and be re-examined, the Chair will be responsible for the co-ordination of a written report reflecting the recommendations and guidance of the panel as to the alterations and additional work required. This will be communicated to the candidate and Director of Studies by the Academic Registry

14.18

One re-examination may be permitted subject to submission of the revised thesis within one calendar year from the date of the latest part of the first examination.

15 FEEDBACK MECHANISMS

- 15.1** Mechanisms will be provided to enable those concerned with postgraduate research programmes to provide feedback. These should include;
- student, supervisor and administrative representation on appropriate University and Faculty committees
 - annual student progress reports that allow opportunities for suggestions and comments to be made, in confidence if appropriate, by both students and supervisors
 - designated individuals, independent of the supervisory team, to whom comments can be made in confidence
 - an annual student forum which will provide opportunities to raise and discuss issues of common concern.

Any feedback will be considered carefully and constructively and acted upon as necessary.

- 15.2** Feedback will be sought from external examiners on the institution's overall processes and academic standards and provided for the relevant committee(s) to consider

- 15.3** There will be an annual or biennial survey of research students to gauge the level of satisfaction with their experience of the university, including those who have recently completed. The results of the survey will be analysed and presented to appropriate University and Faculty committees as part of the institution's quality assurance processes.

- 15.4** The institution, centrally and at Faculty level, will monitor annually data on recruitment profiles, withdrawal, submission and completion rates and the number of appeals and complaints as well as aggregated information from student and examiner feedback. Faculties will be expected to report on these matters as part of their annual report to the University.

16. CHANGES IN RESEARCH DEGREE REGISTRATION

- 16.1** Faculties must have in place, and must disseminate, procedures for the consideration and approval of major changes to a research student's project direction, to the supervisory team, the student's mode of attendance (e.g. FT/PT) and degree registration (i.e. the temporary suspension, extension or withdrawal of registration). This is in addition to the need for procedures for initial registration, ongoing monitoring, progression and assessment noted elsewhere in this Code.
- 16.2** Procedures should be clear, consistent, fairly applied and documented in accessible written form. They must operate within the context of university policy on confidentiality and be mindful of the need for sensitive handling of personal information and circumstances. They should be well understood by both staff and students. Students in particular should be made aware of the avenues of help and support available to them.
- 16.3** Faculty Research Degrees Committees or equivalent are responsible for the consideration and approval of changes to a student's registration in accordance with Academic Regulations (K6.3). It must ensure that any conditions of approval such as rescheduled dates for resuming studies, or completing the research project, are clearly defined and communicated to all concerned. The Faculty should ensure that such changes are recorded appropriately.
- 16.4** Significant changes should not be undertaken lightly or approved without appropriate evidence. Supervisors must actively consider when changes are appropriate and in the student's best interest. The student should be appropriately informed of and involved in the process.
- 16.5** **Suspension of Registration** should be considered in the event of external circumstances, including illness, which prevent the student from working. Applications must be supported by appropriate evidence and should not normally be approved for more than one year at a time.
- 16.6** **Extension of the Registration Period** should not automatically be given, and usually be for no more than one year at a time. There must be good reason for the delay in completing the project together with a realistic revised date for completion.
- 16.7** **Withdrawal of Registration** may be initiated by the student or the University. The Director of Studies is responsible for initiating this process by application to the faculty research degrees committee or equivalent once it becomes clear that the student is no longer working on the research programme. The student must be adequately informed of any intention to withdraw their registration which must be supported by appropriate evidence.

16.8 Changes to the supervisory team may be advisable when:

- a key member of the supervisory team leaves the institution
- the direction of the student's project changes such that the supervisory team no longer has the subject expertise to support the student appropriately
- a supervisor is absent from the university, through illness, sabbatical, or other reason and is unavailable by other means of communication for a significant period (It is for the Faculty to determine what is meant by 'significant' based on the student's individual circumstances and the role and responsibilities of the supervisor concerned, but this will normally be taken to be eight weeks or more. Faculties should ensure that temporary alternative arrangements are in place to support the student as appropriate should the absence be for a shorter period)
- the relationship between supervisor and student has irrevocably broken down and remains so after all reasonable attempts at mediation via the Faculty's internal procedures have been exhausted
- the Dean determines that such a change will be in the best interests of either party.

17. RESOLVING PROBLEMS AND ACADEMIC COMPLAINTS

The University has developed a three stage Complaints Procedure to provide a clear route for making a complaint.

- **The University expects that the majority of issues can be resolved informally through normal contacts and discussion between staff, students and other interested parties without the need to instigate formal procedures. An issue or complaint should therefore initially be raised through someone close to its origin.**
<http://www.uwe.ac.uk/complaints/>

An academic complaint shall be defined as a matter of concern to a student about the delivery, management or assessment methods and procedures of an award, award route or module, or of supervised research, which has not be resolved through the normal [Faculty] consultation procedures.

(Academic Regulations 2008 E12.2R)

- 17.1** In addition to the normal processes of student consultation, opportunities for feedback and measures for annual monitoring and assessment, Faculty procedures must include internal mechanisms, both informal and formal, for the handling, consideration and resolution of problems and issues that may be experienced by research students.
- 17.2** Faculty procedures should be clear, consistent, fairly applied and documented in accessible written form. They should be well understood by both staff and students. Students in particular should be made aware of the avenues of help and support that are open to them. Procedures should include clearly defined timescales to ensure the speedy resolution of problems and minimum disruption to the programme of research study.
- 17.3** Students should raise all issues concerning the progress and supervision of their programme of research study with their Director of Studies in the first instance. It is anticipated that in most cases this will be sufficient to resolve the problem to the satisfaction of all concerned.
- 17.4** Faculty procedures should recognise that on occasion there may be problems or issues regarding supervision which students feel unwilling or unable to raise with their Director of Studies, or problems that have not been satisfactorily resolved despite the best efforts of both supervisor and student. In such cases mechanisms should allow for sensitive and confidential consideration by an appropriate third party or intermediary such as the Research Degrees Co-ordinator or equivalent.
- 17.5** The Dean will be the final arbitrator in all supervisory problems and after appropriate investigation and advice, may ultimately require the appointment of replacement supervisors. Any changes to supervisory arrangements must be submitted to the Faculty Research Degrees Committee or equivalent in accordance with agreed procedures.

- 17.6** Where problems remain unresolved within a defined timescale, students and/or their supervisors should have recourse to the University's Complaints Procedures which includes formal Faculty procedures as stages 1 and 2 of the process.
- 17.7** Faculties should ensure that students are made aware of other sources of help, advice and guidance that are available to them within the University e.g. via Student Services.
- 17.8** Faculties must provide clear directions to official sources of information about University complaints and misconduct procedures.

18. APPLICATIONS FOR REVIEW OF DECISIONS OF EXAMINERS FOR RESEARCH DEGREES (APPEALS)

- **Applications for review of decisions of the examiners of research awards may only be made in accordance with Academic Regulation G7.**

18.1 Students wishing to lodge an application for review (an appeal) must comply with the requirements listed at Academic Regulation G7.5P.

18.2 Grounds for review (appeal) are laid out in full in Academic Regulations. In summary, the only grounds for appeal are

- material and significant administrative irregularity
- extenuating circumstances affecting a candidate's performance which he/she was unable to divulge before the meeting of the examiners.

It is not possible to apply for review on the basis of a disagreement with the academic judgement of the examiners.

18.3 It is the responsibility of faculties to ensure that students receive adequate and timely information about the institution's formal procedures for review and to provide clear direction to sources of official information.

18.4 The right to apply for review in accordance with academic procedures applies to all formal assessment during the student's registration for a research degree including the progression examination and any taught components.