

ACADEMIC PROCEDURES 2013/2014

Corporate and Academic Services

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Part B Academic standards: the regulation of awards

B3 Standard of awards

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 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 their nominee) and to such groups and committees as have responsibility for approval of programmes, new modules or units of study.

B7 Aegrotat awards

B7.3P A report of aegrotat awards will be made to Academic Board as and when they are awarded.

B8 Posthumous awards

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

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.

B10 Award titles

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 do so and exercise that opportunity to confirm which title they would prefer to have conferred.

Part D Credit

D1 Learning and credit

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 Corporate and Academic Services for scrutiny. The advice of other appropriate persons from inside or outside the University may be sought as necessary.

D2 Credit tariff

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.

D4 Credit structure of awards

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

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

and with the assessment regulations for:

- c. 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 B12.1R.

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, including in cases where the student has a profile containing Accredited Learning and / or Accredited Experiential Learning.

D6 Accredited learning and accreditation of experiential learning

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

- a. authenticity, by evidence that the applicant completed what was claimed;
- b. direct comparison, by evidence of a matching of the learning outcomes with those expected of comparable specified modules approved by the University for the award sought; or with those required of programme learning outcomes within the Shell Award Framework;
- d. currency, by evidence that the learning achieved is in keeping with expectations of knowledge current in the area of expertise required.

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 Academic Board.

D6.6 Maximum permitted recognition of accredited learning and accredited experiential learning

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. University recognition of accredited learning and accredited experiential learning is subject to the Academic Regulations and Procedures (See D6.1R). 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 and Procedures.

D6.7 Recognition of accredited learning

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:

- a. authenticity, by evidence that the applicant completed what was claimed;
- b. direct comparison, by evidence of a matching of the learning outcomes with those expected of comparable specified modules approved by the University for the award sought; or with those required of programme learning outcomes within the Shell Award Framework;
- c. 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:

- a. credit awarded by other institutions of higher education on presentation of verifiable evidence;
- b. 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 University's 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.

D6.8 Recognition of 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:

- a. a structured interview plus corroborating evidence;
- b. work based observation plus a portfolio or other record;
- c. 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) or group of module(s) 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 awards

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 D7.7R.

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 programme team retains the right to determine entry for both logistical and educational reasons.

D8 Credit records

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.

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 Director of Corporate and Academic Services/Academic Registrar.

D10.2 Affiliated institutions

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:

- a. seek approval to apply the University's credit structure and requirements to its proposed award(s);
- b. 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.

D10.3 Institutions outside the United Kingdom

D10.3.1P 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

D11.2P 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.

D11.4P 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 Director of Corporate and Academic Services/Academic Registrar as soon as possible. Where the preliminary contact is with any other member of University staff the Director of Corporate and Academic Services/Academic Registrar must be notified of the approach as early as possible.

D11.5P The Director of Corporate and Academic Services/Academic Registrar will arrange for preliminary informal consultation with the appropriate officers of Corporate and Academic Services to determine the scope and nature of the organisation's likely proposals. After preliminary consultation and advice to the organisation, the Director of Corporate and Academic Services/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 Director of Corporate and Academic Services/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 Director of Corporate and Academic Services/Academic Registrar.

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 Director of Corporate and Academic Services/Academic Registrar.

Part E The student academic experience

E2 Admission

E2.2P The admission of students to taught programmes and awards is managed by the University's centrally-based Admissions and International Development (AID) Service working in conjunction with Faculty staff. The broad policy framework is determined by Academic Board and its implementation is overseen by the Director of Student and Partnership Services.

E2.3P Admissions and International Development (AID) apply agreed criteria for exercising discretion in admitting students with non-standard qualifications and other learning and/or experience gained outside formal education.

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 University is responsible for establishing clear procedures for considering such applications. 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 (D6.8 refers).

E2.5P Where the admission of students is the sole responsibility of faculties, they shall observe the provisions of relevant university policies including the Admissions Policy and Equal Opportunities 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.

E7 Registration and enrolment

E7.1 Registration

E7.1.6P Corporate and Academic Services 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. Corporate and Academic Services is responsible for ensuring that student personal and academic data are up to date and accurate.

E9 Academic guidance, tutorial and learning support

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 manages the University's Student Adviser scheme.

E9.4P Further information on the support available can be found on the 'Students' pages on the UWE website.

E9.5P Faculty procedures and arrangements may vary, reflecting local arrangements and requirements. In the case of joint honours students a single 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 Student Advisers 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 and Partnership Services Department in support of students' learning and related matters.

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

- a. 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;
- b. 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;
- c. access to informed, impartial academic advice and appropriate guidance to allow students to make informed choices;
- d. access to appropriate assistance and support to enable students to maximise their learning potential through acquisition and refinement of learning skills;
- e. liaison with the Student Services Department to ensure readily accessible information and advice on career planning.

and that there is:

- f. 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;
- g. provision for staff induction/preparation and support for their tutorial roles;
- h. provision for keeping and maintaining records of contact and follow-up action, where necessary, including where students fail to attend;
- i. observation and implementation of equal opportunities policies;

- j. 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 called GDP sessions, facilitated by a staff tutor.

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

- a. 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
- b. complete a level with below 75% attendance by submitting a 2000 word piece of reflective writing (Annual Report) for each level.

E10.3P On completion of their studies at UWE, successful students are awarded a cumulative GDP certificate.

E11 Consultation with and feedback from students

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. 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 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 faculty scrutiny by Academic Standards and Quality Committees.

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

- a. informal and formal mechanisms for securing student consultation and feedback are employed;
- b. there is provision for student participation in quality assurance and quality enhancement activities;
- c. 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;
- d. lines of responsibility for and channels of communication with students are clear and documented;
- e. 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:

- a. consultative and feedback mechanisms are timely and sufficiently frequent to allow students to make a worthwhile contribution to developing and enhancing their learning experience
- b. the focus and purpose of consultative and feedback mechanisms are made clear and communicated effectively to all students
- c. arrangements for preparing agendas and briefing students in relation to formal committee business are timely and accessible
- d. arrangements for requesting feedback from students on modules, units of study and across a programme/award are appropriately co-ordinated
- e. that the feedback loop is properly closed through provision for keeping students informed of action or the reasons for taking no action.

E13 Suspension and expulsion of students for academic reasons

E13.2P A student may be suspended from or required to leave a programme, award or module for academic reasons other than failure in assessment. These other academic reasons may include, 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, or module 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, or module 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 Vice-Chancellor's Executive 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 resits and retakes 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 or module 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 or module. 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 Head of Complaints and Appeals that the student be expelled from the programme, award or module. 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 the request is being considered, the Head of Complaints and Appeals 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 Any temporary suspension of the student will remain in force until such time as it is changed by the outcome of this procedure.

E13.10P On receipt of a proposal for expulsion, the Head of Complaints and Appeals will send a copy of the request to the student, and provide an opportunity for the student to appeal within 10 working days.

E13.11P The only grounds for appeal shall be:

- that the University has failed to follow the procedure as set out;
- that the student has material new information/evidence which was not reasonably available before.

- E13.12P** The Vice-Chancellor or nominee, in consultation with the Head of Complaints and Appeals, will consider the appeal submission and determine whether there are valid grounds to proceed. Where valid grounds have been determined, the Head of Complaints and Appeals will invite the student to submit additional evidence within a specified timeframe for further consideration. This may include an opportunity for the student to be heard by the Vice-Chancellor or nominee and to be represented by the Students' Union.
- E13.13P** The Vice-Chancellor or nominee may make any decision appropriate to the case including a period of temporary suspension and expulsion from the University.
- E13.14P** The decision of the Vice-Chancellor or nominee will be final and will conclude this Procedure. The Head of Complaints and Appeals shall notify the student and the Executive Dean of the Vice-Chancellor's or nominee's decision.
- E13.15P** A 'Completion of Procedures' letter will be issued to the student. Further information on procedures for external and independent review can be obtained from the Office of the Independent Adjudicator for Higher Education website (www.oiahe.org.uk).

Part F Assessment

F6 Assessment activities and assessment feedback

Definition: Assessment feedback means comments made by tutors on a student's assessed work which enables the student to understand how they have met the defined assessment criteria and which identifies areas for further improvement.

F6.9P 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 20 working days (excluding University closure days) 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 20 working days 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 provisional.

F6.10P Feedback to students on coursework (including all assessments not completed under examination/controlled conditions) shall:

- a. inform students explicitly whether or not they have met specific threshold assessment criteria;
- b. inform students how well they have met specific assessment criteria;
- c. describe how students could have improved the current piece of work and/or how they could improve future work;
- d. be legible;
- e. be provided within the timescale indicated in the University's assessment policy and not later than the date published in advance to the students.

F6.11P Additionally, where possible feedback shall:

- a. provide comments on content and technique;
- b. act as a form of dialogue between student and tutor;
- c. encourage students to reflect critically on their work;
- d. improve students' understanding of the topic of the assignment, particularly highlighting areas where misunderstanding is evident;
- e. motivate students.

F6.12P Feedback on examinations shall inform students of the outcome of the examination in terms of grade obtained.

F6.13P 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:

- a. attending a feedback event at which generic feedback is provided;
- b. having access to on-line or written generic feedback;
- c. having a tutorial with a marking tutor.

F11 Submission of work for assessment

F11.4P 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.

F11.5P For work submitted online, students may submit the assignment as many times as they wish but only the last submission made will be assessed.

The date and time of submissions is taken from the Blackboard server and is only recorded when the upload is complete.

F11.6P Each upload attempt must contain the complete coursework submission. If multiple files need to be uploaded students must ensure all files are attached to each submission. Only the final upload will be marked.

F11.7P The normal expectation is that students will either submit their work in person or online (if instructed to do so). However, students who submit their work by post are advised that they should ensure that work is posted on or before the published deadline and obtain proof of postage that reflects the date and time of posting. Where students do not have proof of postage and the work goes astray in the post, such work will be deemed not to have been submitted. Where a student does have proof of postage and the work goes astray the proof of postage document will be accepted as proof of the date the work was posted and the student will be permitted to resubmit the work within 5 working days of the original deadline. It is the responsibility of students to check that work posted has been received by the University. It is the responsibility of students to ensure they keep a second copy of their work.

F13 Taking assessments under controlled conditions off campus

F13.2P First sit examinations should be held at the University of the West of England or an approved academic partner.

Permission to take an examination off campus may be granted only where the assessment:

- a. is the resit;
- b. can be arranged at a British Council Office;
- c. is for students participating in an academic exchange, and can be arranged at one of the other institutions participating in the exchange.

Assessments under controlled conditions taken off campus have security implications and the associated administrative costs are considerable.

F13.3P Acceptable circumstances

Students who are away from the UK on the date of the resit examination may exceptionally be permitted to take the examination off campus if:

- a. they are paying an international rate fee and are a final year student whose permanent home address is outside of the UK and who would only need to return to take a resit;

- b. they are on a University approved placement outside of the UK and have been allowed to proceed to the placement with the requirement to complete the resits during the placement;
- c. they are an exchange student participating in an academic exchange arrangement.

F13.4P Non - acceptable circumstances

Students will not be permitted to take an examination overseas in the following circumstances:

- a. they are resident in the UK but are out of the country on holiday or for domestic reasons;
- b. for individual convenience;
- c. they are undertaking an internship.

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 and that a fee and expenses will be charged. A student seeking permission to take an assessment under controlled conditions off campus under the above provisions must apply to Central Exams and Timetabling (CETTS) as early as possible and before the published deadline. The application must be in writing supported by relevant documentary evidence. Further information, including details of the deadline and the request form are available from the [CETTS](#) web pages.

F13.6P CETTS will convene a panel to consider requests and assess whether the application meets the stated criteria and if secure arrangements can be made in time. At this point a request may be rejected. However, if the request is accepted CETTS will make contact with the British Council Office or other institution to establish whether the exam sitting can be facilitated. This will determine whether the exam can be taken overseas. An examinations officer will then inform the student of the decision.

If a request is rejected or it is not possible to facilitate the examination off campus, the student will be expected to return to the UK to sit it.

F13.7P If a request is accepted, students must be aware of the following:

- a. 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 so as to prevent any possibility of communication between candidates at different centres;
- b. 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.
- c. 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.

F13.8 Fees and expenses

F13.8.1P A student granted permission to take an assessment under controlled conditions off campus will be charged a fee. The student will be invoiced for the fee and must pay any additional costs associated with the invigilation or organisation of the examination or assessment. A student who does not pay the fee and/or any additional expenses will be treated as a debtor.

F13.8.2P 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.

F13.9 Exceptional applications

F13.9.1P A student other than those covered by the circumstances outlined in F13.2P and F13.3P will not normally be permitted to take an assessment under controlled conditions off campus.

Permission will only be granted in very exceptional circumstances by the Head of Examinations and Timetabling. The Head of Examinations and Timetabling may also give permission for an assessment under controlled conditions to take place elsewhere than at a British Council Office or an institution participating in an exchange.

A student seeking permission due to very exceptional circumstances must apply in writing and the application supported by relevant documentary evidence. Further information, including details of the deadline and the request form are available from the [CETTS](#) web pages.

F17 Extenuating Circumstances

F17.15 Submissions by personal application from a student

F17.15.1P Where permitted by the regulations, if a student considers that they have been adversely affected by extenuating circumstances they may request that an examining board exercises its discretion in their favour. For example, their performance in assessed work may have been impacted upon, they may have been unable to attend an assessment or they were unable to comply with a regulation governing the award or assessment. Such a request must meet the University's definition of extenuating circumstances (section F17 of the regulations).

F17.15.2P The student shall explain the circumstances on the Extenuating Circumstances form and state in what way, and between what dates, they affected them. The statement must be accompanied by relevant documentary evidence.

F17.15.3P Evidence presented by students must meet the standards required to provide the University with the necessary assurances to satisfy the regulations (F17.2R – F17.5R). The University reserves the right to take such steps as deemed necessary

to verify the evidence submitted without prior notification to the student. Where the University is unable to authenticate the material to its satisfaction, it will not be accepted.

F17.15.4P Where an illness, medical condition or disability is of a long term nature, has previously been disclosed and reasonable adjustments put in place, extenuating circumstances applications are not normally accepted unless it is the case that:

- a. a student has a fluctuating condition which suddenly worsens, such as depression or arthritis;
- b. a student's condition involves sudden episodes of symptoms, for example, seizures or migraines;
- c. the adjustments have not been effective, or the student experiences a circumstance for which reasonable adjustments have not been made.

There must also be evidence to show that the symptoms were exceptionally acute and were a material factor affecting performance at the relevant time.

F17.15.5P The request to the examining board shall normally be submitted prior to the particular assessment concerned. The request shall be submitted by post or in person in a sealed envelope to any Information Point, or e-mailed to: infopoint@uwe.ac.uk. In the case of submissions to the research degrees examining board they should be addressed to the Postgraduate Research Assessment Manager, 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 designated person before the start of the relevant meeting of the examining board.

F17.15.6P Requests for consideration of extenuating circumstances will not be carried forward between assessment opportunities.

F17.15.7P Requests for consideration of extenuating circumstances will not normally be received retrospectively after the assessment.

F17.15.8P Requests shall be considered by designated staff operating at the Information Point and / or at least one member of the University's Extenuating Circumstances Panel. In cases where it is identified that an application needs to be taken to a full panel, consideration will be carried out in a virtual or a formal meeting. A Panel may, if appropriate, request and receive reports from tutors and interview students in order to allow it to clarify the extenuating circumstances. The designated staff or the Panel shall make decisions about the acceptability of the extenuating circumstances and the evidence submitted.

F17.16P Notification of the decision to accept or reject extenuating circumstances applications

F17.16.1P Students will be notified whether their application has been accepted or rejected as soon as possible via e-mail and / or myUWE. Where an application has been accepted this will subsequently be considered by the examining board.

F17.17P Examining Boards: making decisions on accepted extenuating circumstances

F17.17.1P When an examining board makes a decision on a student's assessment it shall:

- a. take account of any circumstances referred to it by the student concerned in accordance with the Academic Regulations and Procedures;
- b. only consider personal applications from a student in accordance with this procedure;
- c. judge what effect, if any, that approved circumstances have had on the student's performance;
- d. exercise such discretion as is allowed within University regulations and the assessment regulations for the award;
- e. take account of any significant adverse effect on the student's performance and the decision made in regard to their extenuating circumstances application.

An Award Board may:

- a. permit students a retake at a failed module;
- b. permit the mark from a resit or retake to be uncapped (unless it is already capped) in determining the classification of a degree with honours or any other form of differential level of an award;
- c. 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 award.¹

F17.18P Notification of the Award Board decision on accepted extenuating circumstances

F17.18.1P Any subsequent Award Board decision will be available on myUWE following the publication of results.

F17.18.2P Acceptance of an extenuating circumstances application does not permit the following:

- a. an adjustment to the marks for individual modules;
- b. to allow students who have passed a module to retake it;
- c. to waive the fees for a retake;
- d. to allow marks for elements of assessment within a failed component to be carried forward.

¹ 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.

F17.19 Group adverse circumstances

F17.19.1P When a field or examining board (non linear) 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 or examining 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.

F17.19.2P In the case of submissions from students, normally the details should be provided in writing to the designated person responsible for the module not less than five working days before the meeting of the field or examining board. However, the board shall have discretion to consider submissions received after five working days.

F17.20P Temporary withdrawal from studies

F17.20.1P Where a student has experienced serious but temporary circumstances which have impaired their learning (for example, a long period of illness or medical treatment or another unexpected but disruptive occurrence) they may request a temporary withdrawal or 'time out' from their studies. This is where the student intends to return to the course within an agreed time period which is no longer than two years. A student will be permanently withdrawn after two years. The date of withdrawal is the date that the University receives written notification of the student's decision.

F17.20.2P A temporary withdrawal or 'time out' is a break from study. Therefore, a request to time out from the current academic year must be received no later than the last day of the final term of the programme. This deadline allows the examining board to fully consider the impact of the time out on the student's academic profile. After this point, if the student does not withdraw and they are experiencing serious but temporary circumstances they should refer to the extenuating circumstances procedure (F17.15P).

F17.20.3P Students temporarily withdrawing from the University should note the following:

- a. academic progression may be affected;
- b. there may be fee implications;
- c. there may be academic consequences if a student temporarily withdraws from a programme accredited by a Professional, Statutory and Regulatory Body;
- d. there may be implications on immigration status and for completion of studies for students who require a visa;
- e. a temporarily withdrawn student cannot submit work for assessment or sit examinations;
- f. no marks for work submitted after the time out commences will be recorded, but credit for modules which have been passed will be awarded;
- g. withdrawal from modules will remove access to view them on Blackboard;
- h. it will only be possible to return to the same programme if it is still running.

F17.20.4P On a student's return:

- all assessments for all modules will need to be taken, even if work was submitted previously and / or the examination/s were sat, unless the whole module has been passed;
- the form of module assessment may be different;
- they may be required to change their mode of attendance e.g. from full-time to part-time.

F19 Alternative assessment arrangements

F19.5P Students with temporary disabilities or severe illness (ie likely to last less than a year) which have a substantial effect on their capacity to study and/or take assessments in the usual way or who are in a period of pregnancy or maternity may contact the Disability Service to discuss whether reasonable adjustments can be made which help them to manage their course.

F19.6P Students are required to make early requests for alternative examination arrangements. The University cannot guarantee to process requests unless made before the published *deadline* for each examination period.

F19.7P 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.

F19.8P Details of the arrangements for any individual shall be agreed between the faculty and the Disability Service 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.

F19.9P Students who have a medical certificate to cover absence from the University with an infectious illness or who arrive at an examination and admit to having or suspecting they have an infectious illness, should not be admitted to any examination room. They should be advised to submit Extenuating Circumstances in accordance with F17 above.

F19.10P 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 Disability Service. 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.

F20 Assessment offences

F20.2 Process of investigation

F20.2.3P An individual who considers that a student has committed an assessment offence shall, as soon as possible, report the allegation to the Module Leader. If there is evidence to support it, the Module Leader will then give the details in writing to the Executive Dean (or nominee) for the relevant faculty. The Executive Dean's nominee will normally be the faculty Assessment Offence Adviser.

F20.2.4P In cases where the assessed work is found to display poor levels of scholarship, advice and support will be offered.

F20.2.5P Where it is found that there is there is no case to answer, the investigative process will cease.

F20.2.6P In other cases, the Executive Dean (or nominee) shall seek to establish the nature and extent of the offence and in doing so will consider the contribution of the 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.

F20.2.7P Alleged assessment offences will normally be processed as one offence where the assessments have been submitted in parallel, where an offence has not been admitted by the student and proved, and where the student has not yet been warned of the consequences of making a further offence.

F20.2.8P The Executive Dean (or nominee) shall notify the student by letter and e-mail of the nature and details of the allegation, the extent of the offence and the procedure to be followed.

F20.2.9P The student shall have three working days from the date of the notification to indicate to the Executive Dean (or nominee) whether they admit to the offence/s, and whether they wish to exercise the right to meet with them to discuss the nature and potential implications of the allegations.

F20.3 Confirmation of the decision

F20.3.1P Within three working days of receiving the student's response, either in writing or during the meeting, the Executive Dean (or nominee) shall report the decision in writing to them and issue a warning if appropriate.

F20.4P Investigating panels

F20.4.1P Where the student does not admit the offence, the Executive Dean (or nominee) shall invite two members of staff not concerned with the allegation to join him or her in an investigating panel. Where possible the membership 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.

F20.4.2P The investigating panel 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 panel shall seek the advice of the Director of Corporate and Academic Services/Academic Registrar.

F20.4.3P The student shall be invited to meet the investigating panel and to submit a further written statement and to speak to the investigators. They may be accompanied by a friend or Students' Union representative who may speak on their behalf. The Executive Dean (or nominee) shall give such notice of the meeting as they consider reasonable.

F20.4.4P The Executive Dean (or nominee) shall require the person(s) making the allegation to attend a meeting of the investigating panel to explain it. At the discretion of the Executive Dean (or nominee), the identity of the person making the allegation may be withheld from the student.

F20.5 Confirmation of the decision

F20.5.1P Within three working days of the meeting the Executive Dean (or nominee) shall report the decision in writing to the student.

F20.6P Group Work and assessment offences

F20.6.1P 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:

- a. where a member of the group acknowledges, in writing to the Executive Dean (or nominee) for the faculty owning the module, that they have committed an assessment offence;
- b. 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 of these exceptions the penalty will only be applied to the member(s) of the group who have committed the assessment offence.

F20.7P Reporting penalties to the Field and Award Boards

F20.7.1P In each case, the Chair of the relevant Field and Award Board (or examining board for a non-modular programme) will receive a report from the Executive Dean (or nominee) on the nature and extent of assessment offences and the decision made on any penalties. The decision reported will be one of the following:

- a. to take no further action; or
- b. to reduce the mark for the relevant element of assessment to zero; or

- c. to reduce the mark awarded for the relevant element of assessment to zero and refer the component; or
- d. to determine whether to permit any further assessment and where appropriate to deem the student to have failed the module or unit of study.

F20.7.2P The Executive Dean (or nominee) shall report to the Award Board any instances where more than one offence has been committed by the same student and any penalties imposed.

F20.7.3P It is not within the remit of the Field or Award Board to consider an alleged assessment offence, to determine whether an offence has occurred or to make a decision on an appropriate penalty. However, once the process for an alleged assessment offence case has been concluded, the Award Board may implement an approved outcome when considering the student's academic profile in accordance with G6.2.3P.

F20.7.4P 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 may decide to take further action in relation to the recommendation for a particular award. It may decide one of the following:

- a. to take no further action;
- b. to vary the class of award recommended.

F20.8 Extenuating circumstances

F20.8.1P Where extenuating circumstances have been disclosed as part of an assessment offence investigation and taken into account in determining a penalty, an application made for the same reasons cannot be taken into account at the Award Board.

In cases of a student making an extenuating circumstances application for reasons which were not disclosed at the time of the assessment, the applicant will need to explain why it was not possible for the reasons to have been disclosed during the initial investigation. The student must be able to show that the circumstances had a serious enough effect on their studies to call the decision into doubt.

F20.9 Annual reporting

F20.9.1P The Executive Dean (or nominee) 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 Director of Corporate and Academic Services/Academic Registrar.

F20.10 Further actions

F20.10.1P 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.

F20.10.2P The Director of Corporate and Academic Services/Academic Registrar or the examining board, through the Director of Corporate and Academic Services/Academic Registrar may decide that a report shall be made in order that the Vice-Chancellor may consider instituting action in accordance with the Rules governing the student conduct procedures for students.

F20.10.3P 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 regulation F7.

F20.10.4P Regulation E13 (Suspension and expulsion of students for academic reasons) may be applied where appropriate.

F20.11P Supporting information

F20.11.1P The University may take copies of students' work as the University may consider necessary or expedient for the detection of assessment offences.

F20.12 Investigation of alleged assessment offences by doctoral level candidates

F20.12.1P Allegations against candidates registered on programmes leading to MPhil and doctoral level awards of the University shall also be investigated in accordance with these procedures where the allegation relates to the assessment of taught elements of the award for which UWE credit is awarded.

F20.12.2P The University considers that all allegations of assessment offences relating to research study undertaken by candidates for the purpose of an MPhil or doctoral level award shall be deemed as serious and shall be investigated in accordance with the procedures as set out in section K14. The only exception shall be first offences of a lesser nature alleged to have been committed prior to the submission of the thesis for final examination for which a formal warning may be considered the most appropriate outcome.

F20.12.3P For the purposes of investigating assessment offences in the research study element of MPhil and doctoral level awards, the Executive Dean's nominee will normally be the Chair of the Faculty Research Degrees Committee (FRDC) of the faculty responsible for the award on which the candidate is registered, who will report the nature and extent of the assessment offence to the Research Degrees Award Board. The Board will decide any penalty to be imposed.

Part G Results and awards

G2 Award Board discretion

G2.9P Where a student has been allowed by an Award Board to take a new compulsory module in place of one which no longer contributes to the award, then their record should show they have failed the module, and not the programme.

G3 Appeal against a decision of an Examining Board

G3.2P In all cases the original outcome shall be final and not varied until and unless a successful appeal results in an alternative decision. For example, where a student is excluded due to academic failure, the student shall not be reinstated until the appeal process is complete and the outcome of the appeal results in an amendment of the original decision.

G3.6P The application shall:

- a. Be submitted electronically using the form provided on the Corporate and Academic Services website. Third party applications must include a signed third party consent form;
- b. Third party submissions should be addressed to the Complaints and Appeals Team in an envelope marked 'Appeal against a decision of an examining board';
- c. Be received no later than ten working days after the formal notification of the examining board's decision. The Complaints and Appeals Team may use discretion to consider and allow a late request where a student demonstrates good reason for delay;
- d. Provide the full name, date of birth and student number of the applicant, an email and postal address for reply, the programme and award, the decision of the examining board against which a review is requested;
- e. 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;
- f. Include all relevant documentary evidence on which the application relies (for example, medical or death certificates); The Complaints and Appeals Team may use discretion to allow late submission of evidence where a student demonstrates good reason for delay.

Stage one

G3.7P If an application meets the conditions in G3.6P, the Head of Complaints and Appeals (or nominee) 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 light of the relevant regulations.

G3.9P A student shall normally be notified of the outcome at Stage One of their appeal application by email within 20 working days from the receipt of the submission of supporting evidence (where relevant). Where a case is likely to take longer than 20

days, students shall be notified to this effect. The student shall be notified of their right to request a review of this decision.

Stage two

G3.11P Requests for Review, with reasons given, should be submitted in writing to the Chair of the Academic Appeal Panel within 10 working days of receipt of the email from the Complaints and Appeals Team informing them of the outcome at Stage One of this Procedure.

G3.15P The student shall be advised in writing of the Academic Appeal Panel's decision, normally within twenty working days of the Request for Review having been received. The student will be given reasons for the decision. The decision of the Appeal Panel will be final in the University and the student will be issued with a Completion of Procedures Letter.

Independent Review

G3.16P There are no other appeals procedures within the University beyond those detailed above. Students who believe that their case has not been dealt with properly by the University or that the outcome is unreasonable may be able to complain to the Office of the Independent Adjudicator for Higher Education (OIA) if the complaint is eligible under its rules and once all internal University procedures have been concluded.

Annual report

G3.17P The Head of Complaints and Appeals 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.

G4 Appeals from students at affiliated institutions

G4.1 Arrangements for appeals

G4.1.4P To appeal, the student shall write to the Head of Complaints and Appeals marking the envelope 'Appeal', 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 Head of Complaints and Appeals not later than ten working days after the date of the letter conveying the final outcome of the affiliated institution's procedures for considering appeals against decisions of examining boards.

G4.1.5P The Head of Complaints and Appeals shall undertake enquiries to determine whether the appeal meets the conditions set out in G4.1.2R – G4.1.3R and G4.1.4P). The student shall be notified in writing of the outcome.

G4.1.6P If the appeal meets the conditions the Head of Complaints and Appeals shall:

- a. refer the appeal to the Appeals Panel of the Academic Board; or
- b. 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;
- c. determine that there is no basis on which the appeal can proceed.

G4.1.7P The student shall be informed in writing of the decision.

G4.1.8P If the application for review is referred to the Appeals Panel of the Academic Board, the application shall thereafter follow the procedure set out above except that:

- a. 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
- b. the only decisions open to the review panel shall be:
 - i. 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
 - ii. that the appeal be rejected.

G4.1.9P The Head of Complaints and Appeals shall inform the student in writing of the decision of the Academic Board Appeals Panel as soon as possible.

G4.1.10P In the case of an application for review concerning a research degree, Academic Regulations and Procedures section G3 applies.

G4.1.11P There shall be no further appeal against the decision of the Appeals Panel.

G4.1.12P If the affiliated institution is required to reconsider an appeal, 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.

G4.1.13P The reconvened review group of the affiliated institution shall have regard to the grounds specified by the Appeals 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.

G4.1.14P The Head of Complaints and Appeals shall be responsible for ensuring that a report on any appeals and their outcomes, and on any matters related to this procedure, is provided to the Academic Board annually in a form which maintains confidentiality.

G6 Results and granting of awards

G6.2 Release of marks or grades and confirmation of credit

G6.2.2P Release of provisional marks

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 Director of Corporate and Academic Services/Academic Registrar, that the marks are still subject to moderation by the examining board and may go up or down.

G6.2.3P Release of confirmed marks

After each meeting of a field board (or examining board for non-modular programmes) and in the form prescribed for the purpose by the Director of Corporate and Academic Services/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.

G6.2.4P If an award board is due to meet within 15 working days of the field board, the notification of marks and grades will be issued after the award board.

G6.2.5P Students who are enrolled on modules outside of an award registration shall receive notification of their marks or grades and credit for modules as soon as practicable following the meeting of the relevant field board.

G6.2.6P Field boards are empowered to decide the marks or grades awarded for each element and component of assessment. Changes to provisional marks or grades and their relationship to the final outcomes, and to the the credit awarded, shall not, of themselves, be grounds for a review of a decision of a field board.

G6.2.7P Award 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 shall not, of itself, be grounds for a review of a decision of an Award board.

G8 Withholding of awards from students

G8.2P Allegations of breaches of student conduct may be dealt with through an informal or a formal process. In cases where a student becomes the subject of a formal allegation of a breach of student conduct the secretary to the Student Disciplinary Panel shall notify the Director of Corporate and Academic Services/Academic Registrar so that the following process may be undertaken.

G8.3P Before the meeting of the relevant examining board(s) an appropriate officer of Corporate and Academic Services shall warn students who have outstanding obligations to the University or who are the subject of allegations of breaches of student conduct of the following;

- a. their award may be withheld;
- b. they will not be permitted to re-register for the same or another award;
- c. they will not be permitted to enrol on other modules or other study.

G8.4P Students who are not yet eligible for the highest level award

A student with outstanding obligations to the University or who is the subject of an allegation of a breach of student conduct shall be assessed in the normal way. The examining board will not be informed of their status until after the deliberative process is complete. The examining board's decision shall then appear on the results list but with an indication that any interim award for which the student is eligible shall not be conferred until outstanding obligations have been discharged.

G8.5P If the outstanding obligation is not discharged, or the allegation of a breach of student conduct has not been concluded before the next point of re-registration or enrolment the student will not normally be permitted to re-register for the same or any other programme or award, or to enrol for any module or other study. However, 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 their nominee.

G8.6P Students eligible for the highest level award

If the outstanding obligation, or allegation of a breach of student conduct has not been cleared by the time of the meeting of the examining board at which eligibility for or recommendation for conferment of an award 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 Director of Corporate and Academic Services/Academic Registrar or designated person shall ensure that the secretary to the examining board:

- a. records the academic decision in the normal way;
- b. after the examining board has made its decisions on all candidates, notifies the board that the award will be withheld;
- c. records the student's name and results on the results list in the normal way but with an annotation to indicate where appropriate that an award will not be conferred. This annotation shall be in a form prescribed by the Director of Corporate and Academic Services/Academic Registrar;
- d. 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 Director of Corporate and Academic Services/Academic Registrar.

G8.7P After the examining board the Director of Corporate and Academic Services/Academic Registrar or designated person 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 Director of Corporate and Academic Services/Academic Registrar.

G8.8P Actions following discharging outstanding obligations to the University

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 Director of Corporate and Academic Services/Academic Registrar immediately, whereupon the Director of Corporate and Academic Services/Academic Registrar shall ensure that:

- a. the supplementary results list is dated, countersigned and authorised for publication by the faculty;
- b. arrangements are made for the grant of an award for which the student has qualified.

G8.9P Actions following the resolution of an allegation of a breach of student conduct

When the allegation has been determined and any consequential action disposed of, the Director of Corporate and Academic Services/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 be annulled.

G14.1 The designation of professors

G14.1.3P The University may consider internal and external candidates for designation as Professor by referring to the criteria in academic regulation G14.1.2R.

G14.1.4P Summary of the process for establishing and appointing to Professorial posts

G14.1.4.1P A business case for establishing posts is normally made as part of the annual planning round and this must be approved by the Vice Chancellor's Executive Group (VCE). Exceptionally cases may be considered at other times, these will also require VCE approval.

G14.1.4.2P A proposal for a new post must be supported by a strong rationale and academic business case. Executive Deans will therefore be asked to link a business case to academic leadership and enhancement, and to show how the post would support strategic growth, sustainable development and fit with University priorities

G14.1.4.3P The business case will need to confirm the purpose of the new post and how it will be funded. For example:

The purpose

- a. a need to identify definable leadership within the relevant department;
- b. the promotion of innovative leadership in teaching and learning;
- c. the provision of academic leadership in an aspect of research, knowledge exchange or public engagement.

Support for the post

- a. increased income through student numbers on new courses;
- b. sponsorship from an external agency;
- c. money earned through externally funded research grants.

G14.1.4.4P The business case should also cover:

Academic need

- a. fit with the University's strategic priorities (including the UWE Partnership Mission);
- b. areas of academic development agreed as part of faculty / department planning with VCE;
- c. defined research or knowledge exchange and / or teaching leadership against a funded case.

Generation and / or an increase in income

- a. funding streams that will support, or augment the new role;
- b. new or re-attributed student numbers;
- c. external Research and Knowledge Exchange grants;
- d. consultancy or other non-HEFCE income;
- e. significant match funding from an external source (for example: private or industrial sponsorship);

Activity

- a. as part of the business case the Executive Dean (or nominee) will be asked to quantify and describe a set of personal targets for the post holder.

G14.1.5P Appointment to professor

If the business case is considered to be credible, robust, sustainable and necessary to the academic direction of the sponsoring department or faculty, the Executive Dean (or nominee) will be asked to initiate the University's recruitment process.

For appointed professors who are employed by the University, the title of Professor is valid for the period of their employment.

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

G14.1.6P The process for appointing to Professor, Associate Professor and visiting roles

The full procedure for making appointments to Professor, Associate Professor and visiting roles is available at the following location:

[Procedure for the appointment to Professor and Associate Professor and awarding of Emeritus and visiting titles.](#)

Part H Collaborative provision

H2 Overseas partnerships

H2.2P The Director of Corporate and Academic Services/Academic Registrar will be responsible for managing the due diligence process of the proposal for a formal academic relationship. The first stage of the due diligence process should include:

- a. informal discussion between designated representatives of the University and the proposed partner to explain the procedure for designation as an Affiliated Institution and explore complementarity of institutional missions and areas of potential academic interest;
- b. preliminary consideration of the proposed partnership at Faculty level;
- c. approval in principle of the proposed relationship by the designated sub-committee of Academic Board.

H2.3P A formal application in writing to the Director of Corporate and Academic Services/Academic Registrar for designation as an Affiliated Institution may be required from the principal or equivalent of the proposed partner. 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.

H2.5P Following agreement in principle of the financial arrangements, the second stage of due diligence is instigated and should include a more detailed appraisal of the proposed partner's capacity and capability to deliver part or all of a University programme leading to a University award in accordance with the UWE regulatory framework. This appraisal may include consideration of the proposed partner's existing:

- a. processes and procedures for quality assurance and enhancement;
- b. monitoring and evaluation;
- c. regulations and procedures governing students' relationship with the external institution;
- d. computing, library and learning resources facilities;
- e. staffing;

and any other aspect of particular relevance to the proposed partnership.

H2.6P The due diligence process culminates in a visit, by a University panel to the proposed partner institution, known as an Institutional Meeting. The outcome of the institutional meeting is a recommendation to Academic Board or its sub committees that:

- a. the partner be designated an Affiliated Institution or;
- b. further documentation and/or discussions will be required before a recommendation can be made or;
- c. the proposed partner should not be designated an Affiliated Institution.

H2.7P The Director of Corporate and Academic Services/Academic Registrar shall draft a formal agreement between the University and the partner which confirms Affiliated Institution status, sets out the principles underpinning the partnership and the division of responsibilities. The Director of Corporate and Academic Services/Academic Registrar shall co-ordinate the process culminating in the agreement being signed on behalf of the University by the Vice-Chancellor, or other authorised signatory, and on behalf of the external institution by the Principal, or equivalent.

H2.8P The agreement shall normally be made for a period of five years and include provision for review of the agreement and mechanisms for termination of the agreement subject to satisfactory provision being made for completion of programmes by existing students.

H2.9P In accordance with the terms of the agreement, the Director of Corporate and Academic Services/Academic Registrar will notify the Principal, or equivalent, of the Affiliated Institution of the arrangements for review of the agreement. The review will focus on an evaluation of the operation of the agreement and proposals for its continuation and revision, if appropriate.

H2.10P The Director of Corporate and Academic Services/Academic Registrar shall arrange for any validation of awards required by the relationship to be taken forward according to the University's regulations and procedures.

H4 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.

H4.1P An initial inquiry concerning a possible relationship shall be referred to the Director of Corporate and Academic Services/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.

H4.2P The external institution shall supply the University with:

- a. details of its procedures and processes for consideration of applications for registration for programmes of supervised postgraduate research study;
- b. the terms of reference and composition of any relevant committee and the relationship of such committee to the Academic Board;
- c. the details of the managerial oversight of the process and staffing support for its administration;
- d. the details of its procedure for consultation with students and for complaints by students about programmes of supervised postgraduate research study.

- H4.3P** The documentation shall be considered by the Vice-Chancellor, or nominee and the Director of Corporate and Academic Services/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.
- H4.4P** 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.
- H4.5P** 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.
- H4.6P** The Director of Corporate and Academic Services/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.
- H4.7P** Some months before the end of the period approved for the agreement, the Director of Corporate and Academic Services/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.
- H4.8P** 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.

Part K Research degree procedures

K1 Postgraduate research code of practice

Definition: The University has adopted a [Postgraduate Research Degree Programmes Code of Practice](#), based upon the QAA Quality Code which sets out the responsibilities and expectations of research staff and candidates. Other key reference points include the Graduate School Handbook.

K3 Qualifications descriptors

Definition: descriptors exemplify the outcomes and expectations of the main qualification at each level within Chapter A1 of the QAA Quality Code: The 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 University's research degrees descriptors align to the QAA descriptors for Masters (MPhil) and Doctoral level awards.

K3.1 MPhil descriptor

K3.1.1P The award of a Master of Philosophy requires that a candidate should demonstrate that he/she:

- a. has engaged in enquiry which makes a contribution to knowledge within his/her field of study;
- b. can demonstrate a systematic understanding of the current state of knowledge within his/her field of theory and/or practice;
- c. 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;
- d. can demonstrate a sound understanding of the methodology and techniques of enquiry relevant to the discipline or field of study;
- e. 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;
- f. 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:

- a. 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;

- b. can demonstrate a critical understanding of the current state of knowledge in that field of theory and/or practice;
- c. 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;
- d. can demonstrate a critical understanding of the methodology of enquiry;
- e. 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;
- f. can critically reflect on his/her work and evaluate its strengths and weaknesses including understanding validation procedures.

K4 Collaboration with other bodies

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 candidate. The University will also make available to collaborators information about ongoing academic aspects of the project, any requirements of candidates and its expectations of collaborators in their supervision of candidates.

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, candidate 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 candidates and supervisors are aware of any requirements they are expected to fulfil with regard to such bodies.

K5 Admissions

Definition: an applicant 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 [Postgraduate Research Degree Programmes Code of Practice](#) and the [UWE Graduate School web pages](#).

K5.2P Faculties are responsible for selection and admission of applicants in accordance with Academic Regulations section K5, approved faculty procedures and under delegated authority from Academic Board.

K5.4P The faculty shall normally identify an approved supervisor to act as Director of Studies and must 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).

K5.7P The process of selection and admission shall also:

- a. identify the level of award for which the candidate is applying;
- b. identify the mode, period and place of study;
- c. identify the form of the proposed submission and methods of assessment;
- d. consider the programme of related studies, professional development and research training necessary to ensure that the applicant will have the opportunity to acquire the skills needed to complete their proposed research effectively in accordance with regulations and procedures at K7;
- e. consider any potential intellectual property right (IPR) issues
- f. 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;
- g. consider details of any adviser/s including qualifications, post held, place of work, research interest and previous supervisory experience;
- h. identify any likely need for confidentiality of research;
- i. consider any ethics procedures to be followed in accordance with the University's [ethics policy](#).

K5.9 Entry requirements

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 advisers whom the faculty may consult concerning the applicant's academic attainment and suitability to undertake a research programme.

K5.9.5P The standard of English language qualification required for international applicants wishing to pursue research for the purpose of achieving an award is as per regulation E3.2R.

K5.9.6P Proof of qualifications will be required as part of the application process and references will be checked where appropriate.

K5.9.7P 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.

K5.9.8P 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.

K5.9.9P The faculty may approve an application from a person proposing to complete their research programme wholly or substantially outside the UK subject to:

- a. satisfactory evidence of the facilities available for the research both in the University and abroad;
- b. 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;
- c. suitable arrangements in place to meet the training requirements.
- d. suitable arrangements for monitoring and reviewing the candidate's ongoing progress in accordance with procedural requirements at K12.

K5.10 Entry requirements for research degree by publication

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 the 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 [Postgraduate Research Degree Programmes Code of Practice](#).

K5.12 Funding and resources

K5.12.2P Information about fees, funding and resources can be found in the [Postgraduate Research Degree Programmes Code of Practice](#), the [Graduate School Handbook](#), and on the [fees and funding](#) web pages.

K5.13 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 [Postgraduate Research Degree Programmes Code of Practice](#) and the [UWE Graduate School Handbook](#).

K6 Registration

Definition: the process by which a student (hereafter the research candidate) becomes a member of the University and is subject to University rules and regulations and gains access to facilities. Confirmation of project registration is the process by which full details of the supervisory team, the training needs analysis and programme of related study are agreed.

K6.1.3P Normal maximum and minimum periods of registration are specified at regulation K6.1.1R. The faculty research degrees committee may exceptionally approve a shorter period of registration where an applicant has previously undertaken research as a registered candidate for a research degree, in which case the registration period may take account of all or part of the time already spent by the applicant on such research.

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 research degrees management committee can be made for the continuation of the supervision.

K6.1.5P The faculty shall be responsible for the prompt initial registration of candidates on programmes of supervised research and shall ensure that procedures are in place to execute this responsibility in a timely and appropriate manner. To this end Directors of Studies shall ensure that their candidates register without delay. Candidates are required to re-register at the start of each subsequent academic year. No individual can be counted as a research candidate, and no supervision should be provided beyond a bare minimum until initial registration is completed. Annual fees and any other fees levied by the faculty are payable on initial registration.

K6.1.6P Faculties shall ensure that all research candidates 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, and at progress reviews in subsequent years.

K6.2 Confirmation of project registration

Definition: approval by the appropriate faculty research degrees committee of the candidate's registration for a specific research award based upon the committee's consideration of a submitted project proposal to include:

- a. definition of the research project title;*
- b. supervision arrangements;*
- c. a detailed schedule of work for the first year and an outline of work proposed for the remainder of the project thereafter.*

Requirements for professional and research skills development including modules and other learning to be undertaken identified within the training needs analysis should also be confirmed at this stage and included within the proposal.

K6.2.1P Confirmation of the candidate's project registration shall be considered for approval by the faculty research degrees committee and proposals shall be submitted to the Committee using the appropriate form for this purpose no later than 3 months for full time candidates and 6 months for part time candidates from the date of initial registration.

K6.2.2P The deadline for submission shall be provided in the terms and conditions accompanying the candidate's offer letter. Professional Doctorate Awards may be subject to award specific requirements as detailed in the published Award Programme Specification.

K6.2.3P The Director of Studies should work closely with the candidate during the period leading up to confirmation of project 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:

- a. within the candidate's own capabilities and interests;
- b. within the expertise of the proposed supervisory team;
- c. practicable in terms of available physical resources;
- d. practical and feasible in terms of completion within the allowable registration period for the award.

K6.2.4P As part of the confirmation of project registration process, the Director of Studies is responsible for working with the candidate 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 professional development and/or mandatory and assessed research training.

K6.2.5P Upon consideration the faculty research degrees committee may decide to:

- a. confirm the candidate's project registration;
- b. require the candidate to rework the submission in such ways as it shall specify to a specified deadline.

Where the candidate is required to rework the proposal this shall normally be resubmitted within 4 weeks for full time candidates and 6 weeks for part time candidates. No extension of registration will normally be approved in the context of resubmission.

K6.2.6P The faculty research degrees committee shall consider resubmitted proposals for confirmation of project registration and may decide to:

- a. confirm the candidate's project registration;
- b. reject the candidate's resubmitted proposal and recommend to the Research Degrees Award Board that the candidate be required to withdraw from the Award without further study.

There will be no further opportunity for resubmission.

K6.3 Changes to registration

K6.3.1P Faculty Research Degrees Committees are responsible for the consideration and approval of any applications for major changes to:

- a. a research candidate project direction;
- b. the supervisory team;
- c. the candidate's mode of attendance (e.g. FT/PT);
- d. the degree registration (i.e. the suspension, extension or withdrawal of registration);

and shall execute these responsibilities fairly and consistently in accordance with Academic Regulations at K6.3 and with approved processes, using the appropriate forms which shall be provided by the Graduate School for the purpose.

K6.3.2P Guidance on these processes shall be available to both staff and research candidates via the University Research Degrees Code of Practice and the Graduate School Handbook, and via other guidance which may be provided for Committee purposes by the Graduate School from time to time.

K6.3.3P Committees shall be mindful of the need for sensitive handling of personal information and circumstances and faculties must ensure that candidates are informed of the avenues of help and support available to them.

K6.3.4P Significant changes should not be undertaken lightly or approved without appropriate evidence. Supervisors must actively consider when changes are appropriate and in the candidate's best interest. The candidate should be appropriately informed of and involved in the process.

K6.3.5P The faculty research degrees committee 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.

K6.3.6 Suspension of registration

K6.3.6.2P Registration may be suspended if the candidate experiences external circumstances, including certificated illnesses, which prevent him/her from working. Any application to the faculty research degrees committee for suspension of registration must be supported by appropriate evidence. The Committee shall consider whether it is likely that the candidate will be able to complete the work after the period of suspension. The Committee shall notify the Director of Studies and the candidate of any period of suspension approved and of the revised timetable for the progression examination and final assessment. It shall also explain the requirements of the suspension period in terms of access to facilities and supervision as well as what rights the candidate has (see also F17.15.5P).

K6.3.7 Extension of the registration period

K6.3.7.2P Extension of the registration period will not automatically be given, and will 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.

K6.3.7.3P The Research Degrees Award Board by recommendation of the faculty research degrees committee may extend the registration of a research candidate 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.

K6.3.8 Withdrawal of registration

K6.3.8.1P The Director of Studies is responsible for notifying the faculty research degrees committee as soon as it becomes clear that the candidate is no longer making satisfactory progress and is unlikely to complete the work, or has informed the Director of Studies of his/her intention to withdraw from the Award. Where an application for withdrawal is made to the Committee by the Director of Studies this

shall be supported by appropriate explanation and evidence. As part of withdrawal procedures the faculty must ensure that the candidate is adequately informed of any intention to withdraw his/her registration and of avenues of help and support available.

K6.3.9 Early submission

K6.3.9.1P The faculty research degrees committee may exceptionally permit a candidate to submit a thesis for examination before the date of the minimum period of registration for the award.

K6.3.10 Change to mode of study

K6.3.10.1P Applications for change in the mode of study must be approved by the faculty research degrees committee.

K6.4 Major changes to the research project and/or thesis title

K6.4.1P For the purposes of project registration, the overall aim and structure of the programme of research should be clearly 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 faculty research degrees committee.

K6.4.2P Circumstances where a change or extension of the project is permissible include:

- a. a change in the candidate's employment which impacts upon the registration;
- b. the project fails to develop satisfactorily;
- c. the collaborating establishment discontinues its support or interest.

K6.4.3P Changes to the title of the thesis or collection of published works, up to the point of application for approval of examiners, should be notified to the faculty research degrees committee, with a brief rationale for the change. Changes to title subsequent to this point are covered under K13.1.7P.

K6.5 PhD candidates wishing to change their registration to MPhil

K6.5.1P 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 final examination, apply for transfer of registration to the MPhil. Applications for changes to periods of registration shall be considered by the faculty research degrees committee in accordance with K6.3.

K6.6 The supervisory team

Definition: a team of approved academics and/or professionals who support a research candidate throughout the duration of their studies. Information about supervisory teams can be found in the [Postgraduate Research Degree Programmes Code of Practice](#).

K6.6.3P The Director of Studies should be a member of UWE staff on a permanent contract of employment. The faculty research degrees committee should ensure that staff appointed as Directors of Studies have completed appropriate training in supervision skills and shall normally have supervised through to completion.

K6.6.4P The role of the Director of Studies includes:

- a. to ensure that the candidate and all members of the supervision team understand the roles and responsibilities of each member of the team;
- b. to ensure that the candidate is fully aware of the requirements of the University and the faculty, in terms of registration, enrolment, progression examinations, annual progress review, access to resources, IPR, research integrity, governance and ethics, health and safety and dignity at work;
- c. in the course of routine supervision and irrespective of annual progress and review processes, to ensure that the candidate is made aware in a timely fashion of any concerns with the progress being made, or about poor research practice, poor scholarship, or any other aspect of the project. The Chair of the faculty research degrees committee should also be made aware where these concerns become serious. (Procedures at K6.3 and/or K14 may apply where appropriate).

K6.6.5P The role of the Supervision Team includes:

- a. to meet with the candidate at appropriate intervals;
- b. to ensure that the meetings are properly conducted and recorded. Meetings should, as a minimum, cover a discussion of the candidate's progress since the last meeting and should agree a set of actions resulting from a review of their project plan, any publication plan and ongoing training and professional development needs.

K6.6.6P A supervisory team shall embrace the following three elements:

- a. knowledge of the research area;
- b. familiarity with the relevant University's Regulations and Procedures;
- c. previous experience of successful research degree supervision to completion at an appropriate level.

K6.6.7P The candidate 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 initial registration.

K6.6.8P Applications to change the composition of the supervisory team must be approved by the faculty research degrees committee following consultation between the team and the candidate. Changes to the supervisory team may be advisable when:

- a. a key member of the supervisory team leaves the University;
- b. the direction of the candidate's project changes such that the supervisory team no longer has the subject expertise to support the candidate appropriately;
- c. 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 candidate'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 will ensure that temporary alternative arrangements are in place to support the student as appropriate should the absence be for a shorter period);

- d. the relationship between supervisor and candidate has irrevocably broken down and remains so after all reasonable attempts at mediation via the faculty's internal procedures have been exhausted;
- e. the Executive Dean or nominee determines that such a change will be in the best interests of either party.

K6.6.9P There shall be regular contact, including adequate face-to-face contact, between the candidate 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 candidate.

K6.6.10P Faculties shall ensure that individual supervisors are not overloaded and that adequate support and advice is available to the supervisors where serious concerns of candidate ability or application to the study programme are identified.

K6.6.11P The faculty must ensure that there are clear and identified routes for the candidate and supervisor/s to seek independent advice should communication links within the relationship break down.

K6.6.12P The faculty shall establish evaluation and monitoring processes in order to satisfy itself of the adequacy of supervision arrangements for each candidate, including:

- i) the provision of regular written reports by supervisors;
- ii) regular opportunities for candidates to provide comment and feedback on their individual experience of supervision.

Failure by a supervisor to submit a report without good grounds may result in the faculty research degrees committee considering alternative supervisory arrangements.

K6.6.13P The faculty shall establish processes to enable the faculty research degrees committee or the faculty executive to withdraw approval of a Director of Studies or supervisor should his/her performance fall below the required standard.

K7 Professional Development and Research Training

Definition: Professional development and research training at UWE is aligned to recognised external descriptors and frameworks e.g. the Vitae Researcher Development Framework, and provides research candidates with opportunities that are appropriate to their needs in order to acquire the skills required to become effective researchers and to fulfil the requirements of their research programme.

K7.3P It is recognised that some candidates will benefit from undertaking research training beyond the minimum to fulfil the credit requirement.

K7.5P Applying AL and AEL to training programmes

Occasionally it may be appropriate for PhD, MPhil, DPhil and MPhil by Publication candidates to achieve some or all of the credit requirement via Accredited Learning or Accredited Experiential Learning, but this option should be applied with caution on a case by case basis and at the discretion of the faculty research degrees committee. Independent Study or Evidencing Work-based Learning modules may be used constructively in this context, particularly in the case of DPhil and MPhil by Publication.

K7.6P Applicants for all research degrees, including professional doctorates, who wish to apply for recognition of accredited learning or accredited experiential learning as contributing towards their credit total for the award, are required to apply to the relevant faculty for consideration under standard procedures.

K8 Dissemination, publications and conferences

K8.1P Information about dissemination, publication and conferences can be found in the Postgraduate Research Degree Programmes Code of Practice.

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.

K9.1P The University has an [Intellectual Property Policy](#) and further information can also be found in the [Postgraduate Research Degree Programmes Code of Practice](#).

K10 Involvement in teaching

K10.1P Further information on the involvement of postgraduate research candidates in teaching can be found in the Postgraduate Research Degree Programmes Code of Practice and the Graduate School Handbook.

K11 Support for research candidates

Definition: the provision of academic and pastoral advice and support available to candidates throughout their studies available at faculty and via the Graduate School at institutional level.

K11.1P Further information on support for research candidates can be found in the Postgraduate Research Degree Programmes Code of Practice and the Graduate School handbook.

K12 Progression and progress review monitoring

*Definitions: **Progression** relates to the stages through which candidates, their research project and their associated learning advance. Progression for most research candidates is dependent upon the successful achievement of the progress point relevant to each stage of the candidate's award registration. For professional*

doctorate programmes there may be additional progression points set down in the programme specification document.

Progress review monitoring is the process by which the candidate's achievement thus far is measured and objectives for future progress points are agreed; it is both retrospective and prospective. It incorporates formal events such as the confirmation of project registration (K6.2) and the progression examination (K12.2) as well as less formal progress review at the end of each subsequent year of the candidate's registration. It provides candidates with formative feedback throughout their project to ensure that the project remains on track and is completed within the allowable registration period for their award.

K12.2 Progression examination

Definition: the progression examination is a formal test of progress in the early stages to ensure a suitable basis for continuation on the programme has been established. See also Academic Regulations K12.2 and further guidance provided in the Graduate School Handbook.

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 candidate, supported by the supervisory team, has:

- a. defined the objectives and scope of the research project adequately;
- b. been actively engaged in working on the research project and has made progress in accordance with objectives agreed at the confirmation of project registration (K6.2) and commensurate with the time spent;
- c. made an appropriate survey of the relevant research literature and demonstrated an ability to make a critical evaluation of published work;
- d. 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;
- e. developed an adequately detailed plan of work to enable the research degree to be completed within the allowable registration period.

K12.2.3P For professional doctorate candidates a progression examination shall be completed by the end of the first 18 months of commencement of the research project, 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. Any variance shall be detailed in the published programme specification for the award

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 complete the progression examination no later than the end of the first 18 months after registration, unless they have submitted their commentary and portfolio of materials before this time. An MPhil by Publication candidate will

complete the progression examination no later than 12 months after registration unless they have submitted at this point.

K12.2.5P The time of the progression examination may only be delayed if the candidate 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 faculty research degrees 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. Candidates should be advised however, that on return from suspension, additional preparation time prior to the examination will not normally be added to their registration period.

K12.2.6P The progression examination shall have two components - the progression report written by the candidate, 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:

- a. the provisional title of the thesis or collection of published works;
- b. a concisely worded statement of the aim of the research;
- c. reference to work already completed and planned future work, and how this fulfils the aim of the research;
- d. 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 faculty research degrees committee. It shall include:

- a. the background to the research proposal;
- b. a critical summary of relevant related research work;
- c. the methods being used;
- d. 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 It may become evident during the progression examination that the candidate may require special permission with regards to the final presentation of the thesis.

Where the candidate wishes to request permission to:

- a. present the thesis/accompanied by material in other than written form; and/or
- b. present the thesis/collection of published works in a language other than English (See K13.7.1R); and/or
- c. 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 faculty research degrees committee with the recommendation of the examiners. The faculty research degrees committee shall submit such requests to the Research Degrees Award Board for approval.

K12.2.11P The candidate shall submit the report to the designated Graduate School Officer, who shall arrange for its distribution to the other examiners.

K12.2.12P All examiners shall submit a written preliminary report to the Chair of the faculty research degrees committee before the viva voce.

K12.2.13P The progression viva voce examination shall be conducted by two internal examiners, who shall be members of academic staff not associated with the research project or the supervisory team. The faculty research degrees committee is responsible for the appointment of examiners for the progression examination. 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.

K12.2.14P The examiners shall be responsible for assessing the extent to which the candidate has made an appropriate start on the research project. The examiners shall be experienced researchers 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 both examiners are members of the faculty in which the candidate is studying, but this will normally be the case.

K12.2.15P Examiners will be mindful of the University's policy, regulations and procedures regarding academic integrity and [assessment offences](#) (see K14)

K12.2.16P In considering the outcome of the viva voce for existing candidates whose initial registration date is prior to 1 October 2013, the only recommendations available for the examiners are:

- i) Approve - continue registration or
- ii) Fail - withdrawal of registration.

K12.2.17P For candidates whose initial registration date falls on or after 1 October 2013 the following additional outcome is available on the recommendation of the examiners and at the discretion of the faculty research degrees committee:

- i) Resubmit with or without a further viva voce examination.

In which case Academic Procedures at K12.2.19 – 21 shall also apply. However there is no automatic right to resubmission.

K12.2.18P Following the viva voce the examiners shall prepare a written report to the faculty research degrees committee. This shall form the basis of a written report subsequently made available to the candidate and supervisory team.

K12.2.19P Where the recommended outcome is to resubmit, the examiners' report shall contain a rationale for this recommendation, together with feedback on the nature of the additional evidence needed to demonstrate that the project is back on a satisfactory footing. This shall form the basis of the written feedback report made available to the candidate and supervisory team.

K12.2.20P Where the faculty research degrees committee agrees a recommendation from the examiners to resubmit, a deadline for that resubmission will be set up to a maximum of 3 months for full time and a maximum of 5 months for part time candidates. The candidate shall only be exempt from further viva where the examiners agree that the work submitted provides sufficient evidence to show that the project is back on track. Where a further viva is required this shall normally be conducted by the same examiners. The faculty research degrees committee shall report resubmission decisions to the Award Board.

K12.2.21P Applications for extension to the registration period will not normally be granted by the Award Board in the context of resubmission, as the purpose of this outcome is to ensure that the project resumes timely progress as soon as possible rather than being allowed to drift further.

K12.2.22P The faculty research degrees committee will make a final recommendation in writing to the Research Degrees Award Board. Where the faculty research degrees committee agrees a recommendation to fail the candidate, this shall be forwarded to the Award Board for consideration which, if in agreement, shall require the candidate to withdraw from the programme and their registration shall be terminated.

K12.2.23P When the examiners are unable to agree upon a recommendation a second viva voce examination will be held.

K12.2.24P Where a second viva voce examination is held it shall be conducted solely by a third examiner nominated and appointed by the faculty research degrees committee. The third examiner shall not be informed of the recommendations of the other examiners. The examiner will communicate the recommended outcome to the faculty research degrees committee. On receipt of the recommendation of the third examiner the faculty research degrees committee will make a recommendation to the Research Degrees Award Board.

K12.3 Progress review monitoring in subsequent years

Definition: progress is monitored throughout the remainder of the candidate's registration with the University subsequent to the progression examination by a process of annual review normally undertaken at the end of each year of the candidate's registration and pro-rata for part-time candidates. Guidance on the

timing, content and completion of progress monitoring is provided in the Graduate School Handbook.

K12.3.1P The focus for review and assessment in the years subsequent to the progression examination should be to ensure that adequate progress is being maintained such that the candidate is likely to complete on time.

K12.3.3P Faculty research degrees committees will consider the outcome of annual progress review for each candidate. Where progress is confirmed as satisfactory the candidate's registration will continue for a further year. Where progress is not deemed satisfactory the faculty research degrees committee shall require the candidate to provide further evidence as it deems appropriate to allow a final decision to be made. The faculty research degrees committee shall report decisions to the Research Degrees Award Board.

K12.3.4P Where a candidate is unable to satisfy the faculty research degrees committee that satisfactory progress has been resumed the committee shall recommend to the Research Degrees Award Board that the candidate's registration be withdrawn.

K13 Assessment

Definition: assessment at research level is usually through the means of a thesis and viva voce examination although candidates are also assessed on research training activities. See also Academic Regulations at K13. Further information and guidance is provided in the Postgraduate Research Degree Programmes Code of Practice, and the UWE Graduate School Handbook.

K13.1 Appointment of examiners for the thesis or collection of published works

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:

- a. other members of the supervisory team;
- b. senior research staff within the discipline at the University or elsewhere;
- c. other research active academics in closely related fields;
- d. the candidate.

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, research collaboration, 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 faculty research degrees committee shall submit to the Officer to the Research Degrees

Award Board (hereafter referred to as the Officer) 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 faculty research degrees 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 Officer for approval by the Research Degrees Award Board at the same time as the examination arrangements are proposed. Changes to the title thereafter are only permitted if required by the examiners.

K13.2 Internal and External Examiners

See also Academic Regulations at K13.2.1 – 3R.

K13.2.4P 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.

K13.2.5P The appointment of a second external examiner is not required where students, including any falling under category (b) above, are allocated a small amount of hourly paid lecturing work alongside their research degree registration and have not been employed by the University in the preceding 12 months in any other context.

K13.2.6P 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.

K13.2.8P 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.

K13.2.9P 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.

K13.2.10P Examiners will receive appropriate information and guidance via Corporate and Academic Services. The panel will also receive a further short procedural briefing from the Independent Chair during the pre-viva preparation session.

K13.3 Independent Chair

K13.3.1P The faculty research degrees committee will recommend to the Officer to the Research Degrees Award Board potential Independent Chairs for the viva voce examinations. Proposed Independent Chairs shall fulfill criteria as identified by the Board and shall be:

- a. Experienced researchers;

- b. Current and experienced supervisors, having supervised at least 4 students to successful completion at doctoral level in a timely manner, which includes experience as a Director of Studies;
- c. Experienced examiners at doctoral level having examined a minimum of 4 theses including a minimum of two as an external examiner.
- d. For research degrees based upon creative practice, the Independent Chair should also have an understanding of the nature of this kind of programme.

K13.3.2P Independent Chairs will have been trained before undertaking the role. Training is the responsibility of the Research Degrees Award Board.

K13.3.3P The Officer 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.

K13.4 Confidentiality of thesis

K13.4.3P 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 Officer of the Research Degrees Award Board for approval by the Board.

K13.4.5P Where it considers that a shorter period than two years would be adequate the Board may approve accordingly. In exceptional circumstances the Board may approve a period longer than two years.

K13.4.6P Where the Research Degrees Award Board 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 K13.4.4R), shall only be made available to those who were directly involved in the research.

K13.4.7P The Research Degrees Award Board 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.

K13.5 Research Degrees Award Board

K13.5.3P The Research Degrees Award Board is responsible for determining postgraduate research degree awards and its terms of reference are to:

- a. Ensure that the academic quality and standards of the examination process are being maintained;
- b. Confirm whether a research candidate has complied with the requirements to receive an award;
- c. Confirm that a candidate's progress is satisfactory and their registration may continue;
- d. Consider recommendations from faculty research degrees committees for the extension of a candidate's period of registration;

- e. Consider requests for:
 - i. Confidentiality of theses
 - ii. The submission of theses in non-standard formats
 - iii. Changes to thesis titles;
- f. Recommend to Academic Board a particular award, having regard to the candidate'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 and Procedures;
- g. Consider the effect of any extenuating circumstances affecting the performance of a candidate in relation to an award or progression within an award;
- h. Confirm the action to be taken in relation to the determination of the outcome of the award in accordance with the Academic Regulations and Procedures, in respect of a candidate who has committed an assessment offence;
- i. Identify any relevant matters arising from the work of the board which the board wishes to draw to the attention of the appropriate faculty and University committees.

K13.5.4P The Research Degrees Award Board may be responsible for determining progression on research programmes which have defined progression points; it will not assume responsibility for the Progression Examination, which will remain with faculties.

K13.5.5P The composition of the Research Degrees Award Board shall be:

- a. Chair (Vice Chancellor's nomination);
- b. Faculty Directors of Research Degrees (or equivalent role-holders with responsibility for postgraduate research students in the Faculty) (4);
- c. Research Degrees Award Board Officer;
- d. 1 representative of each affiliated institution registering a significant number of postgraduate research candidates with the University;
- e. Chief external examiner research degrees programmes

K13.5.6P The board may have in attendance such other persons, associated with the research degree programmes as may be designated by the Chair to assist the board in the exercise of its responsibilities.

K13.5.7P The quorum shall be two thirds of the members eligible to attend in categories a to d in K13.5.4P. An award board which does not include the chief external examiner either in person or via a video, telephone or other link is not authorised to assess research candidates for an award or to recommend the grant of an award to a candidate.

K13.5.8P Professional administrative and secretariat support for the Award Board shall be provided by the Graduate School who shall ensure that a comprehensive and accurate record of proceedings is maintained.

K13.5.9P The chief external examiner research degrees programmes will have wide experience of both research and the assessment 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.

K13.5.10P The chief external examiner research degrees programmes will:

- a. confirm that the academic quality and standards of the examination process are being maintained;
- b. ensure that the procedures and arrangements for the examining board are conducted in accordance with the University's Academic Regulations and Procedures and requirements;
- c. ensure that the examining board discharges its responsibilities relating to any matters concerning assessment offences and consideration of extenuating circumstances affecting individual research candidates;
- d. advise the examining board on any issues relating to the eligibility of a candidate for an award;
- e. approve the award recommendations made by the award board
- f. attend examining boards in person as required;
- g. provide an annual report to the University by a specified date each year, upon receipt of which the chief external examiner fee is paid.

K13.7 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. See also Academic Regulations at K13.7.

K13.7.3P When considering the candidate's first full draft thesis the supervisory team shall also be mindful of the University's policy, regulations and procedures regarding academic integrity and assessment offences (section K14 refers).

K13.7.5P 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.

K13.7.7P The thesis shall be submitted to the Officer to the Research Degrees Award Board within the period of registration.

K13.7.8P 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).

K13.7.9 Abstract

K13.7.9.1P 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.

K13.7.10 Collaboration

K13.7.10.1P 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.

K13.7.11 Publication

K13.7.11.1P 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.

K13.7.12 Length

K13.7.12.1P The text of the thesis should normally not exceed the following word length (excluding ancillary data):

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

PhD 40,000
Professional Doctorate 35,000
MPhil 20,000

- b. 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.

K13.7.13 Format

K13.7.13.1P The following requirements shall be adhered to in the format of a submitted thesis:

- a. 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);
- b. it shall be printed on the right hand (recto) side of the page. The paper shall be white and within the range 70 g/m² to 100 g/m²;
- c. the margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;

- d. 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;
- e. pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
- f. page numbers shall not be printed in the margin;
- g. the main body of the final bound thesis may be printed on double sided paper. However the soft bound thesis shall be printed on single sided paper.
- h. the title page shall give the following information:
 - i. the full title of the thesis;
 - ii. the full name of the author;
 - iii. that the degree is awarded by the University;
 - iv. the award for which the thesis is submitted in partial fulfilment of its requirements;
 - v. the faculty in which the student was based;
 - vi. the name of the affiliated institution, where relevant the collaborating establishment(s), if any;
 - vii. the month and year of submission which shall be updated on each occasion on which the thesis is submitted.
 - viii. The soft bound thesis must include a word count. However this is not a requirement for the final bound thesis or collection of published works.

K13.7.13.2P A sample title page can be found at Appendix 1 to these Academic Procedures.

K13.7.13.3P Distinct from the provision for registration for research degrees based upon creative practice (K2.4), 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 Officer on the designated form for consideration by the Research Degrees Award Board as early as possible in the candidate's registration and must have the support of the Director of Studies.

K13.7.13.4P 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, together with requirements for uploading the thesis to the UWE Research Repository may be found at K13.15.

K13.8 The collection of published works (DPhil/MPhil by publication)

K13.8.2P The application shall comprise:

- a. a bibliography listing the works submitted;
- b. 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;
- c. a statement of the extent of the applicant's contribution to the work submitted, covering joint authorship or other types of collaboration;

- d. a statement confirming which part of the work submitted, if any, has been or is being submitted for another academic award;
- e. a statement setting out how the training requirement has been or is to be met;
- f. three copies of the published works;
- g. a proposed title for the submission.

Parts b, to e and g of the application shall be in English. Parts a and f 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.

K13.8.3P 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.

K13.9 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. See also Academic Regulations K13.9.1-2R.

K13.9.3P If the Research Degrees Award Board permits an alternative form of examination it shall identify the form of examination and the Officer to the Research Degrees Award Board shall notify the supervisors, the examiners and the candidate of the approved arrangements.

K13.9.4P Once examination arrangements have been approved and in consultation with the examiners, the Independent Chair and the Director of Studies shall decide the date and logistical arrangements for the examination and notify the Officer, the candidate, supervisors and examiners.

K13.9.5P The Officer 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 Officer shall send a copy of the thesis to the Independent Chair.

K13.9.6P For DPhil and MPhil by publication the Officer shall send to each examiner and the Independent Chair a copy of:

- a. the bibliography listing the work submitted;
- b. the statement from the applicant, setting out his or her view of the nature and significance of the work submitted;
- c. 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;
- d. the statement from the applicant indicating which part of the work submitted, if any, has been submitted for another academic award;
- e. the published work to be considered. Where it is not possible to provide a copy of the published work, the Officer will make arrangements for the examiners to view the work;
- f. the proposed title for the scholarly work.

K13.9.7P 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 Officer for distribution to the panel at least six weeks prior to the proposed date of the viva.

K13.10 The first stage (independent preliminary report)

K13.10.1P 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:

- a. what issues should be explored with the candidate at the oral examination;
- b. the merits and deficiencies of the submission;
- c. a provisional recommendation as to whether the proposed title is appropriate;
- d. where possible make an appropriate provisional recommendation conditional on the outcome of any viva voce examination.

Examiners shall also be mindful of the University's policy, regulations and procedures regarding academic integrity and [assessment offences](#) and shall follow Academic Procedures at section K14 if any concerns about the candidate's work arise in this respect.

K13.10.2P The candidate and supervisory team will not normally receive copies of the examiners' preliminary reports.

K13.11 The second stage (viva voce)

K13.11.1P The examiners shall not recommend that a candidate fail outright without holding a viva voce examination or other alternative examination.

K13.11.2P 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. Should any member of the examining panel have concerns about the academic integrity of the candidate's work which they have not previously raised in the preliminary report they should raise this with the Independent Chair who will act in accordance with Academic Procedures at K14.

K13.11.3P 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 Director of Corporate and Academic Services/Academic Registrar 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 Officer to the Research Degrees Award board in the first instance using the appropriate form.

K13.11.4P The Officer to the Research Degrees Award Board may, in exceptional circumstances, grant permission for one examiner to be available at a viva by video link, subject to the written agreement of student and Independent Chair and to the technology being of a satisfactory standard. In the event that the technology does not permit the viva to be conducted with the involvement of all parties to a satisfactory standard, the viva should be stopped and rearranged. It is not permissible for the student to be interviewed via video link.

K13.11.5P The supervisors and a representative of the Research Degrees Award 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 Award 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.

K13.11.6P 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 K13.12.2R and in all cases the panel will complete and sign 'The Recommendation of the Examiners'.

K13.11.7P 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.

K13.11.8P 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 Research Degrees Award Board to be satisfied that the recommendation chosen is correct. The joint report shall be submitted to the Officer to the Research Degrees Award Board.

K13.11.9P If the examiners do not agree they shall submit separate reports and recommendations on the designated forms. The Officer shall submit them to the Research Degrees Award Board for a decision in accordance with K13.12.3P and K13.12.4P.

K13.11.10P The Independent Chair must ensure that the examiners' report is duly completed and submitted to the Officer immediately after the examination.

K13.12 Examiners' recommendations

Academic Regulations at K13.12.2R refer.

K13.12.3P An outcome of an award subject to minor amendments (K13.12.2Rb i), "corrections", requires amendment of presentational errors and typographical errors only.

K13.12.4P An outcome of an award subject to minor amendments (K13.12.2Rbii), "amendments", requires amendment of representational errors, re-presenting and restructuring existing text only and no new work is required.

K13.12.5P Amendments are to be made in accordance with specific requirements of the examiners.

K13.12.6P A candidate required to submit corrections shall be permitted four weeks for a full time student or eight weeks for a part time student from the date of the notification to submit the corrections. A candidate required to submit amendments shall be permitted 3 months for a full time student or 6 months for a part time student from the date of the notification to submit the amendments. The candidate shall be responsible for deciding the manner in which to improve the thesis/collection of published work.

K13.12.7P "Permitted to resubmit and be re-examined" (K13.12.2Rc) includes theoretical, substantive and/or methodological work including any or all of the following: new data, fieldwork or practice, new analysis, substantial new literature.

K13.12.8P A candidate with an outcome of "permitted to re-submit for the degree and be re-examined, with or without a further viva" shall only be exempt from a second viva where the examiners unanimously agree after re-examining the resubmitted thesis that the degree can be awarded without the need for a further viva.

K13.12.9P A candidate required to resubmit and be re-examined shall be permitted a maximum of one calendar year from the date of notification of the outcome of the viva examination to submit the revised thesis for re-examination.

K13.12.11P Where the candidate is awarded the degree subject to minor amendments i) corrections or (ii) 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 Officer to the Research Degrees Award Board.

K13.14 Publication of results and completion of the award

K13.14.4P In accordance with University Regulations and Procedures at G8, the University may withhold an award from a student who:

- a. Has outstanding obligations to the University; or
is the subject of an allegation of a breach of discipline or ongoing assessment offence allegation investigation.

K13.15 Final bound version of thesis or collection of published work

K13.15.2P The approved binding for a final version of a thesis shall be:

- a. of a fixed type so that leaves cannot be removed or replaced;
- b. the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright;
- c. the outside front board shall bear in gold lettering 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;
- d. the spine of the binding shall bear in gold lettering the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type, reading downwards;
- e. the binding of a thesis shall be black for MPhil and pantone 485 red for a PhD and professional doctorate.

K13.15.3P 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.

K13.15.4P One copy of the final thesis or published work submission, 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. For PhD, MPhil or Professional Doctorate awards an electronic copy of the final thesis shall also be added to the UWE Research Repository. For the awards of DPhil/MPhil by publication an electronic copy of the submission commentary together with the bibliography listing works submitted shall be added to the UWE Research Repository. The thesis or published work submission 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 / commentary* may be published without proper acknowledgement'.

**for awards by publication*

K13.15.5P The thesis or published work submission shall be accompanied by the designated form confirming that the contents are identical to the version submitted for examination purposes except where amendments have been made to meet the requirements of the examiners and have subsequently been approved by them or at the suggestion of the examiners. In the case of a PhD, Professional Doctorate or DPhil, the final thesis or published work submission shall also be accompanied by the British Library doctoral thesis agreement form (EThOS) duly completed.

K13.15.6P Procedures at K13.4 Confidentiality of thesis, may only be applied where previously agreed by the Research Degrees Award Board.

K13.16 Certificates

K13.16.1P After the final bound version of the thesis or collection of published works is received, and requirements regarding deposition on the UWE Research Repository have been complied with; the Research Degrees Award Board will approve the production of the certificate and certificate of credit by Corporate and Academic Services. Awards will be conferred at the next faculty awards ceremony. The University will not confer the award, nor may the candidate attend an awards ceremony or adopt the doctoral title until the final bound version of the thesis has been received and deposition made to the repository in accordance with University Regulations and University Procedures.

K14 Assessment offences in MPhil and doctoral level awards

K14.1 Investigation of assessment offences at MPhil and doctoral level

This includes: first and lesser offences, first and serious offences, all subsequent offences, and all offences relating to the thesis once it has been submitted by the candidate for final examination.

K14.1.1P For the purposes of investigating assessment offences in the research study element of MPhil and doctoral level awards, the Executive Dean's nominee will normally be the Chair of the Faculty Research Degrees Committee (FRDC) of the faculty responsible for the award on which the candidate is registered, who will report the nature and extent of the assessment offence to the Research Degrees Award Board. The Board will decide any penalty to be imposed.

K14.1.2P The University considers that allegations of assessment offences relating to research study undertaken by candidates for the purpose of an MPhil or doctoral level award shall be deemed to be serious and investigated accordingly. The only exception shall be first offences of a lesser nature occurring prior to the submission of the thesis for final examination for which a formal warning may be considered the most appropriate outcome.

K14.1.3P Assessment offence allegations made against candidates registered on an MPhil or doctoral level award (including those who are also members of University staff) shall be investigated under the University's Academic Regulations and Procedures where the allegations relate to research undertaken for the purposes of that award. All allegations concerning misconduct in other research are subject to investigation under procedures described in annex 2 of the University's '[Code of Good Conduct in Research](#)'.

K14.1.4P A person who considers that a candidate has committed an assessment offence shall, as soon as possible, report the allegation in detail in writing to the Chair of the Faculty Research Degrees Committee (FRDC) of the faculty responsible for the award on which the candidate is registered. Where the allegation concerns a thesis that has been submitted by the candidate for final examination the allegation shall be reported in the first instance to the Postgraduate Research (PGR) Assessment

Manager within the Graduate School who will liaise with the FRDC Chair (K14.2.1P refers).

- K14.1.5P** The FRDC Chair shall seek to establish the nature and extent of the offence and in doing so shall have regard to the contribution of the work to the assessment of the research study as a whole, whether the candidate has previously been found to have committed an assessment offence, and whether there is evidence to suggest that the candidate committed the offence intentionally. Where the allegation relates to the thesis post-submission for final examination this shall be done in liaison with the PGR Assessment Manager who will consider whether postponement of any arranged viva is necessary while the investigation takes place.
- K14.1.6P** The University may take copies of a students' work as the University may consider necessary or expedient for the detection of assessment offences; the University's [assessment offence policy](#) statement refers.
- K14.1.7P** The FRDC Chair shall notify the candidate by letter and e-mail of the nature and details of the allegation, the extent of the alleged offence and the procedure to be followed.
- K14.1.8P** The candidate shall have three working days from the date of the notification to indicate to the FRDC Chair whether they admit the offence and in the case of admission, whether they wish to exercise the right to appear in person before the FRDC Chair.
- K14.1.9P** The FRDC Chair shall give any candidate who so wishes the opportunity to discuss the nature and potential implications of the alleged assessment offence.
- K14.1.10P** Where the FRDC Chair has any current or previous connection with the candidate, the candidate's research, or the candidate's supervisory team that may be considered inappropriate to the conduct of the investigation, an FRDC Chair from another faculty or other individual nominated by the Executive Dean of the faculty will undertake the investigation.
- K14.1.11P** Where the FRDC Chair finds that a first offence of a lesser nature has occurred prior to the submission of the thesis for final examination, they may conclude that a formal warning is the most appropriate outcome of the investigation. This shall be sent to the candidate advising that further offences will be deemed 'serious' and may result in a more severe penalty being applied. The Director of Studies shall receive a copy of the letter and must meet with the candidate to agree a plan of action to improve the candidate's understanding of good academic practice. All examples must be rectified within the work concerned. The offence will be recorded on the candidate's student record, but will not appear in future academic references.

K14.2 Additional procedures for the investigation of assessment offences in a thesis submitted for final examination

K14.2.1P Where as part of the preliminary scrutiny of the thesis an examiner suspects that an assessment offence may have occurred this shall be reported to the PGR Assessment Manager without delay who will liaise with the FRDC Chair to determine the nature and extent of the problem. This will enable cases that are due to poor scholarship rather than plagiarism or other type of offence to be identified. Instances of poor scholarship may then be raised and dealt with as part of the normal viva process e.g. by requiring the candidate to correct or amend where necessary, and ideally the viva can be conducted without delay. In such cases no offence will be recorded on the candidate's ISIS student record.

K14.2.2P Where however, the FRDC Chair determines that there is evidence of plagiarism or other offence the viva may need to be delayed by the PGR Assessment Manager while a fuller investigation is carried out using text matching software and other methods. It will be for the FRDC Chair to determine both the volume and significance of the offence in terms of its impact upon the academic integrity of the thesis as a whole and also whether there is evidence to suggest that the candidate carried out the offence intentionally. The Chair may need to seek advice from other colleagues unconnected with the student or the research project but with experience in the subject area and consult with the examiners in order to determine the former.

K14.2.3P Where the offence is of relatively minor significance to the main arguments of the candidate's research and where there is sufficient remaining material to be examined that is original to the candidate this will form the basis of the FRDC Chair's recommendation to the Award Board who, if in agreement, will return the thesis redacted as to the offending material, to the examiners and the viva can take place. The outcomes of the viva in such cases will be limited however, to resubmission with viva or to fail. In such cases the offence will be recorded on the candidate's student record.

K14.2.4P Where there is evidence of extensive plagiarism, research misconduct or other assessment offence which compromises the academic integrity of the thesis as a whole the FRDC Chair will need to determine whether a more serious outcome should be recommended to the Award Board (RDAB). If so, the viva may be further postponed while RDAB considers this recommendation, or cancelled altogether where the Board decides that the candidate should be required to withdraw. In which case the offence will be recorded on the candidate's student record and in academic references, the candidate's registration will be terminated and no award will be made.

K14.2.5P Where an assessment offence is discovered too late to stop the viva e.g. the panel has already assembled or during the viva itself, then the examiner should raise their concerns with the Independent Chair who is responsible for the conduct of the viva. Following discussion with the panel the Independent Chair will decide whether the viva should continue or should be stopped. If the viva continues then the examiners may question the candidate about areas of concern within the thesis and this should be clearly recorded in the examining panel outcomes report (RD12). If at the end of the viva the examiners are not confident that the thesis is the candidate's

own work then this should be indicated on the RD12 which will initiate an investigation. If it is decided that the viva should be stopped immediately then the Independent Chair will contact the PGR Assessment Manager and the investigation process will be initiated as before.

K14.2.6P The Award Board (RDAB) may ultimately decide to disagree with a recommended RD12 outcome made by the examiners if following an assessment offence investigation an allegation against the candidate is subsequently found to be proven.

K14.2.7P In all other respects the process shall be the same as at K14.1 above, and if necessary with regard to investigating panels at K14.4 below.

K14.3 Reporting and recording serious assessment offences and recommendations to the Award Board

K14.3.1P Where the FRDC Chair finds that an assessment offence has taken place, and taking into account any written or oral statement by the candidate, they shall report the findings to the Research Degrees Award Board (RDAB) and may recommend an appropriate outcome to:

- a. take no further action; or
- b. require the candidate to resubmit the work within a manner and timescale approved by RDAB; or
- c. require the candidate to withdraw from the award without viva and no further resubmission permitted. The candidate will not qualify for the award on which they are registered and their registration will be terminated.

K14.3.2P The Award Board shall receive the findings of the investigation and will consider any recommendation made by the FRDC Chair. The Board shall decide any assessment penalty to be imposed but may not revise the findings of the assessment offence investigation itself. The Board may decide to:

- a. take no further action;
- b. agree with the recommended outcome made by the FRDC Chair;
- c. vary the recommended outcome;
- d. disagree with the recommended outcome and impose a different penalty.

K14.3.3P In all cases except a. the offence will be recorded on the candidate's student record and in all future academic references.

K14.3.4P In the case of an assessment offence found to have been committed in a thesis post-submission for final examination but discovered prior to the viva having taken place the Board may decide that the offence is sufficiently serious to warrant an appropriate penalty that overrides procedures at K13.11.1P and require the candidate to withdraw without viva.

K14.3.5P Penalties for assessment offences for candidates whose award is validated or accredited by professional or statutory bodies may be constrained by the regulations of those bodies, academic procedure F20.10.1P refers.

K14.3.6P The Director of Corporate and Academic Services /Academic Registrar or RDAB through the Director of CAS may decide that a report shall be made in accordance

with academic procedure F20.10.2P, and Regulation E13 (Suspension and expulsion of students for academic reasons) may be applied where appropriate.

K14.4 Investigating Panels

K14.4.1P Where the candidate does not admit the offence, the FRDC Chair shall liaise with the Executive Dean (or nominee) who will instigate an investigating panel. The membership of this panel will normally comprise the Executive Dean (or nominee) as Chair of the panel, the FRDC Chair, and a member of an FRDC of a different faculty who is also an active doctoral level supervisor. The Graduate School PGR Assessment Manager shall be in attendance at the investigation to provide advice on academic regulations relating to PGR candidates. The purpose of the investigation is to re-consider the evidence, establish whether an offence has occurred and if so, its nature and effect upon any penalty recommended to RDAB.

K14.4.2P The investigating panel shall conduct itself in accordance with academic procedures at F20.4P.

K14.4.3P Where the investigating panel finds that an offence has occurred it shall report its findings to RDAB as at procedure K14.3.1P and the Board shall decide any assessment penalty to be imposed in accordance with procedure K14.3.2P.

K14.5 Reporting data about assessment offences

K14.5.1P FRDC Chairs shall keep a record of any allegations of assessment offences and penalties imposed on candidates, utilising data held on the student records system maintained by the Graduate School where appropriate. This information will be used in compliance with University reporting procedures as required.

K16 Consultation with and feedback from Postgraduate Research degree candidates

K16.1P Further information can be found in the Postgraduate Research Degree Programmes Code of Practice.

K17 Higher Doctorate

K17.1 Application

K17.1.2P 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).

K17.1.6P Applications shall be made in writing to the Officer to the Research Degrees Award Board in the form prescribed in K17.1.7R. 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 K17.2.2R 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.

K17.1.9P On receipt of an application, the Officer 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 Officer shall supply the external expert adviser(s) with a copy of the application.

K17.1.10P 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.

K17.1.11P The Officer shall notify the applicant of the Committee's decision on whether to proceed to examination.

K17.1.14P 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.

K17.2 Examination

K17.2.1P The Officer 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 Officer 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.

K17.2.3P The examination shall be undertaken by reference to the submitted material only. The examiners shall submit independent written reports to the Officer by a date determined by him/her. The Officer shall submit them to the Committee for decision. The assessment shall accord with the criteria set out in K17.2.2. 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.

K17.2.5P 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 Officer 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.

K17.2.8P The Officer shall convey the decision to the applicant in writing.

K17.2.10P On receipt of a recommendation by the Committee for an award, the Officer shall produce a results list confirming the recommendation of the Committee dated with the date of the relevant meeting of the Committee. The Officer shall pass the results list to an appropriate officer of the University for publication and production of the certificate.

K17.2.12P Written and published material submitted shall not normally be returned to the applicant.

K17.2.13P An applicant granted a Higher Doctorate will normally be required to give a public lecture within one year of conferment of the award.

Appendix 1

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 2013

* replace with the full title of your degree

** this sentence should only be used where there was a collaborating institute linked to your registration