

UNIVERSITY OF CUMBRIA ACADEMIC REGULATIONS ACADEMIC PROCEDURES AND PROCESSES

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Introduction

The Academic Procedures and Processes consist of 17 Appendices, the content of which underpins the Academic Regulations of the University of Cumbria.

These and the Academic Regulations are available on:

<http://www.cumbria.ac.uk/Services/AdminServices/AcademicOffice/AcademicOffice.aspx>

from which you will be able to access specific sections (eg External Examiners).

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UNIVERSITY OF CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 2

University Qualification and Level Descriptors

These descriptors are based on the QAA Framework for Higher Education Qualification Descriptors (2008) and SEEC Level Descriptors for Further & Higher Education (2003) but modified to reflect the University's Mission and the professional/vocational nature of the programme portfolio.

Section A: Qualification Descriptors (Taught Programmes)

Section B1.2 of the Academic Regulations refers

Descriptor for a Qualification at NQF Level 3:

Qualifications at NQF Level 3 are awarded to students who have demonstrated:

- i a largely given conceptual knowledge base and an appreciation of the breadth of the field of study and relevant terminology;
- ii an ability to apply the skills of manipulation of knowledge to make informed judgements within routine contexts and with guidance, work beyond defined contexts;

Typically holders of the qualification will be able to:

- a apply established approaches to solving well defined problems and show emerging recognition of the complexity of associated issues;
- b within defined contexts and under guidance consider personal and workplace experience and manage information and data from a range of sources appropriate to the field of study;
- c developing the ability to communicate outcomes effectively;

and will have:

- d qualities and transferable skills necessary for employment requiring some self directed activity, with broad guidance and evaluation, and responsibility for quality of output;
- e the learning ability needed to undertake further training and develop new skills within a structured and managed environment;

Descriptor for a Qualification at Level 4 (Certificate of Higher Education):

Qualifications at level 4 are awarded to students who have demonstrated:

- i knowledge of the underpinning concepts and principles associated with their area(s) of study, and an ability to evaluate these within the context of that area of study;
- ii a range of subject specific, cognitive and transferable skills.

Typically holders of the qualification will be able to:

- a evaluate the appropriateness of different approaches to solving problems related to their area(s) of study and/or work;
- b communicate the outcomes of their study/work accurately and in a structured and clear manner;

- c identify and discuss the relationship between personal and work place experience and findings from books, journals and other data drawn from the field of study;
- d undertake further training and develop new skills within a structured and managed environment;

And will have:

- e qualities and transferable skills necessary for employment requiring the exercise of some personal responsibility;
- f the learning ability needed to undertake appropriate further training of a professional or equivalent nature.

Descriptor for a Qualification at Level 5 (Foundation Degree):

Qualifications at level 5 are awarded to students who have demonstrated:

- i knowledge and critical understanding of the key concepts and principles associated with their area(s) of study;
- ii ability to apply and evaluate key concepts and theories within and outside the context in which they were first studied, including, where appropriate, the application of those principles in an employment context;
- iii knowledge of the main methods of enquiry in their subject(s), and ability to evaluate critically the appropriateness of different approaches to solving problems in the field of study;
- iv an understanding of the limits of their knowledge, and how this influences analyses and interpretations based on that knowledge.

Typically holders of the qualification will be able to:

- a select and deploy a range of subject specific, cognitive and transferable skills and problem solving strategies to problems in the field of study and in the generation of ideas;
- b effectively communicate information and arguments in a variety of forms and deploy key techniques of the discipline effectively;
- c reflect on personal and work place experience in the light of recent scholarship and current statutory regulations;
- d undertake further training, develop existing skills, and acquire new competences that will enable them to assume significant responsibility within organisations;

and will have:

- e qualities and transferable skills necessary for employment requiring the exercise of some personal responsibility and decision-making and determining and achieving personal outcomes;
- f the learning ability needed to undertake appropriate further training of a professional or equivalent nature.

Descriptor for a Qualification at Level 6 (Bachelors degree with honours):

Qualifications at level 6 are awarded to students who have demonstrated:

- i a systematic understanding of key aspects of their field of study, including acquisition of coherent and detailed knowledge, at least some of which is at or informed by, the forefront of defined aspects of discipline;
- ii an ability to deploy accurately established techniques of analysis and enquiry within a discipline;
- iii conceptual understanding that enables the student:
 - to devise and sustain arguments, and/or to solve problems, using ideas and techniques, some of which are at the forefront of a discipline; and
 - to describe and comment upon particular aspects of current statutory regulations, research, or equivalent advanced scholarship, in the discipline;
- iv an appreciation of the uncertainty, ambiguity and limits of knowledge;
- v the ability to manage their own learning, and to make use of scholarly reviews, primary sources (eg refereed research articles and/or original materials) and professional standards appropriate to the discipline).

Typically holders of the qualification will be able to:

- a review critically, consolidate and extend a systematic and coherent body of knowledge;
- b critically evaluate concepts and evidence from a range of resources;
- c transfer and apply subject-specific, cognitive and transferable skills and problem solving strategies to a range of situations and to solve complex problems;
- d exercise considerable judgement in a range of situations, accepting accountability for determining and achieving personal and group outcomes;
- e communicate solutions, arguments and ideas clearly and in a variety of forms;
- f reflect critically and analytically on personal and work place experience in the light of recent scholarship and current statutory regulations;

and will have:

- g qualities and transferable skills necessary for employment requiring:
 - the exercise of initiative and personal responsibility
 - decision-making in complex and unpredictable contexts; and
 - the learning ability needed to undertake appropriate further training of a professional or equivalent nature.

Descriptor for a Qualification at Level 7 (Master's degree):

Qualifications at M level are awarded to students who have demonstrated:

- i a mastery of a complex and specialised area of knowledge, and a critical awareness of issues at the forefront of their area of study and/or professional practice;

- ii a comprehensive understanding of techniques applicable to their own research, advanced scholarship and/or professional practice;
- iii originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline;
- iv conceptual understanding that enables the student:
 - to evaluate critically current research, advanced scholarship or professional practice in the discipline or field of study; and
 - to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically holders of the qualification will be able to:

- a employ advanced subject-specific and cognitive skills to enable decision-making in complex and unpredictable situations;
- b analyse complex concepts and professional situations by means of a synthesis of personal and work place reflection and data drawn from scholarship, research and personal enquiry;
- c generate new ideas and support the achievement of desired outcomes at a professional or equivalent level;
- d continue to advance their knowledge and understanding, and to develop new skills to a high level;
- e accept accountability for decision making including the use of supervision;

and will have:

- f the qualities and transferable skills necessary for employment requiring:
 - the exercise of initiative and personal responsibility
 - decision-making in complex and unpredictable situations; and
 - the independent learning ability required for continuing professional development.

University level descriptors (Levels 3 – 7) [Approved by ASC 3.2.09]
Section C 3.9 of the Academic Regulations refers.

The higher education qualification descriptors set out below are intended as a guide to staff and students on the expected outcomes that students will achieve at each level of study as they progress through their programmes. Individual disciplines will also refer to subject benchmarks in determining the appropriate descriptors for individual modules and programmes.

At Level 3: (Year 0 undergraduate), students will be able to appreciate the breadth of the field of study and apply the skills of manipulation of knowledge to make informed judgements within routine contexts and with guidance, begin to work beyond defined contexts; apply established approaches to solving well defined problems, showing emerging recognition of the complexity of associated issues and communicate outcomes effectively in an appropriate format; within a defined context and under guidance evaluate personal and workplace experience and manage information and data from a range of sources appropriate to the field of study.

At Level 4: (Year 1 undergraduate), students will be able to demonstrate that they have the ability: to apply a systematic approach to the acquisition of knowledge, underpinning concepts and principles and deploy a range of subject specific, cognitive and transferable skills; evaluate the appropriateness of different approaches to solving well defined problems and communicate outcomes in a structured and clear manner; identify and discuss the relationship between personal and work place experience and findings from books and journals and other data drawn from the field of study.

At Level 5: (Year 2 undergraduate), students will be able to demonstrate that they have the ability: to apply & evaluate key concepts and theories within and outside the context in which they were first studied; select appropriately from and deploy a range of subject-specific, cognitive & transferable skills & problem solving strategies to problems in the field of study and in the generation of ideas effectively communicate information and arguments in a variety of forms; accept responsibility for determining & achieving personal outcomes; reflect on personal and work place experience in the light of recent scholarship and current statutory regulations.

At Level 6: (Year 3 undergraduate), students will be able to demonstrate that they have the ability: to critically review, consolidate and extend a systematic and coherent body of knowledge; critically evaluate concepts & evidence from a range of resources; transfer and apply subject-specific, cognitive and transferable skills and problem solving strategies to a range of situations and to solve complex problems; communicate solutions, arguments and ideas clearly and in a variety of forms; exercise considerable judgement in a range of situations; accept accountability for determining and achieving personal and group outcomes; reflect critically and analytically on personal and work place experience in the light of recent scholarship and current statutory regulations.

At Level 7 (Master's level), students will be able to demonstrate that they have the ability: to display a mastery of a complex and specialised area of knowledge and a critical awareness of issues at the forefront of the area of study; employ advanced subject-specific and cognitive skills to enable decision-making in complex and unpredictable situations; generate new ideas and support the achievement of desired outcomes; accept accountability for decision making including the use of supervision; analyse complex concepts and professional situations by means of synthesis of personal and work place reflection and data drawn from scholarship and research in the field.

UNIVERSITY OF CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 3a

University Wide Grade Descriptors

University Wide Grade Descriptors

The following grade descriptors (Academic Regulations Section C 3.9) should be used in marking to decide the appropriate grades for individual assessment tasks at the different levels of study. The University reviews these descriptors periodically.

Level 3

80-100 A A	<p>Student meets all the requirements to attain 70 - 79 but demonstrates exceptional appreciation of the breadth of the field of study. Sophisticated ability to express the complexity of issues.</p>
70-79 A	<p>Student has met the LOs of the assessment with secure knowledge & understanding demonstrating study beyond the central requirements of the subject.</p> <p>The work shows clearly an appreciation of the importance of theoretical underpinning and provides evidence of simple analysis</p> <p>Work shows confidence in using given tools/methods in defined practical contexts and/or problems and an ability to reach reasoned conclusions.</p>
60-69 B	<p>Student has met the LOs of the assessment with evidence of relevant acquisition of knowledge & understanding.</p> <p>The work shows the ability to express defined ideas clearly and with evidence of understanding and simple judgement.</p> <p>Work shows evidence that the student has applied given tools/methods with broad accuracy to well defined practical contexts and/or problems though conclusions drawn are limited.</p>
50-59 C	<p>Student has met the LOs of the assessment with evidence of acquisition of the main aspects of the knowledge of the subject.</p> <p>The work describes given knowledge clearly and displays limited evidence of an ability to use judgement.</p> <p>Work shows that the student has applied given tools/methods to well defined practical contexts and/or problems</p>
40-49 D	<p>Student has met the LOs with evidence of simple acquisition of knowledge of the subject.</p> <p>The work describes given knowledge with few errors.</p> <p>Work shows that the student has applied given tools/methods with minor errors to well defined practical contexts and/or problems.</p>
35-39 F	<p>Student has not met all the LOs but shows some incomplete knowledge of the topic.</p> <p>The work displays inaccuracy and uncertainty in handling given knowledge. Unable to always apply given tools/methods to well defined practical contexts and/ or problems</p>

30-34 F	Student has not met LOs with little knowledge of the topic. The work lacks coherence and demonstrates an inability to describe given knowledge. Poor understanding of given tools/methods and/or when to apply them to well-defined practical contexts and/or problems.
0-29 F	Student has failed the majority of the LOs

Level 4

80-100 A A	Student meets all the requirements to attain 70 - 79 but demonstrates exceptional comprehension of knowledge & understanding. Sophisticated ability to analyse beyond defined classifications/principles
70-79 A	<i>Student has met the LOs of the assessment with thorough knowledge & understanding demonstrating study beyond the core requirements of the subject.</i> The work shows a resourceful and imaginative ability to analyse based on defined classifications, principles, theories or models Work shows clear evidence that the student has applied given tools/methods accurately to well defined practical contexts and/or problems.
60-69 B	<i>Student has met the LOs of the assessment with evidence of relevant and sound acquisition of knowledge & understanding.</i> The work shows evidence of ability to analyse based on defined classifications, principles, theories or models. Work shows evidence that the student has applied given tools/methods accurately to well-defined practical contexts and/or problems. Although the work recognises inherent complexities in the area of study, some conclusions are reached on the basis of insufficient evidence.
50-59 C	Student has met the LOs of the assessment with evidence of acquisition of knowledge of the subject. The work is largely descriptive in nature with evidence of limited reasoning based on defined classifications, principles, theories or models. Work shows some evidence that the student has applied given tools/methods accurately to well defined practical contexts and/or problems, including limited recognition of the inherent complexities in the area of study.
40-49 D	Student has met the LOs with evidence of basic acquisition of knowledge of the subject. The work is limited to description and prone to unsubstantiated assertion or logic. Work shows evidence that the student has applied given tools/methods to well defined practical contexts and/or problems.

35-39 F	Student has not met all the LOs but shows an emerging knowledge of the topic. The work is descriptive and uncritical with some inaccuracy and lack of coherence. Unable to always apply given tools/methods to well defined practical contexts and/ or problems
30-34 F	Student has not met LOs with little knowledge of the topic and many factual errors. The work is descriptive and uncritical with discussion which may be irrelevant or lack internal consistency. Insufficient understanding of given tools/methods to apply them to well-defined practical contexts and/or problems.
0-29 F	Student has failed the majority of the LOs

Level 5

80-100 A A	Student meets all the requirements to attain 70 - 79 with impressive knowledge & understanding applying a well sustained critical approach drawing on a comprehensive breadth of evidence, reasoning and reflection.
70-79 A	Student has met the LOs of the assessment with evidence of detailed knowledge & understanding of key concepts and theories, demonstrating a creative approach to a variety of ideas, contexts and frameworks. The work adopts a critical approach, using evidence, reasoning and reflection based on given classifications, principles, theories or models. Work shows sustained evidence that the student can identify & define straightforward problems and/or practical contexts and can apply knowledge and skills aimed at their resolution.
60-69 B	Student has met the LOs of the assessment with evidence of detailed knowledge & understanding of key concepts and theories, demonstrating a variety of ideas, contexts and frameworks. The work adopts a critical approach using given classifications/principles. Work shows evidence that the student can identify straightforward problems and/or practical contexts and choose appropriate methods for their resolution in a considered manner.
50-59 C	Student has met the LOs of the assessment with evidence of knowledge & understanding of key concepts and theories which is generally sound. The work shows evidence of a general critical approach using given classifications/principles, although there may be some lack of focus on key points. Work shows evidence that the student can apply learning in a considered manner to straightforward problems and/or practical contexts.
40-49 D	Student has met the LOs of the assessment with evidence of basic knowledge & understanding of key concepts and theories. The work is heavily limited to description; analysis may be unsophisticated. Work shows evidence that the student can apply essential learning to

	straightforward problems and/or practical contexts.
35-39 F	<p>Student has not met all the LOs of the assessment with basic knowledge of some relevant topic issues and evidence of partial understanding.</p> <p>Work is largely descriptive with some unsubstantiated assertion. Analysis is minimal or contradictory</p> <p>Unable to always apply essential learning to straightforward problems and/or practical contexts. For professional courses any work which contains evidence of, or reference to, unsafe or dangerous practice should be deemed a fail.</p>
30-34 F	<p>Student has not met LOs with inadequate knowledge or understanding of the of the topic.</p> <p>The work is descriptive and uncritical with unsubstantiated assertion.</p> <p>Insufficient understanding of given tools/methods to apply them to straightforward practical contexts and/or problems.</p>
0-29 F	Student has failed the majority of the LOs

Level 6

80-100 A A	<p>Student meets all the requirements to attain 70 – 79. There is evidence of exceptional scholarship including critical evaluation and synthesis of issues and information that generates originality and challenges existing approaches.</p> <p>Accurate and detailed use of a range of evidence. Comprehensive knowledge and understanding of theories, principles and concepts.</p>
70-79 A	<p>Student has met the LOs of the assessment with evidence of comprehensive and up-to-date knowledge & understanding of concepts and theories and their interrelationship. The work shows a detailed appreciation of how aspects of the subject are uncertain, contradictory or limited.</p> <p>The work adopts a well-sustained critical approach using a breadth of evidence, reasoning and reflection.</p> <p>Works shows evidence of a mature and independent approach to problem solving. The student can create appropriate hypotheses and select, justify and use imaginative and innovative approaches in their investigations.</p>
60-69 B	<p>Student has met the LOs of the assessment with evidence of comprehensive and up-to-date knowledge & understanding of concepts and theories and their interrelationship with an awareness of how aspects of the subject are uncertain, contradictory or limited.</p> <p>The work adopts a critical approach using a breadth of evidence, reasoning and reflection.</p> <p>Works shows evidence that the student can act confidently and autonomously in the identification and definition of complex problems and select, justify and use approaches aimed at their resolution.</p>

50-59 C	<p>Student has met the LOs of the assessment with evidence of detailed knowledge & understanding of key concepts and theories including an awareness of the <i>provisional nature</i> of knowledge.</p> <p>The work shows evidence of a general critical approach using individual judgement and reflection although there is some limitation in the ability to conceptualise and/or apply theory.</p> <p>Works shows evidence that the student can act without guidance in the identification of complex problems and can apply knowledge and skills to their resolution.</p>
40-49 D	<p>Student has met the LOs of the assessment with evidence of knowledge & understanding of key concepts and theories including basic recognition of the complexity of the subject.</p> <p>The work is in the most part descriptive rather than based on argument and logical reasoning.</p> <p>Works shows evidence that the student can apply appropriate learning accurately to complex problems and/or practical contexts.</p>
35-39 F	<p>Student has not met all the LOs of the assessment with only basic knowledge of key concepts and theories and weaknesses in understanding. There is little or no recognition of the complexity of the subject.</p> <p>Work is largely descriptive with some unsubstantiated assertion. Analysis is minimal or contradictory.</p> <p>Unable to always apply learning accurately to complex problems and /or practical contexts. For professional courses any work which contains evidence of, or reference to, unsafe or dangerous practice should be deemed a fail.</p>
30-34 F	<p>Student has not met LOs with inadequate knowledge or understanding of key concepts and theories. There is no recognition of the complexity of the subject.</p> <p>The work is descriptive and uncritical with unsubstantiated assertion and a lack of analysis.</p> <p>Insufficient understanding of given tools/methods to apply learning accurately or safely to complex problems and /or practical contexts.</p>
0-29 F	<p>Student has failed the majority of the LOs</p>

Masters (M) Level

80-100% Distinction	<p>Student has met the LOs of the assessment with:</p> <p>Knowledge and Clarity of Reasoning</p> <p>Exceptionally comprehensive knowledge base. Ability to discriminate and justify key issues and relate them to the wider context. Lines of thought are innovative and transparent and the arguments are confidently expressed to develop and synthesise compelling and novel conclusions. Conclusions drawn make a new contribution to the knowledge base of the discipline and there is clear evidence of originality in the work Innovative thinker.</p>
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	<p>Interface between Theory and Practice in the Professional Context Exceptional critical analysis of the interface between theory and practice, which evaluates and challenges theoretical adequacy and synthesises the development of professional practice. Exceptional evidence of self understanding which leads to creative and novel use of multiple frameworks for evaluation and synthesis and challenges current practice in the professional context.</p> <p>Use of literature Exceptional, discerning and balanced range of key and peripheral primary and secondary sources demonstrating a very high level of critical evaluation and synthesis and the ability to challenge received wisdom in the subject. Outstanding evidence of wide reading on the subject and this is incorporated into novel conclusions.</p> <p>Organisation of Material Exceptional clarity of presentation that demonstrates ability to attend to all detailed aspects of organisation and structure of discussion and all supporting evidence. The work has the qualities consistent with publishable material.</p>
70-79% Distinction	Student has met the LOs of the assessment with: Knowledge and Clarity of Reasoning Excellent, comprehensive knowledge base. Ability to discriminate and justify key issues and relate them to the wider context. Lines of thought are transparent and the arguments are confidently expressed to develop and synthesise compelling conclusions. <p>Interface between Theory and Practice in the Professional Context Rigorous critical analysis of the interface between theory and practice, clearly elaborated to evaluate theoretical adequacy and synthesise the development of professional practice. Excellent, creative use of multiple frameworks for evaluation and synthesis of own stance.</p> <p>Use of literature Excellent, wide range of key and peripheral primary and secondary sources, demonstrating critical evaluation and synthesis within the professional context.</p> <p>Organisation of Material Excellent, coherent organisation and structure which enhances comprehension. Excellent presentation of all material. Referencing is accurate to a high degree.</p>
60-69% Good pass	Student has met the LOs of the assessment with: Knowledge and Clarity of Reasoning Substantial knowledge base. Ability to discriminate key issues and establish some links to the wider context. Arguments are confidently expressed through clear, logical lines of thought. Conclusions are firmly articulated, comprehensive, relevant and arise directly from the premised arguments. <p>Interface between Theory and Practice in the Professional Context Excellent critical analysis/evaluation of the relationship between theory and practice. Substantial use of multiple theoretical frameworks to evaluate professional practice with wide ranging synthesis to show how each is informing the other. Clear, critical evaluation of their usefulness.</p> <p>Use of literature</p>

	<p>Substantial selection of key primary and secondary literature sources demonstrating analysis and critical evaluation of a wide range of relevant issues for the professional context.</p> <p>Organisation of Material Organisation is comprehensive and structure coherent. Well presented, with considerable attention to detail which facilitates effortless comprehension. Supporting material is well presented and ordered with accurate referencing and minimal errors of detail.</p>
50-59% Satisfactory Pass	<p>Student has met the LOs of the assessment with:</p> <p>Knowledge and Clarity of Reasoning Sound knowledge base. Ability to discriminate key issues. Arguments are confidently expressed through clear, logical lines of thought. Conclusions are firmly articulated, relevant and arise directly from the premised arguments.</p> <p>Interface between Theory and Practice in the Professional Context Good, critical analysis/evaluation of the relationship between theory and practice. Some use of multiple theoretical frameworks to evaluate professional practice. Demonstrable synthesis to show how each is informing the other. Some evaluation of their usefulness.</p> <p>Use of literature Good selection of key primary literature sources with critical evaluation of significant issues for the professional context. Some limited analysis of related, secondary material.</p> <p>Organisation of Material Organisation and structure is coherent. Well presented, facilitating comprehension. Supporting material is well presented and ordered. Accurate referencing.</p>
40-49% fail	<p>Student has not met all the LOs of the assessment with:</p> <p>Knowledge and Clarity of Reasoning Some defended knowledge of current, relevant issues. Limited development of arguments where lines of thought are discernible. Limited conclusions arising from premises.</p> <p>Interface between Theory and Practice in the Professional Context Some articulation of the relationship between and critical analysis/evaluation of the significance of relevant theory to specific professional practice with some awareness of how each may be informed by the other.</p> <p>Use of literature Range and choice of evidence/literature marginally inadequate. Some recognition and critical analysis of issues of significance for the professional context.</p> <p>Organisation of Material Organisation and structure does not adequately support the work. Presentation includes supporting material but is somewhat disorganised in places. Most referencing is sound and appropriate but limited in scope.</p>
30-39% fail	<p>Student has not met the LOs of the assessment with:</p> <p>Knowledge and Clarity of Reasoning</p>

	<p>Some evidence of relevant knowledge base but little argument and lines of thought are poorly expressed and often demonstrate confused thinking. Conclusions drawn but often not related to discussion.</p> <p>Interface between Theory and Practice in the Professional Context Some use of relevant theory but lack of awareness of relationship to practice. Little integration of the articulation between theory and practice</p> <p>Use of literature Narrow but mainly relevant selection of evidence/literature demonstrating some recognition of significance for the professional context</p> <p>Organisation of Material Poorly organised, incoherent structure. Poor presentation and referencing. Little appropriate supporting material given.</p>
<p>0-29% Fail</p>	<p>Student has failed to meet the majority of the LOs of the assessment.</p>

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 3b

Procedures Governing the Marking and Moderation of Assessments

Procedures Governing the Marking and Moderation of Assessments

1. *Marking of Assessments*

1.1 The principles for assessment, including the reliability of marking and moderation, are set out in Section F2 of the Academic Regulations. All markers must be familiar with the work being assessed. Where this is not possible, for example for practical or oral assessments, the Module Assessment Board may approve an alternate form of moderation. (e.g. statistical inspection)

1.2 Second marking

1.2.1 All contributory assessment (except where a single assessment item is submitted for the attainment of more than 20 credits), including answers to individual examination questions, is subject to second marking. The second marker has sight of the feedback and annotated comments of the first marker, but not the actual mark awarded.

1.2.2 Second marking is based on a representative sample equal to the square root of n (\sqrt{n}) where n is the number of students in the module delivery group to a minimum of five items, plus all failed pieces.

1.2.3 A team marking approach to the assessment of modules may be used if appropriate, for example in some practice based modules, providing there are at least two markers within the team who assess work presented independently of each other.

Note: Where a module is delivered at different locations, each delivery group must be sampled.

1.3 Clean Double marking

1.3.1 Where a single piece of assessment is presented for the achievement of **more than 20 credits**, the work must be clean doubled marked. The second marker assesses the work independently without sight of the mark or feedback of the first marker. Students may be required to submit two copies of the work to enhance efficiency in the marking process.

1.3.2 A team marking approach to the assessment of modules may be used if appropriate, for example in some practice based modules, providing there are at least two markers within the team who assess work presented independently of each other.

1.4 Anonymous Marking

As part of its commitment to fairness in assessment practice, the marking of examination scripts is anonymised. Anonymised marking of coursework is currently being piloted and procedures regarding this are under discussion. However, it is noted that for some types of assessment (e.g. art, work based learning) completely anonymised coursework will not be possible.

1.5 Agreement of provisional marks

- 1.5.1 In second marking where the first and second marking outcomes are largely in agreement (i.e. they differ by no more than 5%), the first marker's mark stands. Averaging should not be employed to avoid regression to the mean and to ensure that there is neither advantage nor disadvantage to individual students, particularly in the sampling process related to second marking. However, if the marks differ by 5% in most of the sample it is suggested that a third marker is employed as in 1.5.2 to consider the marks of the whole cohort.
- 1.5.2 In second marking where there is disagreement between the first and second markers, a third marker will be employed on the same basis as the second marker. Finally agreed marks are those of whichever marker has closest consonance with the marks of the third marker. However, in exceptional cases the external examiner may be called upon to adjudicate. The HOS/HOD is responsible for ensuring that any differences between first and second markers are resolved.
- 1.5.3 In double marking, the two markers should discuss their provisional marks and decide on the mark to be awarded.
- 1.5.4 The outcome of the marking process for each item of assessment is recorded on a single mark record sheet, on which the first, second and agreed provisional marks are evident. All the examiners concerned must sign the marksheet. One copy must be provided to the External Examiner as part of the external examining process. The Module Leader retains a further copy.

1.6 Disclosure of Provisional Marks

- 1.6.1 Internally agreed feedback and provisional marks, for both examinations and coursework, should be disclosed to students within 25 working days (which excludes weekends, public holidays and periods of University closure only). This is before moderation by the External Examiner and confirmation by the Module Assessment Board.
- 1.6.2 In exceptional circumstances when it is not possible to complete the internal moderation process, the minimum expectation is that feedback, which may include the provisional mark, will be given within this period (ie 25 working days).
- 1.6.3 In both 1.6.1 and 1.6.2 the documentation must clearly state that the marks are still provisional and may be subject to alteration in the confirmatory process.

2 Moderation

2.1 Internal Moderation

Moderation is the process of confirming with qualified colleagues that the standard and suitability of the assessments set, and the consistency of marking across tutors, modules, programmes and sites, is fair and appropriate.

- 2.1.1 HOS/HOD are responsible for ensuring that coursework titles and briefs are monitored by sampling which is representative of the diversity of assessment items set.
- 2.1.2 Each module marksheet includes information on the mean and standard deviation for that module.
- 2.1.3 Intra-scheme moderation occurs when a module has multiple offerings in a given academic session. An analysis and comparison of the provisional marks, and of the mean and standard deviation for each of the module offerings is required. Where possible, cross-site marking moderation should occur based on the sample as in 1.2.2 above.
- 2.1.4 Outcomes of moderation should inform the Annual Evaluatory process.

2.2 External Examiner Moderation

External moderation is the process of ensuring via an external view that the suitability and standards of assessment tasks and the consistency of marking across tutors, modules are appropriate fair, and are comparable with standards in UK higher education in general.

- 2.2.1 External examiners are required to approve all examination questions and briefs before publication. Additionally they are asked to report on the appropriateness of modes of assessment for the modules learning outcomes and level of award.
- 2.2.2 The responsibilities of External Examiners are set out in Section J 3 of the Academic Regulations and Appendix 4 of the procedures. The main concern of the external examiner is the appropriateness of assessment and the standards of marking although he/she may exceptionally be consulted about the marks of an individual student. (See 2.2.5)
- 2.2.3 External Examiners are asked to moderate both examination scripts and course work and to ensure that each student is fairly placed in relation to the rest of the cohort. Normally, unless the number of assessment items is sufficiently small for all to be scrutinised, an agreement with external examiners will be reached on the sample of work to be submitted for moderation. This should include representative samples of each grade or class of degree, cases of failure and cases identified by staff as being of particular interest to ensure that each student is fairly placed in relation to the rest of the cohort. The external examiner has the right to see the work of all students proposed for the highest available category of the award and for failure and samples of the work of students proposed for each category of award. S/he may see the work of all students assessed if s/he wishes.
- 2.2.4 Internal markers must ensure that the external examiner receives copies of their Assessment Criteria and Marking Schemes.
- 2.2.5 If an external examiner is concerned about accuracy and consistency of marking and wishes to change marks, all work falling into the area of concern should be re-

marked. The final decision on the mark(s) to be awarded in individual cases, or in the case of a whole cohort, lies with the Module Assessment Board.

- 2.2.6 All examination scripts and course work contributing to the final assessment must be available to external examiners should they be required. In particular the work of any candidates likely to be discussed at the MAB should be made available to the external examiner before the meeting and should have been fully internally moderated.

3 Provision of module marks to the relevant University administrator and completion of mark sheets

- 3.1 The mark sheet indicates the number of elements and their weightings which contribute to the total assessment of the module as validated. The mark sheets also indicate the mode of that assessment.

3.1.1 Examinations

(a) Marks for each module must be provided anonymously to the relevant University administrator on the Invigilator's Report Form. The raw marks should be expressed in percentage terms and **rounded up or down after aggregation of individual marks as necessary (0.5 and above raised)**.

(b) The decoding will be completed by the relevant University administrator. The decoded mark sheet will be used for the Module Assessment Board and copied to the Division/School.

3.1.2 Coursework

The Division/School should complete the mark sheet provided by relevant University administrator by providing the raw mark (expressed in percentage terms) for each element of coursework. Where coursework is assessed on a pass/fail basis only, this should also be registered on the mark sheet as either "P" or "F".

3.1.3 Professional Performance

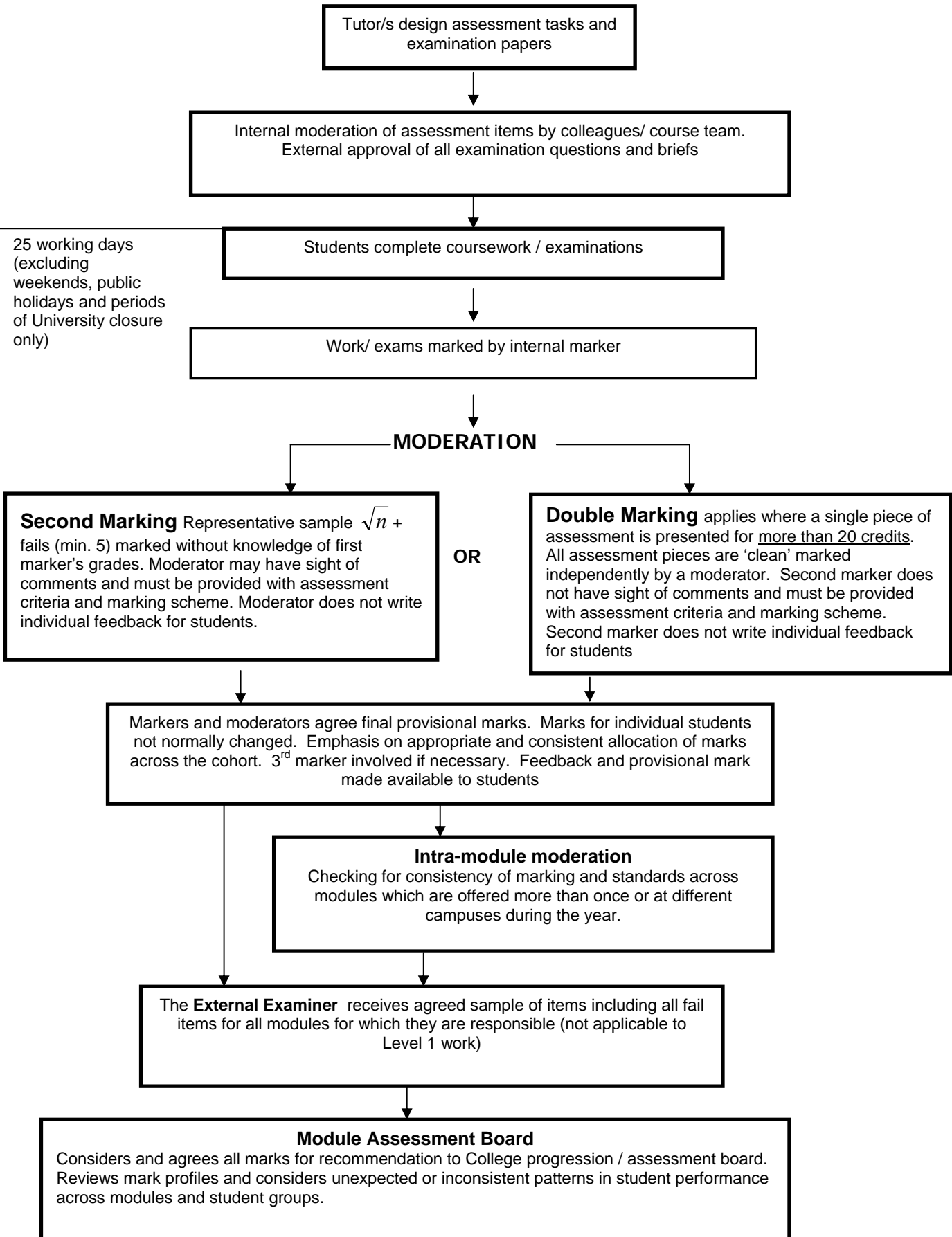
Where professional performance, for example a work-based placement, is assessed separately from any Programme module, this should be recorded on a separate mark sheet. This is normally expressed on a pass/fail basis.

- 3.2 The aggregated module mark is calculated by the relevant University administrator /SITS according to the validated weighted scores and is rounded up or down according to the same convention as in 3.1.1 (a).

4. Review of the procedures

The University reviews these procedures periodically.

THE MARKING AND MODERATION PROCESS FOR TUTORS



UNIVERSITY OF CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 3c

The Conduct of Assessment

This section should be read in conjunction with Section 3b Marking and Moderation.

1 Coursework

- 1.1 All submitted work should be prefaced by a completed and signed assessment cover sheet obtainable from the Faculty/School/Divisional administrators. They have the right to refuse to accept work not prefaced by this form or by an incomplete form. Coursework submitted by post should arrive by the submission date and students should use recorded delivery to ensure proof of postage.
- 1.2 Students shall receive a receipt as evidence of submission.
- 1.3 Students should retain a copy of submitted work as, in very exceptional cases, assignments may be lost or damaged.
- 1.4 Written assignments must be submitted as paper copies and in English unless the assignment is in a foreign language or specifically requested otherwise by the Faculty.
- 1.5 Students are responsible for ensuring that all work for modules of Level 5 and above is made available for the External Examiners if required. Schools/Divisions will advise further.
- 1.6 No coursework or equivalent must have been previously submitted towards any credit bearing component of an award (see Appendix 3d Procedures Governing Academic Malpractice 1.3)
- 1.7 Faculties are responsible for the internal moderation of coursework titles and briefs before publication and for establishing and maintaining a monitoring system.
- 1.8 Students should ensure that confidentiality is maintained and should be aware of Faculty procedures regarding breaches.

2 Submission deadlines

- 2.1 All work must be submitted in the format specified by the dates as determined by the School/Division and notified to students at the start of the session/semester via the Student/Module Handbook (Academic Regulation F6.1). The submissions dates should be timed to enable processing of the assessment at the next assessment board point.
- 2.2 Work submitted beyond the submission date but within 10 working days (ie excluding weekends, public holidays and periods of University closure only) will be accepted as an **unauthorised late submission**. The maximum mark that can be awarded will be the pass mark (40% Levels 3-6; 50% Level 7(M)). Tutorial support for the subject should not be available during this period but Learning Support will continue to be available (Academic Regulation F6.2) as will Technical Support especially in regard to facilities and health and safety.
- 2.3 Unauthorised late submission applies only to the first assessment of coursework, not to deferred assessment or reassessment. It also does not apply to timed assessments such as presentations, group work, exhibitions or performances, which have the status of examinations.
- 2.4 **Authorised extensions** to submission may be agreed by the module tutor for valid reasons and on application by the student through faculty procedures. An extension may be given for up to 2 weeks (14 days including 10 working days). No penalty will be applied to the mark, provided the work is submitted to the re-negotiated deadline. It is important that any extension agreed should still permit the assessment item to be marked and presented to the Module Assessment Board.

- 2.5 Work submitted beyond the authorised re-negotiated date but still within 2 weeks (including 10 working days) of the original submission deadline in the case of a part extension, will be accepted on an unauthorised late submission basis (as 2.2 above)
- 2.6 Where known extenuating circumstances prevent the student from submitting by the due or agreed extension date, then the student should make a claim for consideration by the assessment board for deferred assessment to the next assessment point (Academic Regulation F6.3). This will be considered by the Chair of the Module Assessment Board (MAB) on behalf of the board and notified to the student. A copy will be lodged with Student Administration and reported to the Extenuating Circumstances Panel.
- 2.7 Circumstances which are not likely to be resolved by deferred assessment to the next assessment point will be dealt with through the Extenuating Circumstances procedure (see Appendix 3e).
- 2.8 Work submitted beyond 2 weeks (including 10 working days) after the submission date will be regarded as **non-submission** and awarded zero (Academic Regulation F6.2).

3 Word limits for assignments

- 3.1 It is expected that all students can demonstrate achievement of the learning outcomes for an assessment within the defined word limit. The upper limit specified may be exceeded by up to 10% without penalty. There is no lower limit but failure to include demonstration of the requisite learning outcomes will lead to a fail mark.
- 3.2 These guidelines on wordage for written assessment/length of presentations exist both to enable the student to see the scale of the item and to establish an upper parameter within which it should be completed (see 3.4.1 below)

3.3 Word limit requirements

3.3.1 Essays, Reports and Dissertations

The word count includes the body of the work (i.e. the main text), within which all the learning outcomes should be demonstrated, but excludes:

- References/ Bibliographies
- Tables and the title of tables
- Graphs
- Appendices

N.B. Quotations should not normally be more than three lines of text, and are included in the wordage. Appendices should only be included where necessary and should not be used as an alternative location for the demonstration of learning outcomes, as the main body of the work should stand alone.

3.3.2 Portfolios

The same principles apply as for essays, reports and dissertations, except that evidence supporting the portfolio is not included in the word count. However, the module team should give advice to students on the nature and length (if possible/appropriate) of the evidence to be provided, along with an indication of the broad number of items which may be appropriate.

3.3.3 Presentations

The length of presentations should be proportionate to the number and complexity of learning outcomes which need to be demonstrated. For parity, up to a 10% time excess is permitted.

3.3.5 Other forms of assessment

It is acknowledged that other forms of assessment exist that may not fall within these guiding principles but which are defined as an equivalence in course documents. (e.g. music performance, art exhibition and posters). These guidelines only apply where time/wordage/volume limits are given.

3.4 Application of the guidelines

3.4.1 Where the assignment/presentation has a defined upper limit, notification must be given to students at the outset of the module via the Module Handbook. A comment will be made on the coversheet regarding the sanction made in cases where the work exceeds the assessment word count plus 10%. Students should also be advised clearly of the consequences of breaching specified limits. (see 3.5 below).

3.4.2 To enable broad visual inspection, students should paginate the text and should declare the word count and the number of pages on the cover sheet. As a guide, the table below shows an **approximate** figure for word count per number of pages based on using 12 point Tahoma font, double spaced with standard margins.

Words	1000	1500	2000	2500	3000	3500	4000	4500	5000
Pages	4	6	8	10	12	14	16	18	20

Different subject areas may require students to use different fonts, typefaces and spacing from the above, in which case the number of pages will vary from those cited in the example.

3.5 Penalties

3.5.1 Any excess beyond 10% will not be marked. In the case of presentations, the presentation will be guillotined when the 10% leeway has been reached. Students should therefore be advised in the Module Handbook that should the demonstration of any LOs occur **only** in the excess text which is not marked, they will risk failing the module.

3.5.2 Students who exceed or falsify the word count are subject to a penalty of 20% of the total mark for the assessment e.g. 10 marks for an assessment worth 50 marks, 20 marks for a 100 mark assessment.

3.5.3 Tutors will draw a clear line in the work to show where the work exceeded the word count in excess of 10% and the point at which they ceased to mark.

4 **Referencing**

4.1 The Harvard System is used for referencing and citation within all academic work. However, where specific disciplines recognise other systems used nationally, they must be published for student use and copied to all examiners (Academic Regulation F3.3). All students are provided with a referencing guide at registration.

- 4.2 Any student may be required to submit their assignment for textual similarity review for the detection of plagiarism through the software 'Turnitin' and attach an originality report.

5 Examinations

- 5.1 An examination is defined as a formal, timed assessment of any duration that is subject to continuous invigilation (Academic Regulation F7.1).
- 5.2 There will be a schedule of examination periods for the academic year. Examination timetables giving dates, times and venues will be published and issued to students by Student Administration by post and/or email and displayed on notice boards in good time (Academic Regulation F7.3).
- 5.3 Attendance at examinations is compulsory and no alternative dates can be arranged. Students are responsible for presenting for examination in accordance with the published timetable. Failure to attend without good reason is counted as a sit and attracts the mark of zero (Academic Regulation F7.4).
- 5.4 Attendance at examinations implies fitness to take the assessment. Students unable to attend through known extenuating circumstances should submit a claim with supporting evidence for consideration by the Extenuating Circumstances Panel (see Appendix 3e.5).
- 5.5 Schools/Divisions are responsible for making arrangements for the issue of pre-release question papers/material where appropriate and students are responsible for the collection.
- 5.6 For some examinations, students are permitted to bring their own materials/resources [eg. texts, notes, files, calculators] provided these accord with School/Division guidelines. Students are responsible for providing these according to the guidelines and to check with the course/module tutor if in doubt.
- 5.7 The University adopts an anonymous marking policy for examination scripts (Academic Regulation F2.3). Students sit at numbered desks as determined by the attendance list. Students must bring their Library Card with them into each examination and put it on the desk as proof of identity. Invigilators will make spot checks of legitimate attendance and accurate seating. Scripts will be identified by seat number/candidate number and full instructions for preserving anonymity will be given by the invigilators.

6 *Preparation of examination question papers*

- 6.1 Module tutors will be responsible for preparing draft question papers and rubric and for having them approved by the external examiner before publication. The length and type of examination paper should be set in accordance with the validated assessment scheme for the module.
- 6.2 Student Administration will be responsible for final production, printing, duplication and secure storage.
- 6.3 The content of question papers is both restricted and confidential (ie not to be disclosed to or discussed with students or staff outside of the School/Division)
- 6.4 The font should be Tahoma 11 and the format of the paper shall include:
- Name of the awarding body (eg University of Cumbria, Lancaster University, University of Central Lancashire, Cumbria Institute of the Arts)
 - Partner institution if appropriate

- Module code and title
- Campus/site at which examination held
- Length of the examination
- Date and time of the examination
- Rubric giving information on the number of questions to be answered
- Information in the case of specific arrangements eg open books, permitted materials

7 Invigilation

7.1 All members of the teaching staff below Head of School/Division are expected to contribute to invigilation activity. It is also expected that the module leader/tutor is available to invigilate or at least be present at the start of the examination for which he/she has responsibility. *[In very exceptional circumstances invigilation may be carried out by a non-teaching staff member.]*

7.2 There will be no less than 3 members of staff in the room unless the group size is less than 20 students. The recommended ratio of examinees to invigilators (including the chief invigilator) is as follows:

No of examinees	No of invigilators
1	1
2-20	2
21-70	3
71-120	4
121-160	5
161-200	6

7.3 The chief invigilator has responsibility for the operation and management of the examination, for giving appropriate instructions at the beginning and end of the exams and reporting any procedural irregularity affecting students or incidence of suspected malpractice to Student Administration.

7.4 Duties of invigilators will include:

- 1 To arrive **25 minutes before the scheduled start of the exam session** and to be **available for the WHOLE examination session** to ensure adequate invigilation cover (not just for duration of paper).
- 2 To set out the question papers (usually each tutor sets out the paper for his/her own group of examinees) and to make a last minute check on the question paper/attendance lists/provision of necessary equipment (where appropriate for own paper).
- 3 To assist with the admission of students to the exam room no later than five minutes before the start-time of the exam, ensuring that students are **silent; bags, mobile phones** and **coats** are left at the back of the exam room and students do not bring in food (other than small packets of sweets) or drinks, except in case of medical condition eg diabetes.
- 4 To identify absentees and to ensure Student Administration is aware of **all** such at the commencement of the exam. To note absentees and any late arrivals on the attendance list.
- 5 During the examination to spot check library cards against the exam room attendance list – to ensure legitimate attendance and accurate seating. To ensure anonymous marking can be seen to be operating it is advisable for tutors to check groups **other** than their own course group.

- 6 To attend to requests for extra paper, water, comfort breaks and to watch for malpractice.
- 7 To supervise and assist special needs students as appropriate, being prepared to stay to cover extra time if necessary.
- 8 To check the scripts of students leaving before the end of the exam. The script should be left on the desk and collected at the end of the exam to avoid any confusion.
- 9 To ensure that all scripts are accounted for and enveloped correctly at the end of the examination and to complete and sign all necessary documentation. Any scripts not collected from the examination room by the appropriate tutor will be returned to Student Administration for secure keeping.

8 Student conduct in the examination room.

- 8.1 Students will be admitted to the examination room 5 minutes before the start time indicated on the published timetable.
- 8.2 Students sit at numbered desks as determined by the attendance list. Students must display their library card on the desk.
- 8.3 No student may leave the examination room within the first half hour or in the last 20 minutes.
- 8.4 Students will not normally be admitted to an examination after the first half hour. If for some exceptional reason the chief invigilator uses discretion to allow a student to enter an examination after the first half hour has passed, it will be at the discretion of the Board of Examiners to decide whether to take this into account and mark the script.
- 8.5 Students should bring their own pens, pencils, rubber, rulers and, where permitted any other materials prescribed for the examination. Handbags, books, papers, coats and other articles brought into the room must be deposited with the invigilators. Pencil cases and bottles of ink will not be allowed in the room.
- 8.6 All clock/watch alarms, pagers and mobile phones must be disabled during the examination. Mobile phones and electronic devices (with the exception of approved calculators) will not be permitted in the examination room.
- 8.7 No food or drink should be brought into the exam room except in case of medical condition eg. diabetes. Water is available on request.
- 8.8 Students who, for any reason, wish to leave the examination room temporarily may do so only if accompanied by an invigilator or by another authorised person. Students may not leave the room to smoke.
- 8.9 Silence must be maintained at all times except in oral/aural examinations.
- 8.10 Students are strictly forbidden to copy from one another or to communicate with one another or with any person[s] other than the invigilators. Likewise students may not introduce any written or printed material into the examination room [unless this is permitted]. This includes dictionaries. Students must not attempt to gain access to unauthorised material during or before an examination. (See Appendix 3d – Procedures Governing Academic Malpractice 2.1).
- 8.11 At the end of the examination students will be told to stop writing, shown how to fasten their scripts [and rough work] together and how to preserve anonymity. Students may not leave the

room until scripts have been collected by the invigilator. This also applies to students who wish to leave the examination room before the end of the examination. A student wishing to leave before the last 20 minutes must raise his/her hand to attract the invigilator's attention so that s/he may have their script checked and given approval to leave.

- 8.12 No examination stationery, scripts, coversheets or answer sheets may be removed from the examination room.
- 8.13 On entering or leaving the examination room, students must be quiet to give due regard to other candidates who may have started earlier or be finishing later.
- 8.14 In the event of fire, students must not attempt to collect bags, coats etc and on the invigilator's instruction should leave by the nearest exit where they should assemble outside and wait for further instructions. If permitted to return, additional time will be allowed.
- 8.15 Students should not bring valuables to the examination and if they do the property is left at their own risk.

9 Viva-voce examinations/oral tests

- 9.1 Viva voce examinations may be included as a compulsory element within the assessment strategy for a module as determined by validation.
- 9.2 The examiners (internal and/or external) have the discretion as agreed by the assessment board to hold oral tests at any time during the course, designed either to check the authenticity of evidence derived from written course work or to help fill gaps on a student's assessment record caused by eg illness. In this case, the School/Division will notify the student of the arrangements, why they are being called for such an examination and the extent of the material to be covered.

10 Examinations for students on collaborative and distance learning programmes

- 10.1 Partner institutions/study centres will make appropriate arrangements for candidates studying on collaborative or distance learning programmes to take examinations according to the University examination procedures which apply to all programmes.
- 10.2 Any time differences from the UK will be taken into account so that examinations take place simultaneously (or as near as possible).
- 10.3 Distance learning students must seek approval from the University for their examination arrangements. The student must arrange a suitable venue and appropriate invigilation which is acceptable to the University. Any costs for invigilation, room hire or related administration must be borne by the student.

11 Resit examination arrangements in practical subjects for overseas students

- 11.1 The University will accommodate reassessment students in practical subjects for which they require availability of specialist facilities and will ensure conformity with Health and Safety Legislation (e.g. use of hazardous substances, Technician availability).

- 11.2 Students who studied at the University in the UK but who are domiciled overseas will be offered the opportunity to sit any reassessments at suitable premises (such as British Council Offices) in their home country (see 10.3 above). Time differences from the UK will be taken into account so that examinations take place simultaneously (or as near as possible).

12 Students requiring additional examination arrangements.

A range of additional facilities can be made available to students on the basis of reasonable adjustment for a particular need under SENDA legislation [eg. extra-time, large print papers, computers, amanuenses etc]. An application by the student to Student Administration must be made in good time and supported by appropriate evidence (eg educational psychologist report or medical assessment). Standard adjustments may be approved by Student Administration and shall be reported to the Module Assessment Board. In the case of non-standard requests, the matter will be referred to the Chair of the Module Assessment Board for joint approval with the external examiner. Requests for special arrangements may be refused where insufficient notice is given. (Academic Regulations F9).

Special arrangements may also be made for students on grounds of religious observance.

13 Disclosure of marks and results to students

- 13.1 In releasing results to students strict confidentiality in accordance with the Data Protection Act must be followed. Marks and results will not be posted on notice boards unless anonymised.
- 13.2 Internally moderated marks can be released to students to provide feedback on performance on the understanding that these are provisional until confirmed by the Assessment Boards and the external moderation process.
- 13.3 End of semester/session statements of results are issued for continuing students together with any reassessment requirements as confirmed by the Faculty Assessment Boards.
- 13.4 Final transcripts, Diploma Supplements and award parchments are issued by Student Administration on confirmation of results by the awarding Faculty Assessment Board. (See Appendix 3g).
- 13.5 Results in the case of aegrotat awards, failures, malpractice, debt and special cases will be referred to the Academic Board Review Committee before release.
- 13.6 Certificates, formal transcripts and Diploma Supplements will be withheld where a student is in debt to the University (Academic Regulation H1.4)

14 Review of the procedures

The University will review these procedures described periodically.

ATTACHMENT 1

USE OF ELECTRONIC DEVICES IN EXAMINATIONS

- 1 The use of electronic calculators and other portable micro-computing and electronic devices (hereafter shortened to 'electronic devices') in examinations is only permitted when authorised by the appropriate School, Division, programme or subject (where appropriate).
- 2 Where use is permitted, electronic devices must be of the hand-held type, quiet in operation, compact and having their own power supply. External or user-written programs, or storage media, and/or instruction manuals may not normally be taken into the examination room and students must be able to demonstrate that internal user storage has been cleared before the start of the examination. Candidates are entirely responsible for ensuring that their electronic devices are in good working order (e.g. fully charged), and for making alternative provision in case the instrument should fail.
- 3 When required by a School or Division, and so indicated on the examination question paper, candidates shall state the make and model of their electronic device on the examination script.
- 4 In setting questions for examinations in which candidates may use their own electronic devices examiners should take careful account of the different potentialities of such devices, and require candidates to show sufficient intermediate calculations to demonstrate that they understand what they are calculating.
- 5 Candidates are not be allowed to borrow electronic devices from each other during examinations.
- 6 Schools or Divisions, with the agreement of external examiners (where relevant) and after notification with the students concerned, may validate supplementary regulations (additional to these general regulations) for particular examinations. Such regulations may specify or limit the types and facilities of electronic calculators or other electronic devices, which can be used in particular examinations.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

Appendix 3d

Policy and Procedures Governing Academic Malpractice

This policy and procedure also applies to all students on franchised, shared and validated programmes taught at partner institutions.

2. Preface

Academic malpractice may be defined as any attempt by a student to gain an unfair advantage in assessment. The University values a culture of academic integrity, which underpins all aspects of the learning and teaching strategy. The majority of students are hard working and honest and understand the meaning of academic integrity. However, some students do not and sometimes cheat, for many reasons and in varying ways.

Cheating is considered to be a deceitful attempt to convey the impression of acquired knowledge, skills, understanding, or credentials. Such behaviour represents a contravention of the award regulations, which also undermines the academic standards of the University. The University regards any form of academic malpractice as a serious matter. The rules of discipline contained herein apply to all registered students of the University, irrespective of their mode or place of study.

2.1 Responsibilities

Staff and students have a responsibility to be aware of the policy and procedures contained herein, to understand the seriousness of academic malpractice and to take every reasonable step to ensure that academic malpractice does not occur.

2.2 Principles Governing the Submission of Work

The assessment of students is based on the principle that, unless clearly stated in the assessment criteria, the work submitted by a registered student for assessment has been carried out by that student, and is his/her own work.

Where group work is an approved part of the assessment process, the assessment instructions will make clear the nature, content and assessment criteria of such group based activity

All elements of assessment must be the student's own work and any passages quoted, paraphrased or opinions relied upon must be properly attributed and cited using the correct method (Harvard System unless an alternative system has been approved).

The University accepts that a student's writing will be influenced quite properly by the work of others, but such work must not be copied or paraphrased in whole sentences or paragraphs without appropriate acknowledgement.

Students undertaking formal examinations do so in accordance with the policy governing the Student Conduct in Assessment.

Resubmitting one's own work in its entirety (or substantial sections) which has previously been submitted for another module or course

2.3 Declaration of Intellectual Ownership

Students are required to sign a statement on the submission of an element of assessment, declaring that the submitted work is their own, and also that it has not been submitted in a similar or identical form towards other assessment or qualificatory work by the student or any other person. This is normally undertaken by signing the appropriate section on a

coursework cover sheet. If a statement has not been provided, or the correct section on the cover sheet has not been signed, the tutor has the right to refuse to mark the piece until so signed.

In the case of group work where a submission in common is made by its members, all the students within the group should sign the same statement.

3. Definitions of Academic Malpractice

3.1 Cheating in examinations

Cheating in examinations includes the following:

communicating with or copying from any other student during an examination, except in so far as the rubric may specifically permit;

communicating during an examination with any person other than a properly authorised invigilator or another authorised member of staff;

introducing any written, printed or electronically stored information into an examination room, unless expressly permitted by the criteria / rubric for the examination.

gaining access to any unauthorised material relating to an examination during or before the specified time;

making use of electronic calculators and other portable electronic devices except as permitted under the rubric of the examination, and in the provision for students with additional assessment requirements

fabricating information in an examination, e.g. use of artificial citations

impersonating another student, or procuring an impersonator (see 2.5 below)

3.2 Plagiarism

Plagiarism consists of unacknowledged use of someone else's work and attempting to pass it off as one's own. It includes the representation of work; written, visual, practical or otherwise, of any other person, including another student or anonymous web-based material, or any institution, as the candidate's own. It may take the form of:

wholesale verbatim copying or insertion of multiple paragraphs of another person's work (published or unpublished and including material freely available in electronic form and including work of another student) without acknowledgement of sources;

the close paraphrasing of another person's work by simply changing a few words or altering the order of presentation, without acknowledgement;

unacknowledged quotation of phrases from another person's work;

the deliberate and detailed presentation of another person's concept as one's own.

Ghost writing – where a student requests another student or external body to write/produce material for them for purposes of submitting it as their own. This also includes the downloading or purchasing of essays from the internet.

Resubmitting one's own work in its entirety (or substantial sections) which has previously been submitted for another module or course.

The University issues a handbook to all students on the accepted method of referencing and citation to be used.

3.3 Collusion in course work

Collusion occurs where a student:

knowingly submits as entirely his/her own work, work produced in collaboration with another person without approval of the tutors concerned;

collaborates with another student in the production of work which he/she knows is intended to be submitted as that other student's own unaided work;

knowingly permits another student to copy all or part of his/her own work and to submit it as that student's own unaided work.

falsely claims involvement in approved and assessed group work and colludes with that group in order to deceive the tutor

3.4 Fabrication and Falsification

Fabrication of results occurs when a candidate falsely claims to have, for example, carried out tests, research or observations as part of his/her assessed work, or presents fabricated results arising from the same with the object of gaining an advantage.

Fabrication may also include, for example, reporting/presentation of artificial references or other source material purporting to demonstrate a depth of reading/knowledge beyond that undertaken, or to deflect the reader from plagiarised material, e.g. embellishment of the bibliography.

Falsification occurs where a student may have carried out a task [eg.tests] but alters or supplements the data in order to misrepresent the results [eg of the experiment.]

Falsification also includes making false statements or falsifying evidence in support of applications, for example for mitigating circumstances or academic appeals.

3.5 Impersonation

Impersonation is the assumption by one person of the identity of another, with intent to deceive in the assessment process.

2.6 Breach of Confidentiality

Breaches of confidentiality will be dealt with through faculty procedures

4. Procedures for Dealing With Academic Malpractice

4.1 Scope of the Procedures

All assessment items submitted will be subject to scrutiny for malpractice until the point at which marks are confirmed by the Module Assessment Board.

Where suspected malpractice has been discovered at a late stage in the assessment process and has not been resolved at the time of the Module Assessment Board meeting, the Board

will not consider the student's marks until the investigation has been conducted and the matter resolved.

Where suspected malpractice requires consideration under major malpractice procedures, and a Panel therefore convened, the Panel shall consider only that work specifically identified and forwarded by the module leader. It is not the business of the Panel to seek to unearth wider evidence of malpractice by the same student(s). However, where a student has been subject to these procedures at an earlier date, the Panel will receive appropriate notification of such.

Should multiple incidents of malpractice arise simultaneously for the same student, the Panel will investigate all incidents at the same time.

The Secretary to the Panel of Inquiry shall only respond to procedural matters and may not be lobbied or canvassed by staff, students, or other parties concerned in malpractice investigations. All student guidance must be sought via the personal tutor or the Student Union.

4.2 Status of the Malpractice

The malpractice procedures shall operate on two levels in accordance with whether it is deemed that major or minor procedures should apply. The table below offers guidelines on the most common occurrences of malpractice and indicates the appropriate procedures. It is not comprehensive. For incidents which fall outside these descriptions and which may not be clear cut, responsibility for determining the procedures to be adopted will rest with the independent Dean who is considering the *prima facie* case.

Minor Procedures	Major Procedures
3.2a) Cheating in Examinations	
<p>Minor Cheating in Examinations: Examples include:</p> <ul style="list-style-type: none"> i. Where a student brings into a formal examination hall/room paperwork relating to the examination, but does not utilise it during the examination period. ii. Where supplementary material is permitted, but the material introduced exceeds to some extent the defined limits of the examination rubric. 	<p>Major Cheating in Examinations Examples include:</p> <ul style="list-style-type: none"> iii. Blatant use of written, printed or electronic material not permitted within the rubric of the examination. iv. Communication with any other student in the examination room. v. Inappropriate communication with a member of academic staff during the period of the examination. vi. Obtaining unauthorised material prior to the examination. <p>Second minor incident</p>

3.2 b) Plagiarism	
<p>Minor Plagiarism:</p> <p>Examples include:</p> <p>i. Unattributed use of a few sentences or a short paragraph, poor referencing, incorrect or incomplete citation or inappropriate paraphrasing at Levels 3 and 4 and as first incident at Level 5.</p> <p>This type of plagiarism may be considered under the Minor Procedures at Levels 3 and 4 and also at Level 5, but only if it is a first offence at Level 5. At Levels 6 and 7, such practices are regarded as unacceptable and must be considered under the Major Procedures.</p>	<p>Major Plagiarism</p> <p>Examples include:</p> <p>ii. Wholesale copying or paraphrasing of multiple paragraphs or wholesale papers from a source text without acknowledgement.</p> <p>This may be regarded under Minor Procedures only at Level 4. At Levels 5, 6 and 7, and as a second offence at Level 3 and 4 it will always be regarded as needing to be considered under Major Procedures.</p> <p>iii. Appropriating the work of another student and submitting it as one's own.</p> <p>iv. Where any student has employed a ghost writer, either in person or via web based provision (e.g. cheat sites), to produce the assessment on their behalf. This includes ODL students.</p> <p>v. Accusations by one student of another's plagiarism of his/her work.</p> <p>Types iii - v must always be considered under Major Procedures, regardless of the level of study</p>
3.2c) Collusion	
<p>Minor Collusion</p> <p>Examples include:</p> <p>i. Where the submission includes 1-2 paragraphs which are the same as that of another student. This could also amount to plagiarism.</p> <p>ii. Where, at Levels 3 & 4, the student misinterprets the assessment criteria and submits the same/similar work as another student. For example where group work is required in the preparation, but the submission of individual items is expected</p> <p>These may be considered under minor procedures if they are first offence at Levels 3 and 4 only. At Level 5, 6 and 7, they must be considered under Major</p>	<p>Major Collusion</p> <p>Examples include:</p> <p>iii. Where two or more submissions adopt the same structure/format at Level 5, 6 or 7 where not determined by assessment criteria or guidance by tutor.</p> <p>iv. Where the same unattributed paragraphs are used in the submissions of more than one student</p> <p>v. Where the work submitted is merely a paraphrasing of another student's work. This could also amount to plagiarism.</p> <p>vi. Where the work of one student is identical to that of another. This</p>

Procedures.	could also amount to plagiarism.
3.2d) Impersonation	
	i. Impersonation can only be considered under Major Procedures
3.2e) Fabrication / Falsification	
<p>Minor Fabrication / Falsification</p> <p>Examples include:</p> <p>i. Where information/data or source material has been invented.</p> <p>This example may only be considered under Minor Procedures for Levels 3 and 4 students. Levels 5, 6 and 7 will always be considered under Major Procedures.</p>	<p>Major Fabrication / Falsification</p> <p>Examples include</p> <p>ii. Any work/submission/application falsified by a student in order to gain academic advantage (inc. mitigating circ applications to MAB)</p> <p>iii. Citation of false references, particularly in order to mask plagiarised texts.</p> <p>The above examples will be considered under Major Procedures for all students regardless of their level of study.</p>

4.3 Procedures for dealing with cheating in examinations

A student suspected of cheating will be allowed to complete his/her examinations in the normal way and the normal assessment procedures be initiated.

When cheating is suspected the Head of Student Administration (or his/her nominee) will be informed immediately by the invigilator(s) or other members of staff involved, who will provide a full report in writing.

The Head of Student Administration (or his/her nominee) will arrange for full information to be presented to the appropriate independent Dean for a decision on the procedures for investigation (see 3.5 below)

4.4 Academic Malpractice Procedures for Minor Incidents

Where a member of staff (academic or academic related) suspects that malpractice has occurred in any given assessment item (examination or coursework), as defined in 3.2 Minor Procedures above, the matter shall be reported to the module leader.

The module leader, on receipt of the evidence, will call for a meeting with the student. In doing so, the module leader will:

- a. Identify a time and date such that there is sufficient notice to the student. NOTE: when convening the meeting, due sensitivity should be given to the timing of the formal assessment periods such as examinations, teaching or clinical practice etc.
- b. Make a request in writing, stating time, date and location for the meeting with reference to the purpose of the meeting, which shall include an understanding that the meeting is designed to address the issue of academic malpractice.

- c. Make clear to the student that they have the right to bring with them a friend, who shall normally be a member of the University or a representative from the Student Union.
- d. Make clear to the student that he/she is encouraged to attend such a meeting as part of the learning process. Failure to do so will result in a decision being made about the outcomes in the student's absence. The matter will then be progressed as in 3.4iii).
- e. Copy the notification to the student's personal tutor.

During the meeting the Module Leader will:

- a. Explain the purpose of the meeting.
- b. Make the student aware of the cause for concern and show them the relevant evidence.
- c. Ascertain from the student any explanation in mitigation
- d. Discuss working methods and advise the student on how to recognise and to avoid future malpractice.
- f. Explain to the student the outcomes associated with such incidents (as detailed in 3.4a below) and record any advice given.
- g. Inform the student that they will be sent two copies of the brief record of the meeting, including a statement of advice and outcomes. Indicate that the student must sign both copies on receipt, and return one copy to the tutor. Failure to do so will be regarded as a breach of the outcomes.

The Module Leader will establish an appropriate outcome for the incident, in accordance with 3.4a below.

If outcomes iv to vii apply the Module Leader will:

- a. Prepare the report which must include a précis of the meeting, the outcome arrived at and any advice issued.
- b. Send copies of the report to the student, to their personal tutor and to Student Administration.
- c. Retain a copy of the report in case of further incidents, which require investigation.

3.4a Outcomes of Minor Malpractice Procedures

Matters not requiring a formal record as a first incident:

No action to be taken

Requirement to revise the original document, with appropriate corrections to the affected sections. This will normally require submission within 48 hours of the meeting, but will not incur a penalty

Formal recommendation of tutorial support and/or formal study skills sessions in order to become better educated in good academic practice

Matters for recommendation to the Module Assessment Board and report to Student Administration as a first incident:

Reduction in the mark for the assessment item – with a minimum adjustment of 5%

Require the student to resubmit the assessment item or resit the examination, for a maximum mark of 40% at Levels 3, 4, 5 and 6 and 50% at Level 7. NOTE: normal reassessment opportunities apply thereafter.

Assign the individual item as meriting a fail mark of not more than 34% (Levels 3-6) and 49% (Level 7). Normal reassessment opportunities apply thereafter.

Refer the case to the Procedures for Major Incidents (Panel of Inquiry), for further investigation

4.5 Academic Malpractice Procedures for Major Incidents

3.5a) Panel of Inquiry

In view of the seriousness of the penalties, which may be incurred in respect of more serious or extensive instances of malpractice, the best interests of all parties concerned will be served by a system of independent investigation to determine the circumstances relating to the suspected malpractice. Accordingly, an independent Panel of Inquiry will be constituted to compile a report on the basis of the evidence placed before it. The tutor or Assessment Board (or its sub-group) as appropriate shall take due account of the Panel's findings in reaching a decision.

Where a member of staff (academic or academic related) suspects that malpractice has occurred in any given assessment item (examination or coursework), as defined in 3.2 Major Procedures above, the matter shall be reported to the Module Leader.

The Module leader shall immediately provide a written report to the Student Administration Office, indicating the circumstances and nature of the suspected malpractice in as much detail as possible, and providing the evidence to support the case being made. In the case of plagiarism or collusion, this should comprise copies of the material against which the student's work was compared, and should be annotated to show the full extent of the malpractice. Computer searches through approved software may also be used as evidence (see Attachment 1).

On receipt of an oral and written report and the related materials Registry should immediately inform the independent Dean (as designated by Academic Board to consider Malpractice cases), who will decide if there is a *prima facie* case to be made. If so, Student Administration will also inform the Heads of School/Division/Programme or Directors of Study in which the student's courses of study occur. The student will also be advised that the incident is being investigated.

3.5b) Composition of the Panel of Inquiry

A Panel of Inquiry will be drawn from a pool of members of academic staff. Ten members (three of whom will be at the senior level) will be nominated for the pool by each Faculty and approved by Academic Board on an annual basis.

A Panel of Inquiry shall comprise three members taken from the pool, together with the appropriate secretarial support. No member of the Panel shall be drawn from a School or Division within which the malpractice has occurred.

Each Panel of Inquiry shall have an appointed chairperson. Normally, this will be the most senior member of the panel, who will normally be at the level of Head of School, Division, Programme or Director of Study.

The Panel shall be supported by a Secretary who shall be a member of Student Administration and whose role will be to provide administrative support and advice, and to ensure that all written communications occur appropriately.

3.5c Procedures for the Panel of Inquiry

The Panel of Inquiry shall be empowered to request the attendance at the hearing of any member of staff of the University.

All hearings shall be held in private.

The Panel of Inquiry will be convened with all possible speed (due sensitivity should be given to the timing of the formal assessment periods when convening the meeting, such as examinations, teaching or clinical practice etc). Once the time, date and place of its meeting are known, notice will be sent to the student under investigation.

The Panel of Inquiry shall have the power to adjourn, continue or postpone an investigation at its discretion but shall at all times endeavour to complete its examination of the matter at the earliest opportunity. If the student does not appear on the date and time or at the place appointed, reasonable notice having been given, the Panel of Inquiry may proceed to investigate the matter in the absence of the student.

A student subject to these procedures shall have the right to appear in person before the Panel of Inquiry and/or make representations in writing. Where appearing in person, the student may be accompanied by a friend, who will normally be another member of the University, or a member of the Student Union. NOTE: Students under the age of 18 years may also be accompanied by a parent or guardian.

Student Administration shall write to the student (giving reasonable notice of the hearing) to advise him/her of their right of attendance.

Together with notice of the meeting the student shall be sent information specifying:

- a. the nature, date and time of the suspected malpractice, including a copy of the evidence
- b. that he/she may call up to three persons to support his/her case, but that he/she must inform the secretary of the Panel prior to the hearing of the names of those persons and their relationship to the student;
- c. that he/she may be accompanied by a friend or a member of the Student Union as in 3.5c.v above.
- d. that the student may wish to consult the Student Union or his/her personal/academic tutor for advice and guidance in these circumstances.
- e. the procedures to be followed if the student wishes to appeal against any decision of the tutor or Board of Examiners (or its sub-group) arising from the Panel of Inquiry's report.

The student will be asked to indicate whether or not he/she acknowledges that malpractice has occurred in writing to the Secretary of the Panel of Inquiry. If such correspondence is not received, the Panel will assume that the student does not acknowledge that malpractice has occurred. Notwithstanding the student should appear before the Panel of Inquiry for the consideration of the material and for examination of the evidence by the Panel of Inquiry.

A Panel of Inquiry shall have placed before it by the Secretary all available evidence pertaining to the malpractice.

The Panel of Inquiry may hear evidence in any way it sees fit. This includes personal testimony of individuals and the production of documents or other relevant material evidence. The Chair and the student shall be entitled at the hearing to make an opening statement.

All proceedings and questions shall be conducted through the Chair.

3.5d Outcomes of the Panel of Inquiry

If the Panel of Inquiry finds that there is no evidence of malpractice, the tutor will be notified that assessment should take place as normal.

If the Panel of Inquiry finds that malpractice has not occurred, but that instead unacceptable practices have been incorporated through ignorance, the student will be referred back to the module leader who will pursue the matter under 3.4 of these procedures.

Where the Panel of Inquiry decides that there is *de facto* evidence that malpractice has occurred, a recommended penalty from the following will be reported to the relevant Chair of Module Assessment Board:

- a. Where there are exceptional mitigating circumstances, assessment is set aside and the student is required to submit a new or revised item without incurring penalty.
- b. The mark for the specific item is reduced. Where this results in a fail grade in the module, the student will be subject to normal reassessment procedures.
- c. The mark for the specific item is reduced. Where this results in a fail grade in the module, the student will have the right to only one opportunity of reassessment.
- d. The student be deemed to have failed in the specific element of assessment where the malpractice has occurred. The student will be subject to normal reassessment procedures.
- e. The student be deemed to have failed in the specific element of assessment where the malpractice has occurred. The student will have the right to only one opportunity of reassessment.
- f. The student be deemed to have failed in the specific element of assessment where the malpractice has occurred. The student will have no right to reassessment opportunities.
- g. The student be deemed to have failed the module. The student will be subject to normal reassessment procedures.
- h. The student be deemed to have failed the module. The student will have the right to only one opportunity of reassessment.
- i. The student be deemed to have failed the module. The student will have no right to reassessment opportunities.
- j. the student may be required to leave the University without the award for which they registered.

- k. the student may be required to leave the University without an award.
- l. the student may be required to leave the University without an award and without any credit from modules previously assessed.

3.5e Matters following the meeting of the Panel of Inquiry

The Secretary to the Panel of Inquiry shall compile a written report to be agreed by the Panel and to be forwarded to the tutor and the relevant Module Assessment Board(s) of Examiners as appropriate. Where the Panel of Inquiry is of the opinion that malpractice has occurred, its report will include an assessment of the seriousness of the incident and the outcome recommendation. A statement outlining the findings of the Panel of Inquiry shall be communicated in writing to the student as soon as possible after the meeting.

The Chair will sign the Panel of Inquiry's report. The Panel may deliver a majority decision with the Chair holding the casting vote. The dissenting member shall have no right to submit a minority report, but the Panel shall draw to the attention of the recipient the majority status of its report.

Where an investigating Panel is compromised in the fulfilment of its duties, a report shall be made to the Head of Student Administration who shall discharge the Panel and who shall arrange for the constitution of a new Panel of Inquiry.

In all cases a record of the proceedings shall be kept, including details of the evidence presented by both sides and the decision of the Panel.

4.6 Assessment Boards

The Assessment Board, where this is the first tier of assessment, having considered the findings of the Panel of Inquiry, will make recommendations to the relevant Faculty Assessment Board. The Assessment Board will not normally impose a more stringent penalty on the student than that recommended by the Panel of Inquiry.

In the case of Part II of an undergraduate degree or a postgraduate course, the Faculty Assessment Board's determination of the student's result shall in the most serious cases be specifically reported in detail to the Academic Board Review Committee and shall be subject to confirmation prior to publication.

Any student whose case is referred to an Assessment Board of Examiners, shall have the right to submit to the Board a written plea in mitigation (see 3.7 below).

Where the Academic Board Review Committee approves an Assessment Board's recommendation that:

- a. a degree or qualification should not be awarded, and where this recommendation does not carry with it the opportunity for re-assessment, or
- b. where a student has been permanently excluded from the University,

the student shall have the right of appeal as in 3.8 below.

(v) For students following validated awards of University of Lancaster, CIA or UCLAN, then decisions on cases as at (ii) and (iv) above must be reported to and endorsed by the Senate or ratifying body of that institution.

4.7 Plea in Mitigation

A student whose case is referred to the Assessment Board will have the right to submit a written plea in mitigation to the Board. NOTE: any previous evidence supplied in mitigation will automatically be forwarded to the Module Assessment Board.

The student will not have the right to appear before or be represented at the Board. Assessment Boards shall have absolute discretion in the admission of such evidence as they may consider relevant to the student's academic performance.

4.8 Appeals

The student may have the right to appeal against the penalty applied under the University's Academic Appeals Procedures.

3.9 Roles & Responsibilities of Personnel engaged in Academic Malpractice Procedures

Marker/Tutor

The marker/tutor is responsible for assessing the students' work and for detecting issues of academic malpractice. On detection, the marker is responsible for providing the evidence and cross-referencing it with the assessment item.

Module Leader

The module leader is responsible for managing the minor procedures for academic malpractice as detailed in section 3.4, including establishing an appropriate outcome. Where necessary the module leader will be responsible for reporting the outcome to the Module Assessment Board and to Student Administration.

Where an item requires attention under the major procedures, the module leader is responsible for producing a written report and forwarding this, with all evidence, to Student Administration.

(iii) Independent Dean of Faculty

The Independent Dean of Faculty is responsible for scrutinising the assessment items forwarded by Registry for malpractice investigation. The Dean, on conclusion, will produce a report and whether there is a *prima facie* case to be made. The Dean may designate an alternate, who must be at an appropriate level of seniority.

(iv) Student Administration

The Office of Student Administration

- a) initiates major malpractice procedures on receipt of evidence of suspected malpractice from a Module Leader
- b) convenes Panels of Inquiry and provide the Secretariat for same
- c) provides guidance and advice on these procedures
- d) undertakes all necessary communications and administration in connection with the procedures
- e) maintains files of student malpractice incident report forms
- f) provides a senior officer to assist invigilators with cases of suspected cheating in examinations
- g) discharges Panels of Inquiry which have been compromised
- h) organises necessary staff development and training
- i) keeps these procedures under review as needed via the Academic Regulations Sub-Committee

The Secretary to the Panel of Inquiry

The Secretary to the Panel of Inquiry is responsible for:

- a) informing the student of the details relating to investigations to be conducted under the major procedures
- b) administrative support and advice on procedures
- c) convening the Panel of Inquiry and of providing all documentation/evidence
- d) producing the written report of the Panel of Inquiry
- e) ensuring that all written communications occur appropriately.

The Chair of the Panel of Inquiry

The Chair of the Panel of Inquiry is responsible for managing the conduct of the Panel (in accordance with 3.5c) and to ensure that the Secretary is informed of any additional material/evidence required for the purposes of the investigation.

The Panel of Inquiry

The Panel of Inquiry is responsible for investigating each case thoroughly, in accordance with the procedures. The Panel is also responsible for establishing an outcome in accordance with 3.5d and, on conclusion of the matter, for signing the written report.

The Chair of the Module Assessment Board of Examiners

The Chair of the Module Assessment Board is responsible for receiving the written report of the Panel of Inquiry and for making a recommendation, based on the outcome, to the second tier board.

Student Union Representation

All students are entitled to access Student Union support at all stages of the academic malpractice procedures. The member of the Students' Union in such circumstances will adopt the role of a 'friend'.

The Friend

The designated 'friend' is eligible to provide support to the student at the time of the meeting of the Panel of Inquiry. This would normally involve him/her being in attendance and, where necessary, assisting the student with his or her responses. It is not normal for the friend to speak out on the student's behalf entirely, owing to the purpose of the inquiry. They may, however, assist with articulation of responses and, where appropriate, issues of recall.

ATTACHMENT 1 USE OF ELECTRONIC DEVICES IN EXAMINATIONS

- 1 The use of electronic calculators and other portable micro-computing and electronic devices (hereafter shortened to 'electronic devices') in examinations will only be permitted when authorised by the appropriate School, Division, programme or subject (where appropriate) and to the approval of the external examiner(s).
1. Where use is permitted, electronic devices must be of the hand-held type, quiet in operation, compact and having their own power supply. External or user-written programs, or storage media, and/or instruction manuals may not normally be taken into the examination room and students must be able to demonstrate that internal user storage has been cleared before the start of the examination. Candidates shall be entirely responsible for ensuring that their electronic devices are in good working order (e.g. fully charged), and for making alternative provision in case the instrument should fail.
2. When required by a School or Division, and so indicated on the examination question paper, candidates shall state the make and model of their electronic device on the examination script.
3. In setting questions for examinations in which candidates may use their own electronic devices examiners should take careful account of the different potentialities of such devices, and require candidates to show sufficient intermediate calculations to demonstrate that they understand what they are calculating.
4. Candidates shall not be allowed to borrow electronic devices from each other during examinations.
5. Schools or Divisions, with the agreement of external examiners (where relevant) and after notification with the students concerned, may introduce supplementary regulations (additional to these general regulations) for particular examinations. Such regulations may specify or limit the types and facilities of electronic calculators or other electronic devices, which can be used in particular examinations.

ATTACHMENT 2 ACCEPTABLE PLAGIARISM DETECTION SOFTWARE

- a. **Turnitin**¹: is a powerful US-based web search programme, based on exact string matching, which compares text (either a whole assignment or extracts from it) with material available on the web, and with its own archive of material (including a large number of student assignments that have been checked through it previously).

This is the software favoured by JISC², which has invested in a national licence to allow all universities to use the software free-of-charge.

- b. **CopyCatch**³: is a powerful UK-based programme that allows checking of collusion and paraphrasing, based on shared words and words shared just once. Institutional use of this software will require investment in a site licence, but individuals may register with the company.

Extract taken from:
Dealing with plagiarism by students
Institutional Framework – 3.

¹ <http://www.turnitin.com>

² <http://www.jisc.ac.uk/plagiarism/>

³ <http://www.copycatch.freereserve.co.uk>

UNIVERSITY OF CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 3e

Extenuating Circumstances Procedures

1. General principles

1.1 University regulations (Section F12) allow students to formally draw to the attention of Assessment Boards any extenuating circumstances they feel have significantly affected their study and/or performance in assessments. The onus for reporting and providing corroborating documentary evidence of the extenuating circumstances lies with the student. Assessment Boards take all valid submissions into account when determining progression and awards to ensure as far as possible that all students are assessed upon equal terms. All claims are treated confidentially.

1.2 The Extenuating Circumstances scheme, **which applies to all students**, is intended to provide a confidential and fair process for managing Extenuating Circumstances. The Scheme **does not apply** to the day-to-day level of requests for extensions or other matters which can (and should) be dealt with at the time by course/module tutors.

2. Defining Extenuating Circumstances

2.1 Extenuating circumstances personal to the student

'Extenuating Circumstances' are **serious and exceptional circumstances** outside the student's control, normally **unforeseeable** and **unpreventable**, which the student feels have significantly adversely affected his/her ability to study and/or performance in assessment. They are often medical or serious personal family or domestic difficulties and have usually arisen since they started the course. The circumstances may have affected the student for a significant period of time and/or at a particular point in time such as during the examination period, preventing the student from attending examinations or other timed assessments, or submitting assessments by the due date. Any difficulty or disability known and declared before the study started or during it will be provided for separately.

2.2 Types of situations likely to be valid Extenuating circumstances

Examples are:

- Serious ill health (which may include illness relating to a disability, chronic or on-going condition affecting performance but not covered by special, pre-arranged examination provision)
- Personal accident or injury
- Death or serious illness of family members or close friends
- Major household problems e.g. fire
- Acute personal or emotional trauma, e.g. acute anxiety or depression, family breakdown, breakdown of close personal relationship
- Major and unplanned changes to employment circumstances or patterns of employment (EXCEPT Full Time Students)
- Impact of natural disaster, civil disruption or other major hazard

Whilst Extenuating Circumstances are personal, there may be situations in which a personal effect has been experienced by a group of students (for example the death of a fellow student on the programme). In these cases, while the circumstances are clear and common to all, the impact is individual and would require individual claims.

2.3 Circumstances not likely to qualify

These include everyday, avoidable occurrences, and normal student pressures such as:

- Colds or known conditions such as hay fever (unless the effects are unusually severe)
- Normal exam stress or anxiety experienced during revision or the assessment period (unless corroborated by medical evidence as a chronic condition and undergoing treatment)
- Non-serious domestic or personal disruptions (e.g. moving house, change of job, holidays, weddings, normal job pressure, failed travel arrangements, financial difficulties, oversleeping)
- Work commitments in the case of full-time students
- Study related circumstances (equipment failure including computing/printer difficulties (unless they occur in an examination itself)), failure to have taken back up copies for work stolen or corrupted, bunching of deadlines/examinations, missing books, poor time management, misreading the examination timetable, taking the wrong examination)

3. **Extensions of time**

Students are responsible for submitting work for assessment by the deadlines specified. Where a student knows s/he is going to have a difficulty in submitting work by the due date (e.g. because of sickness), a request for an approved Extension of time should be made. (Regulation F6) [See also Appendix 3c] The Extenuating Circumstances scheme should not be used in these circumstances as the situation has been managed in advance of the impact occurring except where extenuating circumstances which prevented submission arose after the extension was approved.

Approved extensions of time will normally be applied on a time lost basis and Programme Leaders should ensure that the extension of time granted is consistent across the programme according to the circumstances presented by students. Extensions should not normally be granted beyond the end of the last week of the academic session in which the work is due to be submitted or the date when feedback relating to the assessment is issued to the student cohort.

4. **Extenuating circumstances affecting groups of students**

Particular conditions (e.g. disruption in an examination due to noise or computer problems, staff illness during the study period, procedural errors) may affect groups of students and their performance. Such problems should be identified by the Invigilator or member of staff and reported to the Student Administration Office who is responsible for reporting the details to the Module Assessment Board. The nature of the event, the length of time it extended over, the students/module affected and action taken/recommended (for example adjustments to the marks following discussion in the moderation process) should be indicated. The MAB will then act en bloc to take action where justified. The Course Leader should inform students that the University will initiate the relevant action so avoiding the need for multiple individual submissions by students.

Such instances must be reported to FAB by the Chair of MAB.

5. Evidence required to support claims for extenuating circumstances

5.1 Students must keep their Course Leader informed of any adverse personal circumstances. All claims for consideration of Extenuating Circumstances **must** be supported by documentary evidence.

5.2 If an examination is missed due to medical problems the student must attempt to seek medical attention on the day, and attach a medical certificate to the claim. Medical certificates dated days later may not be regarded as sufficient evidence. The certificate must relate specifically to the time of the illness and must contain a clear medical opinion that the student was unfit to take the examination.

5.3 The nature of some personal extenuating circumstances can make it difficult for a student to obtain external corroboration and, in exceptional cases, evidence of detailed discussion with and provision of a detailed written statement from the Course Leader (or equivalent) may provide appropriate evidence in specific cases.

6. The process

6.1 The Extenuating Circumstances Panel

Claims and the evidence submitted are considered by a Panel of the Faculty Assessment Board which meets before the Board sits to determine whether the claim is valid or not. The Panel is chaired by the Dean of Faculty or nominee and has a fixed membership of the Heads of School/Division and a representative from the Student Administration Office. The Panel will not have the student marks available at the meeting. A claim judged as valid is approved and accepted as having an effect on performance. The module(s)/parts of the module(s) affected will be specified.

6.2 Action by the Faculty Assessment Board

The Extenuating Circumstances Panel's decisions, but not the detail of the claims, are reported to the Module Assessment Board for note and for confirmation of the concurrency of dates of extenuating circumstances and module delivery. The Faculty Assessment Board takes the claims into account when considering the student's performance in the module, progression or award, and can use its discretion as follows.

- **For undergraduate credit only, to waive the assessment requirement.** Up to 20 credits per 120 at each of levels 3 and 4 and 20 credits across levels 5 and 6, (and 10 credits where the credits are between 60 and 120) can be waived where: the module is not core and professional body requirements do not prohibit this; offering deferred assessment would be inappropriate or disadvantageous; and there is evidence that the learning outcomes for the module have been studied and that the learning outcomes for the programme can be met. Waiver is not possible for 60 credit awards. A module pass is awarded, and at award level, the module is removed from the classification average calculations. (Regulations F 13.3 – .6)
- **To void the assessment** and offering the student a first attempt (first sit) so replacing the previous attempt. Where the student cannot be advantaged by voiding the assessment the Board will use its discretion and normally will not offer a void.
- **To construct an assessment contract** where the circumstances affect more than 40 credits worth of assessed work. This sets out the new dates for completion of the work specified. The normal reassessment attempts will apply.

The Board will have access to a representative from the Panel and the record of its discussion and recommendations for clarification if need be.

7. The Procedure

7.1 Notification and submission of student claims

7.1.1 The student completes the Extenuating Circumstances form entering details of the work affected and the nature of the claim, and attaches relevant documentary evidence such as medical certificates. The form is submitted to the Student Administration Office in the special envelopes marked "Extenuating Circumstances" available from Faculty/College Offices at the earliest possible date and within 5 working days of the last assessment for the module. (See separate schedule of assessment period and Assessment Board meetings). The Student Administration Office issues receipt, logs receipt of submission and maintains a secure confidential file.

7.1.2 Claims and evidence provided retrospectively will not normally be accepted unless there is good reason why they could not be submitted as expected.

7.1.3 For partnership students written submission is made to the College Office (as identified in the Memorandum of Collaboration) which is responsible for ensuring that individual submissions are transmitted to the Student Admissions Office of the University.

7.1.4 In exceptional cases where a student is incapacitated, the form may be completed on his/her behalf by a member of staff. The form must be signed by the member of staff and include the capacity in which he/she is acting (e.g. PAT, Programme Leader).

7.2 Processing

7.2.1 Members of the Student Administration Office are responsible for processing the claims received, and forwarding them to the Panel. Details of the claims to be considered by the Panel should be entered on the Record of Claims Proforma.

7.3 Consideration

7.3.1 The Panel will consider the claim and the evidence and decide whether to accept or not accept it, determining whether the circumstances are likely to have significantly affected the student's performance.

7.3.2 An accepted claim is automatically recorded on SITS.

7.4 Action by the Assessment Board

The Faculty Assessment Board is notified of valid claims and can use its discretion to recommend: waiving the assessment requirement (for undergraduate credit only); voiding the assessment and offering the student the opportunity to reattempt the assessment; or constructing an assessment contract where the circumstances affect more than 40 credits worth of assessed work. (The contract will be devised by the Course Leader and agreed with the Chair of the FAB by Chair's action once it has been discussed with the student. Details of the contract and the new requirements/ dates for completion will be reported to the FAB.) Details will be recorded on the student's record and the Student Record System.

Where there are extenuating circumstances affecting groups of students e.g. disruption in an examination, then this should be reported to the Module Assessment Board which will consider the circumstances and make any adjustment to marks accordingly. The action should be reported to the Faculty Assessment Board.

7.5 Notification of Outcome to Students

Following the Faculty Assessment Board, students will be notified via a standard letter indicating the outcome of the claim i.e. whether accepted or not, and the consideration given by the Faculty Assessment Board.

8. Confidentiality

Students may not wish to discuss their situation with someone connected with their course. They have the right to report their circumstances in confidence to an independent person such as a student counsellor in Student Services or staff in the Students Union Advice Centre. Where appropriate, counsellors can provide corroborating evidence for students indicating that the student has been attending for counselling, the date of first attendance and the number of consultations, and can give their professional opinion as to whether the circumstances are likely to have affected a student's academic performance. However, counsellors are not able to give details about the consultations themselves and it is the student's responsibility to make the nature of the circumstances known in their individual submission. It is also understood that sometimes circumstances can be very personal and that students may not wish the details of their case to be discussed. In this case, the student should mark the envelope containing the claim 'for the personal attention of the Chair of the Extenuating Circumstances Panel'.

9. Monitoring the scheme

An annual report on the operation of the scheme and an analysis of the submissions will be prepared by the Student Administration Office. The report will draw on feedback from staff and student representatives on the process and appropriate enhancements will be made. The procedures themselves are periodically reviewed.

UNIVERSITY of CUMBRIA

EXTENUATING CIRCUMSTANCES STUDENT CLAIM FORM

Students are advised to read the Guidance Notes carefully before completing this form

Section A

Surname/Family Name		Fore/Given name (s)	
Registration No		Faculty/College	
Programme Title			
Year/Level of Study		Academic Year	

Section B

Modules and components affected. List only those affected, not all studied

Sem 1/2	Module title	Exam - Date	Was the exam sat?	Assignment – due date	Was the assignment submitted by due date?	Was an extension agreed - what was the new due date?	Was the assignment submitted by the extension date?

Section C Please give brief details of the nature of the circumstances you believe have affected your performance/attendance, in what way, and to what extent, and whether you have discussed the matter with anyone at the University.

Time Period(s) affected	
Details	

Section D List sources of help you have visited and the documentary evidence you are submitting with this report, eg medical certificate:

Sources of help	Type and date of evidence
1.	
2.	
3.	
4.	

Section E Declaration

I declare that the information on this claim is correct and complete to the best of my knowledge and I authorise the University to make enquiries to verify the accuracy of the information I have supplied if required. I understand the information will be disclosed to the Faculty Extenuating Circumstances Panel. I will inform the University immediately if there are any changes to these circumstances which have any significance to this application.

Signature _____ Date _____

For Office use

Received by	Signature	Date	Receipt given to student	
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UNIVERSITY OF CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 3f

The Conduct and Operation of Assessment Boards

Section F11 of the Academic Regulations sets out the roles, responsibilities and composition of Assessment Boards. This section sets out requirements for and guidance on the conduct and operation of Assessment Boards. The University reviews the procedures described periodically.

1. General requirements and guidance for the conduct and operation of all Boards

- 1.1 All Assessment Boards meet formally with a structured agenda. Minutes are produced to the approved format.
- 1.2 All appointed members are required to attend for the whole of the meeting. Quoracy is at the same level for all Academic Board Committees.
- 1.3 All business is strictly confidential and must not be disclosed or discussed with non-board members other than designated relevant University officers outside the meeting.
- 1.4 Should any member of the Board have a personal interest in or relationship with any student whose marks are being considered by the Board, s/he must give prior notice to the relevant University Officer/Administrator to enable the withdrawal of appropriate documents from the papers of individuals concerned. Notification must also be made to the Boards and the internal (or external) examiner will withdraw from the Board at the time of consideration of such a student's position.
- 1.5 The Chairs of Assessment Boards are responsible for ensuring agendas are compiled, for physical and organisational arrangements, for ensuring internal and external examiners are notified and for the production of marksheets, recommendation sheets and other papers for the meeting. In practice a senior administrator will act as secretary to the board so that these areas are progressed in an appropriate and timely fashion, that procedural and regulatory advice is offered and to ensure that an accurate record of the meeting is compiled.
- 1.6 All marks for credit bearing modules will be expressed as percentages.
- 1.7 Academic standards matters should be discussed initially in the Module Assessment Board (MAB) and brought to the attention of the Faculty Assessment Board (FAB) by the MAB Chair and then reported to the Faculty Academic Standards Committee.
- 1.8 All Boards are expected to identify and report good practice so that assessment practice can be enhanced across the University. The Student Administration Office will collate such incidents and report these to Academic Standards Committee.
- 1.9 Collaborative Programmes will be considered at the same Boards as other programmes in the subject area.
- 1.10 The academic judgement of an Assessment Board properly executed is not open to challenge through appeal.
- 1.11 **Prior to the MAB, Subject External Examiners must have:-**
 - Completed the moderation of all modules for which they are appointed (Appendices 3b & 4a refer)

- Confirmed that marking standards are accurate
- Liaised with the Course Team representative (normally the Course Leader) on recommendations for fails or special cases
- Communicated to the Course Team representative comments they wish to draw to the attention of the Board

2. Module Assessment Boards (MABs)

2.1 The general requirements for and guidance on the conduct and operation of all Boards applies (section 1 of these procedures) to MABs.

2.2 The MAB considers module performance

2.3 It is a responsibility of the MAB to ensure that moderation has been carried out appropriately (ie according to the rubric within the moderation and marking section of the academic procedures Section 3b), particularly for modules delivered at a number of separate locations.

2.4 The membership of MABs is determined in section F11 of the Academic Regulations.

2.4.1 Subject External Examiners are required to attend at least one MAB during each academic year and, for most courses this will be the MAB at the end of the academic cycle for most of the students [ie. summer]. For some courses [eg. Masters awards] it will be in autumn.

2.4.2 For courses leading to a professional registration the Professional, Statutory and Regulatory Body may require the attendance of the Subject External Examiner[s] at all MABs.

Note: With reference to 1.11 Schools/Divisions must be clear about expectations of Subject External Examiners outwith their attendance at MABs, particularly in their responsibilities in signing appropriate papers to indicate confirmation of accuracy of marking standards [2.10 refers]

2.5 The agenda for MABs is as follows:

- introductions
- apologies for absence
- confidentiality status
- approval of minutes from the last meeting
- matters arising and follow up of actions
- declarations of interest
- confirmation that internal and external moderation processes have been completed satisfactorily
- resolution of the marks, module by module, with noting of any adverse conditions or extenuating circumstances relating to the teaching or assessment of the cohort
- recommendation to the FAB for fails and special cases
- external examiner comments/issues
- signing of the mark sheets
- date of next meeting

2.6 The relevant University Administrator will ensure that computer-generated aggregated marks by module are provided to the Chair and Secretary of the Board together with the record sheets of special needs, extenuating circumstances (for information only) and malpractice cases at least three working days before the Board. The mark sheets will include:

- the weighting of each item of assessment within the module
- for each student, the raw marks for each component of the total assessment and the total module mark (calculated in accordance with the validated weighting scheme)
- the mean mark per cohort and the standard deviation demonstrating each of the component marks and how the overall mark has been arrived at

- in the case of courses containing a professional element, professional performance should be included
- for reassessments, both the initial and resit marks (both actual and capped marks)

The Chair and the Secretary of the Board are responsible for checking the paperwork before the Board and liaising with the relevant University Administrator where necessary.

2.7 The MAB considers the results and confirms the mark for the student for each module according to the academic regulations section F11. The role of the Subject External Examiner in relation to the MAB is to ensure that, for assessments undertaken within a designated subject area, that

- assessment/moderation processes are consistent, fair and rigorous
- standards are maintained at a level comparable with that of assessments undertaken on similar programmes elsewhere in the UK
- there is parity and consistency in relation to the application of the Regulations to individual student cases

[The role and responsibilities of External Examiners is further developed in Appendix 4a]

2.8 The MAB, may, in the light of the moderation process and recommendations from the External Examiner (s) exercise its discretion in determining the marks to be awarded. The moderation process should apply to the cohort as a whole but there may be a need to review individual cases. Should there be any disagreement between the internal marking and the External Examiner (s), the view of the MAB shall prevail.

2.9 All marks ending in 9 are allowed to stand. A statement should be included in the minutes to indicate that the External Examiner found marking standards to be accurate.

2.10 The External Examiner[s] must sign the appropriate papers to confirm agreement with the standard of marking and the marks awarded. Each member of the Board should sign an attendance list and recommendations and marksheets must be signed by the chair of the MAB (until which time marks are provisional).

2.11 Minutes should cover each of the items providing succinct summaries of the discussion and any ensuing actions. The results lists should be appended/referred to rather than incorporate full results in the minutes. Minutes and the action agreed should be produced within two working days of the meeting.

3. Faculty Assessment Boards (FABs)

3.1 The general requirements for and guidance on the conduct and operation of all Boards applies (section 1 of these procedures) to FABs.

3.2 The FAB considers the progress of students through awards and end of session results in relation to continuing students and award and classification results for completing students. FAB is expected to make all decisions on the candidates presented and not to refer them to ABRC [4.2 refers]. Its decisions are made according to the Academic Regulations requirements for progression and award classification. (sections G and H of the Academic Regulations).

3.3 Award External Examiners are required to attend all FABs.[Academic Regulation J3.1]

3.4 The role of the Award External Examiners at FABs is to ensure that

- through the application of Regulations, standards are maintained at a level comparable with that achieved in similar awards elsewhere in the UK
- the assessment processes are sound, fairly operated and in line with the institution's policies and regulations.

- the procedures are followed in a fair and proper manner with consistency in application of the Regulations and comparability of treatment for students in their interpretation, across the University.

3.5 The membership of FABs is determined in section F11 of the Academic Regulations.

3.6 The agenda for FABs is as follows:

- introductions
- apologies for absence
- confidentiality status
- approval of the minutes of the last meeting
- matters arising
- declarations of interest
- consideration of the students' profiles, student by student, distinguishing between continuing and finalist students, identifying, as appropriate, reassessment and award outcomes
- External Examiner comments/issues
- date of next meeting

3.7 FABs are convened and managed by the Dean of Faculty according to the business to be addressed. In some cases it is appropriate to divide up the business into cognate groups of awards, each with its own agenda.

It is a requirement that there is quoracy for each group and that the internal examiners are present for the whole of the business which relates to the courses/Programmes for which they have responsibility. Award External Examiners and the independent Dean must be present for the totality of the FAB business.

3.8 The Chair and the External Examiner should sign the front cover of the results sheets for each programme considered at progression and/or award stage.

3.9 Minutes should cover each of the items providing succinct summaries of the discussion and any ensuing actions. The results lists should be appended/referred to rather than incorporate full results in the minutes. Minutes should be produced within four working days of the meeting. Following the meeting the University administrator generates official publication of results and sends to individual students notification of these results together with any necessary deferred or reassessment instructions.

3.10 To aid parity and transparency, an independent Dean will be present at FABs.[Academic Regulation F11.9]

4. Academic Board Review Committee (ABRC)

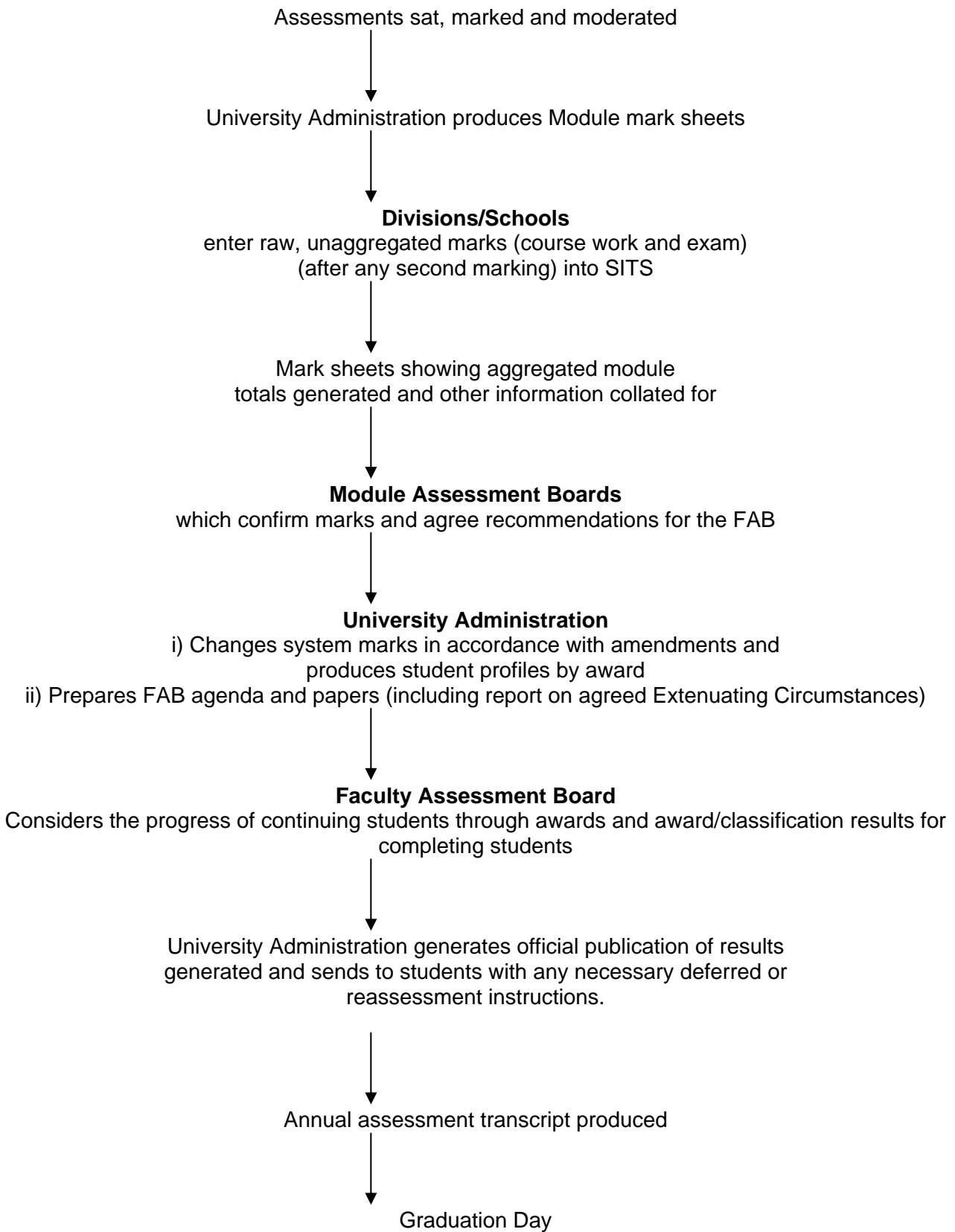
4.1 The general requirements for and guidance on the conduct and operation of all Boards applies (section 1, sub-sections 1.1-1.6 and 1.10 of these procedures) to ABRC

4.2 The ABRC considers only exceptional cases referred to it by the Chairs of FABs.[eg. posthumous and aegrotat awards].

4.3 The ABRC is Chaired by the Vice-Chancellor and has a membership consisting of two Pro Vice-Chancellors and the Head of Student Administration Services in the University.

4.4 The ABRC makes decisions in each of the cases presented to it in person by the relevant Chair of FAB, who withdraws from the meeting immediately afterwards. The Head of Student Administration Services is responsible for informing students of these decisions.

ASSESSMENT BOARD PROCESS



UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

Appendix 3g

Transcripts and Parchments

Certificated University Awards

Students receive:

- An annual and an end of course transcript which complies with QAA requirements (Academic Regulation B2.7)
- Diploma Supplement on successful completion (Academic Regulation B2.7)
- Award Parchment on successful completion

1.1 Course Transcript

1.1.1 The Annual Transcript includes:

- Name of the University
- Location of study – University campus or the name and location of any relevant partner organisation
- Name of the Faculty
- Full name of the student and registration number
- Student's date of birth
- Name and title of the programme of study as shown on the validated programme specification
- Language of study and assessment
- Details of the study undertaken for the year: module number(s) and title(s), year and term/semester of module, credit value, credit awarded, level, assessment attempts and results, overall outcome for the year
- APL accreditation (if appropriate)
- Certification by Head of Student Administration Services and official stamp
- Date of production of Transcript

1.1.2 The End of Course Transcript includes:

- Name of the University
- Location of study – University campus or the name and location of any relevant partner organisation
- Name of the Faculty
- Full name of the student and student registration number
- Student's date of birth
- Name and title of the programme of study as shown on the validated programme specification and programme code
- Level of the qualification awarded
- Language of study and assessment
- Study details for the complete course; module numbers(s) and title(s), year and term/semester of module, credit value, level, results, attempt
- APL accreditation (if appropriate)
- Result (including classification or achievement designation, if appropriate) and date of qualification
- Certification by Head of Student Administration Services and official stamp
- Date of production of Transcript

Diploma Supplement

The Diploma Supplement is produced to the format agreed by the European Commission, the Council of Europe and UNESCO and endorsed by the Bologna signatory states. It lists the following information:

- Full name of the student and University registration number
- Student's date of birth
- The name and title of qualification
- The main field of study
- The name and status of the University (as awarding body)
- The language of study and assessment
- Level of the qualification
- Length of the programme and its access requirements
- Mode and location of study
- Programme/study details; module number(s) and title(s), year and term/semester of module, credit value, (ECTS), credits (where appropriate) level, result, attempt and including placements and study abroad, APL accreditation (if appropriate)
- Programme specification information
- Grading and classification schemes used
- Information on the function of the qualification and access to further study
- Certification by Head of Student Administration Services including capacity, date, official stamp

Award Parchment

The award parchment is printed on University parchment carrying the approved security marks and shows:

- Coat of Arms of the University
- Name of the University
- Name of the associated or accredited partner college (if appropriate)
- Full name of the graduate
- Verification that award has been made ('has been awarded')
- Title of the award
- Classification or achievement designation, if appropriate*
- Verification of successful completion of approved course of study ('having successfully completed the requirements for an approved programme in')
- Title of subject of study, 'with' or 'and' (if appropriate) Title of additional subject of study (if appropriate)
- Date of the award
- Signatures of the Vice-Chancellor of the University, and of the Principal of the partner college (if appropriate)
- University seal or security device
- Parchment certificate number
- Indicator of Professional Registration (where appropriate)
- The principal language of study where this is not English

**Classification shall be expressed as:*

First Class Honours

Second Class Honours (Upper Division: 2.1)

Second Class Honours (Lower Division: 2.2)

Third Class Honours

Ordinary

Achievement designations shall be expressed as:

Distinction

Merit

Credit

Other University Certificates

A Certificate of Achievement (Academic Regulation B2.5) is awarded to recognise academic credit gained on successful completion of a programme of study not leading to a formal award. It details:

- Name of the University
- Name and location of any relevant partner organisation
- Name of the Faculty
- Full name of the student
- Language of study and assessment
- Details of the study undertaken: module number(s) and title(s), year and term/semester of module, credit value, level, assessment attempts and results
- Credit awarded and date of award
- Certification by Head of Student Administration Services and official stamp or security device

A Certificate of Attendance (Academic Regulation B2.6) confirms that a student attended for the taught elements of an academic module but did not undertake the assessments on a programme of academic study. It details:

- Name of the University
- Location of study – University or the name and location of any relevant partner organisation
- Name of the Faculty
- Name of the student
- Language of study
- Details of the study undertaken: module number(s) and title(s), year and term/semester of module, level
- Certification by Head of Student Administration Services
- Date of production certificate

Certificates are printed on University headed (but not parchment paper) and do not bear the University Coat of Arms or seal (to be confirmed)

Withholding of Transcripts, Parchments and Certificates

The Transcript, Parchment and/or Certificate will be withheld if a student/graduate is in debt to the University. (Academic Regulations F11.10 and H 1.4)

Review of the procedures

The University reviews the procedures described periodically.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4a

Role and Responsibility of External Examiner

This section should be read in conjunction with 3f Conduct and Operation of Assessment Boards.

1. The Role of the External Examiner

External Examiners are employed by the University to verify the standards of the University's awards and to ensure that the assessment process is sound and is fairly and consistently operated in line with its Regulations.

The University regards the securing of academic standards as a function of a partnership between the Chair of the Assessment Board and the External Examiner[s], the former using his/her discretion to seek guidance/advice from and to consult the External Examiner when appropriate.

2. There are **two types** of External Examiner

- **Subject External Examiners**
- **Award External Examiners**

2.1 **Subject External Examiners** are appointed within a modular system to comment on assessment practices at Module level. They will be involved in the following areas.

- at Part 2 (levels 5 & 6) of undergraduate degree programmes
- in the full programme for other awards [eg one year courses, postgraduate courses]
- at levels 3 and 4 only where target (not exit) awards are made unless Professional Statutory and Regulatory Bodies require External Examiner involvement

2.2 **Award External Examiners** are appointed by Faculties (normally 3 per Faculty) and will have a role in helping the institution to ensure that the assessment processes are sound, fairly operated and in line the institution's policies and regulations.

2.3 Role of the Subject External Examiner

The Subject External Examiner's role is to enable the University to ensure that:

- standards of awards are comparable with those across the HE sector in the United Kingdom;
- assessment requirements of modules leading to University awards meet learning aims and learning outcomes of those modules;
- standards across the modules for which external examiners are responsible are comparable;
- through the examination of modules, the achievement of programme aims and objectives contributes to the commercial, industrial and professional environment [as appropriate];
- assessment strategies and methods leading to University awards are in line with current best practice in the discipline concerned;
- work leading to University awards is assessed carefully, accurately and fairly by internal examiners with parity in the implementation of marking criteria to modules delivered on different sites/campuses;

- Assessment Boards give full and fair consideration to each student;

2.4 Expectations and responsibilities of the Subject External Examiner

2.4.1 The Subject External Examiner is responsible for a number of modules which may be used exclusively on one programme or span different programmes.

2.4.2 The Subject External Examiner is expected to:

- verify the implementation of the overall assessment strategy for the module/programme;
- **approve** all provisional examination questions and rubric, before publication, for the modules/programme assessments and re-assessments for which s/he is responsible
- scrutinise a representative sample (agreed with the External Examiner) of each grade or class of degree, cases of failure and cases identified by staff as being of particular interest for examination scripts or coursework/dissertations for the modules/programme assessments for which s/he is responsible and prior to the MAB confirm the standards of marking and that the assessment criteria and standards have been correctly and accurately applied. (See Appendix 3 b Section 2.2.2 Marking and Moderation Procedures);
- exceptionally, give an opinion on the marks of an individual student when asked to:
- attend Module Assessment Boards as required to:-
 - confirm that they operate according to the University and programme regulations and with consistency and fairness and according to normal practice in higher education in the United Kingdom
 - provide advice on decisions where necessary
 - agree the marks, recommendations and decisions signifying this by signing the relevant papers (See Appendix 3 f).
- provide an Annual Report on the particular modules to which they have been appointed, on assessment procedures and assessment standards in the context of the programme and the national scene, drawing the University's attention to any matters of serious concern which put the University's standards of the at risk. (See appendix 4e for the format of the Report.) They should also report on any good practice that they have identified.
- provide advice to course teams, on and approve proposed minor changes to course/module content or regulations to which the external examiner is appointed;
- communicate with Course/Subject Teams without lengthy delay on matters concerning examinations and assessment.

2.5 Role of the Award External Examiner

The Award External Examiner's role is **not** subject related and is to ensure that

- through the application of Regulations, standards are maintained at a level comparable with that achieved in similar awards elsewhere in the UK.
- the procedures are followed in a fair and proper manner with consistency in application of the Regulations and comparability of treatment for students in their interpretation across the University

2.6 Expectations and responsibilities of the Award External Examiner

The Award External Examiner is appointed to a specific Faculty and is expected to:

- attend all FABs;
- ensure there is an experienced and objective input into the exercise of discretion by the FAB through his/her understanding and knowledge of how comparable situations are dealt with elsewhere and through experience in applying Regulations;
- provide an Annual Report.

3. Responsibilities of University staff

3.1 The relevant **University Administrator** will provide the External Examiner with a copy of the current University Academic Regulations, academic calendar, External Examiner fees and expenses when s/he is appointed. The Administrator will also:-

- issue annual guidelines for the content, structure and submission of reports
- issue guidelines for the level and payment of fees and expenses
- issue revisions to University Academic Regulations
- invite external examiners to an External Examiners Induction Day

and draw attention where appropriate to significant issues raised in External Examiners' Annual Reports.

3.2 The **Head of Faculty Administration** is responsible for:

- sending External Examiners the dates of Module and Faculty Assessment Boards two years ahead and for confirming with the External Examiner the dates of the meetings he/she is required to attend
- for maintaining a system for monitoring of the internal moderation of coursework titles and briefs and the external approval of all examination papers including questions and rubric

3.3 The **Head of School/Division** is responsible for ensuring

- communication with the External Examiner by staff
- providing the current definitive document for the programme(s) for which the Subject External Examiner has responsibility;
- briefing the Subject External Examiner on the operation of the programme(s);
- agreeing with the External Examiner the timings for the despatching of materials throughout the academic year]
- consulting the Subject External Examiner on possible minor changes, if appropriate
- updating the information held by the Subject External Examiner on the current structure and content of the programme;
- ensuring that, where Subject External Examiners are required to scrutinise examination papers and scripts, this material is sent in reasonable time
- ensuring that all examination papers [questions and rubric] are approved by the Subject External Examiner before publication
- ensuring that there is internal moderation of coursework titles and briefs by sampling which is representative of the diversity of assessment items used

3.4 The **Dean of Faculty** is responsible for ensuring formal responses are made to issues raised by external examiners in their reports and for responding to essential issues raised by the Award External Examiner in FABs as part of the Annual Evaluatory Report for the Faculty. The **Head of School/Division** is responsible for responding to any essential issues raised in the Subject External Examiner's report as part of the Course/Programme Annual Evaluatory Report.

3.5 The **Dean of Faculty** is responsible for ensuring that:

- the Annual Monitoring process takes account of the views of external examiners as expressed in their reports;
- an annual report is made to Academic Standards Committee on the operation of Assessment Boards.

4. *Review of the process*

The process will be reviewed on a regular basis, taking into account best practice and Sector policy.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4b

Criteria for the appointment of External Examiners and procedure for early termination of contract

I Criteria for the appointment of External Examiners

The following criteria conform to the QAA Code of Practice: External Examining [2004] and the Academic Regulations, Section J 2.3. They will be reviewed regularly taking into account Sector norms and policies.

Criteria for Subject External Examiners

1. An external examiner's academic/professional qualifications/experience should be appropriate [or equivalent] to the course examined. Both the level and subject expertise of the examiner's qualifications should match what is examined in the course.
2. An external examiner should have appropriate standing, expertise and experience to maintain comparability of standards. Standing, expertise and breadth of experience may be indicated by:
 - the present post and place of work
 - the range and scope of experience across Higher Education/professions
 - current and recent active involvement in research/scholarly/professional activities in the field of study concerned
3. An external examiner should have enough recent external examining or comparable related experience to indicate competence in assessing students in the subject area. If the proposed examiner has no previous external examiner experience at the appropriate level, the application should be supported by either:
 - other external examining experience
 - substantial internal examining experience
 - other relevant and recent experience likely to support the examiners role.

Someone without direct experience as an external examiner should be appointed only if there is an experienced External Examiner who can act as a mentor. Normally the mentor would be someone from the same team as the new External Examiner but exceptionally, a mentor External Examiner from a related course should be provided. More details on mentorship are included at the end of Appendix 4d.

4. The external examiner should not concurrently hold more than the equivalent of two substantial external examining appointments to prevent over-extending his/her examining duties. In particular external examiners should not be prevented from attending Assessment Boards because of a conflict of dates with another institution.
5. External examiners should be drawn from a wide variety of institutional/professional contexts so that the course benefits from a wide-ranging external scrutiny and to provide a balance of expertise appropriate to the modules/programme. There should not be:

- more than one examiner from the same institution in a team of external examiners
- reciprocal external examining between courses in two institutions
- replacement of an external examiner from the same institution
- an external examiner from an institution which has been the source of examiners for that course in the recent past [normally 3 years]
- more than one examiner moving at the same time from the same subject area in one institution to the University of Cumbria.

6. External examiners should be impartial in judgement and should not have previous close involvement with the institution, which may compromise objectivity. The proposed examiner must not:

- have been a member of staff, a governor, a student or an examiner on a cognate course in the University in the last 5 years
- have had close involvement with the University or association with the relevant course team in the last 5 years. Examples of close involvements would include relatives/partners of University of Cumbria staff: partners/collaborators in research/scholarship/other published work. [Contributions of U of C staff to edited works will not normally preclude the editor from consideration as an external examiner].
- be in a position to influence significantly the future employment of students on the course
- have been involved in a validation for a course (not inclusive of scrutiny) in the last 3 years
- be involved with student placements or training in the institution
- be personally associated with the sponsorship of students
- be required to assess colleagues who are recruited as students on the course

Criteria for Award External Examiners

1. An Award External Examiner must have a deep understanding of assessment and experience in managing the assessment process and in applying Academic Regulations.

This may be indicated by:-

- the present post and place of work
- the range and scope of experience in managing the assessment process across Higher Education
- current or recent involvement in chairing Assessment Boards
- authorship of an institution's Academic Regulations/Procedures

2. The External Examiner must have recent external examining experience to indicate competence in decision making regarding decisions on individual student cases.

3. The External Examiner should not concurrently hold more than the equivalent of two substantial external examining appointments to prevent over-extending his/her examining duties.

4. External Examiners should be drawn from a wide variety of institutions and point 5 for Subject External Examiners is applicable.

5. External Examiners should be impartial in judgement and point 6 for Subject External Examiners is applicable.

Appendix 4 d describes the appointment procedure. Guidance on the selection and approval process for External Examiners is contained in Appendix 4 b.

II Criteria and procedure for the termination of External Examiner appointments

1. Criteria

1.1 Expectations

The contract of appointment for external examiners clearly states the duties which an external examiner is expected to undertake as defined in the Academic Regulations Procedure Appendix 4 a. External examiners have a responsibility for ensuring that standards and comparability are maintained, that justice is done to individual students and for judging whether students have fulfilled the objectives of the programme and reached the required standard. External examiners are required (Appendix 4a paragraph 2.3) to:-

- approve the form and content of proposed examination papers and rubric;
- scrutinise a representative sample of assessments
- communicate with Course/Subject Teams without lengthy delay on matters concerning examinations and assessment;
- attend relevant Assessment Board and participate in its decision making;
- sign the relevant results and recommendations lists from the Assessment Board. Signature may be withheld if the results have not been agreed;
- submit an informative annual report to the University in accordance with the guidelines provided.

1.2 Grounds for termination

The contract of appointment for external examiners may be terminated (Academic Regulations Section J2.2) on any of the following grounds:

1 Failure to attend specified Assessment Boards without good cause. The University recognises that Faculties must give sufficient advance warning of the dates of Assessment Boards so that external examiners are able to confirm their attendance and carry out their responsibilities.

2. Failure to submit an annual report **within 3 months of the Assessment Board** as required. The University values and requires full and informative reports which follow the guidelines provided.

3. Failure to undertake the external examiner duties to the satisfaction of the University by providing inadequate scrutiny of proposed assessment tools and/or assessment outcomes and/or an unacceptable delay in corresponding with Course/Subject Teams on matters concerning examinations and assessment.

4. Cessation of, or non-recruitment to, a course/programme

5. Changes to the level of a course on re-validation and the external examiner no longer meets the criteria for appointment

6. Changes in the circumstances of an external examiner that constitute a conflict of interests.

7. Unprofessional conduct

8. Failure to disclose a relationship, contractual or otherwise, which may impair the integrity of the assessment process and the independence of the external examiner.

2. Procedure for the termination of external examiner appointments

2.1 The termination of an External Examiner's appointment:

2.1.1 Where circumstances arise which meet the criteria for termination of an external examiner's appointment, Deans of Faculty must report the details to the **Academic Office**. The **Academic Office** will write to the respective External Examiner outlining the circumstances and asking for a response. If a satisfactory solution cannot be found, the appointment will be terminated.

2.1.2 In relation to the non- receipt of reports, the following applies:

- The **Academic Office** will send a reminder letter if reports have not been received 6 weeks after the Assessment Board with a further 2 weeks given for the report to be received. Deans will be advised.
- Where reports remain outstanding 8 weeks following the Assessment Board, the **Academic Office** will make personal contact with the external examiner within another 2 week period to allow reports to be received.
- Where reports remain outstanding 12 weeks following the final year Assessment Board [and providing there are no mitigating circumstances] the **Academic Office will** terminate the contract of appointment if the report is not received within a further 2 week period. The fee will be forfeited. The Dean will be notified.

2.2 The Resignation of an External Examiner

2.2.1 Where an External Examiner wishes to resign from his/her appointment (e.g. for personal reasons), the respective Faculty should request formal written notification from the External Examiner. Wherever possible, to avoid disadvantaging students, the resignation should take place at the end of the session but in any event, at least 3 months notice is required. The Faculty should also seek to ensure all outstanding reports are submitted. Where an External Examiner is not able to fulfil their responsibilities, a Faculty should, where feasible, make appropriate arrangements to ensure that all outstanding responsibilities (including the preparation and submission of the reports) are covered. The Faculty should initiate a replacement nomination immediately.

3. Review of the process

This process will be reviewed regularly taking into account Sector norms and policies.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4c

Guidelines for the selection and approval of potential External Examiners

Guidelines for the selection and approval of potential External Examiners

1. Criteria for appointment

The criteria for the appointment of External Examiners are set out in Appendix 4c. The purpose of these guidelines is to provide advice on the recruitment process and to point out factors to be taken into account when selecting potential External Examiners and/or to be drawn to the attention of the External Examiners Sub-committee in submitting nominations for approval.

2. Timescales

Faculties should plan well in advance for experienced external examiners to take over from an existing examiner when her/his appointment comes to an end. The completed application form should be submitted to the Secretary of the External Examiners' Sub-Committee before the last meeting of that Committee in the preceding academic year.

3. Recruitment of potential external examiners

It is recognised that from time to time, there can be difficulties in finding suitable nominees who possess the relevant experience to undertake the role of an external examiner. The following may be helpful to Schools/Divisions and Faculties in recruiting potential external examiners.

3.1 Other Institutions

- 3.1.1 Schools may have sought advice from other institutions in the development of the course or during the Faculty pre-validation process and this could be a useful contact for external examiner nominations. (**Note:** The nominated person must **NOT** have been involved in an advisory capacity in the development of the course).
- 3.1.2 Other academic institutions operating similar courses, (identified from the Universities' Entrance Guide and the UCAS Handbook obtainable from the Admissions Office) can be a source of potential external examiners. The Head of School/Division could make tentative telephone enquiries to another institution to establish the particular focus of the course and whether there are staff who may be willing and sufficiently experienced to act as an external examiner.
- 3.1.3 In making such investigations, Schools/Divisions should take into account the University's wish to involve external examiners from a wide range of UK institutions. Schools should not limit themselves to those institutions with whom staff already have a close association or which are geographically near to this institution. However, the University does not encourage the nomination of external examiners from an institution where, say, the Head of School/Division or Course Leader was recently employed or the nomination of a close colleague/friend of a member of the course team. Schools should also note that reciprocal external examining arrangements between courses and Schools/Divisions in this University and another institution are **not** permissible under the University's Academic Regulations. (See Appendix 4 b, paragraph 5)
- 3.1.4 An external examiner should not be nominated for a course which they have recently undertaken (i.e. within 5 years), as this constitutes too close an involvement with the Faculty and may compromise an examiner's objectivity thus contravening the University's criteria for appointment.

3.1.5 The Head of School/Division or Dean of another institution may also be able to advise as to whether their own external examiners will have completed their term of office in time for them to be nominated to take on another appointment.

3.1.6 In addition, an external examiner from another institution may be able to recommend a colleague who would be sufficiently experienced to undertake the external examining role.

3.2 Current external examiners

With respect to the replacement of an external examiner, Schools/Divisions/Faculties may wish to enquire whether the out-going examiner is able to recommend an appropriate successor from another institution other than his/her own.

3.4 Professional Statutory and Regulatory Bodies/Associations

Professional bodies often publish their own list of approved external examiners and professional associations (e.g. Association of Business) which can be used.

3.5 External Events

Attendance at conferences, workshops, seminars, etc or acting on the validation panels at other institutions may yield possible contacts for potential future External Examiners, as may any links with other institutions for research purposes.

3.6 Higher Education Academy Registers of External Examiners

Many of the Subject Centres established on the Higher Education Academy's website have developed Registers of External Examiners as a potential source of external examiner nominations, which can be accessed.

4. **Demonstrating that the criteria for appointment are met**

4.1 The criteria for the appointment of External Examiners and the candidate's ability to satisfy these must obviously be taken into account when considering potential External Examiners. In exceptional cases the Faculty may wish to propose a nomination for a Subject External Examiner who does not fully meet the criteria for appointment. The Faculty is then required to provide a statement of support with the nomination (see Appendix 4d Procedure for appointing External Examiners paragraph 2.3.3) detailing the level of alternative experience and abilities, and how they intend to support the new external examiner in the first year of office.

The requirement for a formal mentoring arrangement will be identified as part of the Scrutiny by the External Examiners' Sub-Committee. More details on the role of the mentor and the process of appointment are included at the end of Appendix 4d.

4.2 It is important to demonstrate that, although a nominee may not fully meet all criteria, s/he must have an overall balance of experience and be able to judge comparability. The following guidance is provided on the range of evidence which needs to be provided in the supporting statement to the External Examiners' Sub-committee as part of the decision making process so that a judgement can be made about whether a nominee is appropriate, including on the basis of the overall profile if all the criteria are not fully met. Inexperienced external examiners will be asked to confirm the support they have received from the School/Division and/or the Mentor in their first year of appointment.

Note:

It is necessary to demonstrate that a nomination meets the criteria for an Award External Examiner to whom the mentorship scheme does not apply

4.3 Statement of support

This guidance is intended to simplify the process and reduce the administrative burden for Faculty staff and members of relevant sub-committees by reducing the number of repeated requests for information and eliminating delay in the processing of appointments. Statements of support for Subject External Examiners should cover the following:-

1. Experience and Attributes

The External Examiners' Sub-committee Panel will look for evidence of the nominee's:

- **Professional Experience**

At least 3 years' relevant experience and normally 5 years. For academic staff, this should cover teaching and assessment. Non-HEI nominees must have a high degree of specialist knowledge of the relevant field.

- **Education/Qualifications**

Normally qualified to the level of or above in the subject area of the award for which the external examiner will be responsible. Additionally, it would be helpful if there were evidence that the applicant is the holder of a recognised teaching qualification.

- **Skills and Abilities**

It is expected that academic nominees will have experience of assessment techniques which test a range of cognitive and/or practical skills. Evidence to demonstrate this could include:

- Scholarly activity in the subject area [e.g. conference papers, published papers, books or refereed articles]
- Ability to make comparison with similar provision [e.g. through validation experience or through experience of another institution or employer].
- Interest in curriculum development [e.g. through membership of course development, team or internal review or validation mechanisms]
- External recognition [e.g. through membership of a professional association or industry awards]
- Involvement in subject benchmarking or internal/external quality review;
- Member of an organisation with a high reputation for quality and standards
- Ability to communicate positively to influence quality enhancement [e.g. through involvement on a validation panel or personal recommendation]

2. Support from the Faculty

The Faculty is also required to confirm the type of support, which will be provided to inexperienced external examiners during their first year of office both by the mentor and by the Faculty staff. It is recommended that the Head of School/Division ensures:-

- that the nominee is prepared to attend the University Induction Event

- that arrangements are made for contact with the Chair of the Assessment Board, Course Leader and at least one other External Examiner (this may be the Mentor) in the School/Division in the first semester of the appointment to discuss the course in detail, and the assessment strategy and criteria used
- that the nominee is provided with the names, contact address and telephone numbers of other external examiners appointed by the School/Division
- timely provision of material to the External Examiner, including the provision of marking schemes

The Faculty should ensure that mentorship arrangements are implemented, and perhaps arrange a forum for staff and external examiners to discuss assessment practices and issues of academic standards to share good practice in the discipline.

5. Review of the process

This process will be reviewed regularly taking into account Sector norms and policies.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4d

Procedure for appointment External Examiners

1. Process

- 1.1 External Examiners are appointed by the Academic Board as employees of the University.
- 1.2 External Examiner appointments are normally for a period of four years normally 1st October until 30th September, although there are some exceptions (e.g. DipHE Nursing, Postgraduate courses). Newly appointed examiners will normally take up their duties on or before the retirement of their predecessors. The appointment process is outlined in the flow-chart at the end of this paper.
- 1.3 The Academic Standards Committee and the External Examiners' Sub-Committee receive a presentation of the list of vacancies from the Chair of the External Examiners' Sub-Committee, thus notifying Faculties of those external examiner appointments that are due to end and require a replacement to take up appointment.
- 1.4 All nominations must be submitted on the University proforma, signed by the Head of School/Division, the Dean or the Chair of the Faculty Academic Standards Committee and if appropriate, the Principal of the Partner College.
- 1.5 The Chair of the Faculty Academic Standards Committee checks the nominations against the criteria for appointment of external examiners before approval by the Dean. The proposals are forwarded to the External Examiners' Sub-Committee, which will recommend approval/non-approval to the Chair of Academic Standards Committee who has the final decision. The role and remit of the External Examiners Sub-committee is detailed in Attachment 1.
- 1.6 Once the nomination has been approved, the Academic Office confirms the appointment in writing to the External Examiner and enters details on the University's database/register of External Examiners' appointments.

2. Responsibilities

2.1 University Dean or Head of School/Division Subject External Examiners

- 2.1.1 The Head of School/Division is responsible for completion of proposals for external Examiner appointments for all courses overseen by the School/Division (whether on campus or at partner institutions), ensuring that nominations for replacements or for first appointments meet the University's criteria for appointment and that recommendations for appointment are made promptly to the Chair of the Faculty Academic Standards Committee for forwarding to the External Examiners' Sub-committee.
- 2.1.2 Where nominations are received from Partner Colleges the Head of School/Division is responsible for scrutiny and, where recommended for approval by the Head, for forwarding to the Chair of the Faculty Academic Standards Committee within one week of receipt from the Partner College.
- 2.1.3 In exceptional circumstances, where a nomination does not meet the criteria for appointment, the Head of School/Division must ensure that a written statement accompanies the proposal with a persuasive rationale as to why the appointment should be approved and how the examiner will be supported in his/her first year of office. (See also Appendix 4b) (See also notes on mentorship at the end of this section).

- 2.1.4 Where appropriate, the School/Division is responsible for ensuring that the criteria for appointment of the Professional, Statutory and Regulatory Body (PSRB) are met.
- 2.1.5 The relevant Course Leader, Head of School/Division or relevant member of the Course team is required to attend the afternoon session of the Induction Day for newly appointed external examiners to meet them for the first time.
- 2.1.6 Schools/Divisions should forewarn nominees of the complex University criteria against which potential external examiners are measured and should not make any assurances or commitments to a proposed external examiner before the University approval process has been completed, in order to avoid any embarrassing situations.
- 2.1.7 Award External Examiners
The Dean is responsible for completion of proposal (as in 2.1.1) and for attending the Induction Day for newly appointed External Examiners.
- 2.2. University Faculty
- 2.3.1 The Chair of the Faculty Academic Standards Committee is responsible for ascertaining and chasing progress on outstanding appointments so that all the appointments are made in a timely manner. S/he should liaise with the Secretary of the External Examiners Sub-committee on any outstanding appointments and their status throughout the year.
- 2.3.2 The Chair of the Faculty Academic Standards Committee (or nominee) receives and scrutinises nominations to ascertain whether they meet the University's criteria for appointment before forwarding proposals to the Chair of the External Examiners' Sub-committee.
- 2.3.3 In exceptional cases the Faculty may wish to propose a nomination for a Subject External Examiner who does not fully meet the criteria for appointment. The Faculty is then required to provide a written rationale and details of how they intend to support the new external examiner in the first year of office. (See Appendix 4 b "Guidelines for the selection and approval of External Examiners" and Attachment 2 "Mentorship Arrangements" at the end of this section.
- 2.3.4 Proposals approved by the External Examiners' Sub-committee will be recommended to the Academic Standards Committee and, subject to ratification, the Academic Office will update the database and send out the formal appointment letter on behalf of the University together with arrangements for support if appropriate.
- 2.3.5 Where proposals are not approved by the External Examiners' Sub-committee the Academic Office will notify the proposed External Examiner.
3. Partner College responsibility
- 3.1 Where courses are validated at Partner Colleges, as opposed to being franchised, the HE Coordinators are responsible for ensuring that a nomination for an appropriate external examiner is submitted in a timely manner to the Head of the University host School/Division to be approved prior to it being forwarded to the External Examiners' Sub-Committee.
- 3.2 If a nominee has had no previous external examining experience the HE Co-ordinator must include a statement outlining the support which will be provided to the new external examiner in the first year of office from within the College and/or in a mentorship arrangement.

- 3.3 In exceptional circumstances where a nomination does not meet the standard criteria for appointment the HE Co-ordinator must provide a written statement with a persuasive rationale as to why the appointment should be approved on this occasion.

5. **New or additional Subject External Examiners**

Requests for new or additional Subject External Examiners to cover new courses/modules coming on stream or to accommodate growth in student numbers should be made in writing to the Academic Office **before** any approach is made to a potential nominee. To enable informed negotiations with Academic Standards Committee a full rationale for the appointment, signed by the Dean, is required.

6. **Changes to an External Examiner appointment**

- 5.1 The External Examiner's Sub-committee can exceptionally vary the agreed duties of an External Examiner. Applications for changes to appointment or role should be made on the proforma [*insert reference*].

- 5.2 An extension to an individual's appointment will be considered by the External Examiners' Sub-committee only where there are exceptional circumstances for doing so:

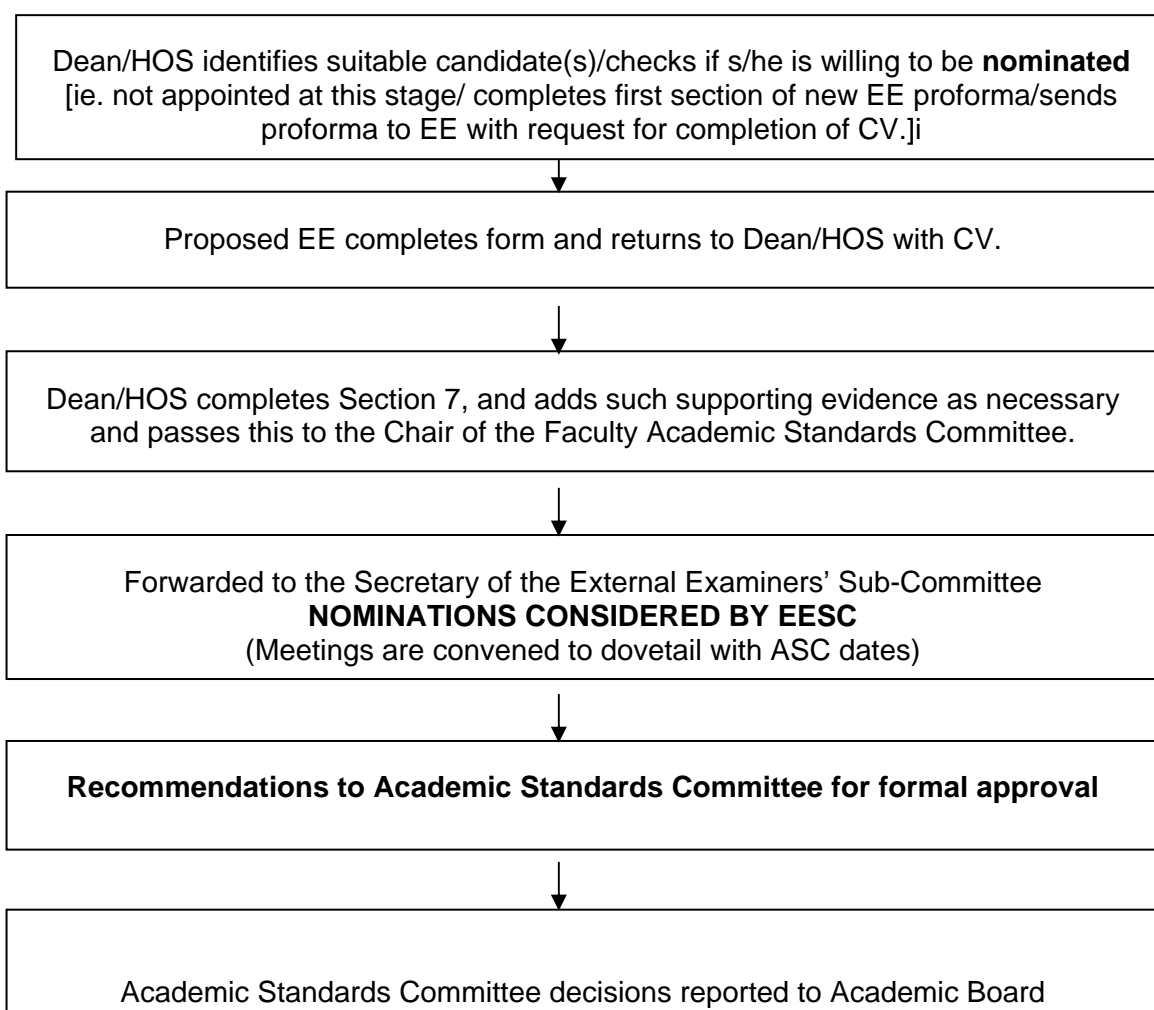
- where a course/programme/module will continue for one more year only to provide continuity where all current external examiners are in their final year of appointment;
- to cover the completion of a small number of remaining students on the programme.

The application should be set out on the relevant form [*insert ref*] with a full supporting rationale.

7. *Review of the process*

The procedures for the appointment of external examiners are reviewed on a regular basis.

Flow chart of the procedure for appointing External Examiners



ATTACHMENT 1

Role and Remit of the External Examiners Sub-committee

1. Terms of Reference

1. To consider nominations for the appointment of external examiners against the criteria taking into account the circumstances and to make recommendations on their approval/non-approval to the Chair of Academic Standards Committee. (This does not include the appointment of external advisors to validation and review events).
2. To approve extensions to period of office and/or changes to duties of existing EEs.
3. To report annually to Academic Standards Committee on the operation of the process for the approval of external examiners and the criteria for appointment and to report any urgent business as it arises and as required.
4. To report regularly to Academic Standards Committee on vacancies for External Examiners.
5. To identify good practice and provide an overview of support and development opportunities for External Examiners.

2. Operating Practice

1. Meetings are held on a regular basis and are scheduled annually to enable reporting to an upcoming Academic Standards Committee Meeting. Meetings are serviced by the University's Academic Office.
2. The Chair and membership will serve normally for a period of 1-3 years.

3. Composition

Chair (a member of the Academic Standards Committee)
One ASC member from each Faculty (TWO Faculty alternatives who are members of ASC are permitted)

In attendance: Minuting Secretary

ATTACHMENT 2

Mentorship Arrangements as part of the induction of new External Examiners

1. Circumstances in which mentor support may be required

There may be a range of circumstances in which mentoring is appropriate. The following reflect typical arrangements:

- Where the External Examiner is an external professional expert of standing in a relevant field, but lacking significant experience of teaching and assessing in HE.
- Where the subject area to be examined is a new field in HE, and where there are no examiners of seniority in that field.
- Where an examiner is new to external examining and is not part of a team of examiners led by an experienced Chief Examiner.
- Where an out-going External Examiner is retained for a fifth and final year to hand over to an incoming External Examiner to assist continuity, e.g. Chief External Examiners for large and complex programmes.

2. Role of the Mentor

2.1 Existing experienced external examiners in a related area would be designated to mentor/support new colleagues during their first year of appointment, on a flexible basis according to the needs of the appointee.

2.2 Duties could include:

- establishing contact with the mentee External Examiner and acting as the first point of contact
- advising on approaches to moderation including applying criteria, assessing consistency of marking, sampling across grade boundaries, dealing with borderlines, fails
- advising on dealing with draft examination papers, coursework titles, assessing the appropriateness of questions/titles in terms of coverage of topics/learning outcomes, level of challenge, rigour, ambiguity, fairness etc
- advising on assessment processes within professional contexts
- advising on the role and perspective of the External Examiner in Assessment Boards (in relation to moderation, extenuating circumstances, malpractice as appropriate)
- advising on the context of verbal and written reports
- clarifying details, providing support, building confidence, reassuring.

The duties would therefore be specific to the actual examining work. Regulatory and procedural issues would continue to be communicated as currently via documentation from the Academic Office, and academic subject areas, by the Annual Induction Day, and via the link with the relevant College subject leader.

3. Commitment required

The commitment required will be flexible according to the needs of the mentee, but could include:

- an initial meeting between mentor and mentee
- communication by e-mail or telephone
- a shadowing experience of mentor by mentee in an examination board.

4. Process of Appointment

4.1 The need for mentor support would be identified as part of the scrutiny process by EESC and recommended to ASC.

4.2 If approved, the appointment would then be formally recognised by the University, and the following actions taken:

- the mentor examiner would receive a formal letter of appointment from the Academic Office, outlining the possible duties as under 2.2 above
- the mentee examiner would be advised of the arrangement and the scope of the support available via the letter of appointment from the Academic Office.

5. Remuneration

5.1 To enable the mentorship role to work effectively it is recognised in terms of remuneration.

5.2 This has parity with the remuneration offered to Chief External Examiners (i.e. a separate standing fee).

5.3 Travel costs will be available for initial meetings, plus shadowing at Assessment Boards.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4e

Reporting procedures for External Examiners

1. External Examiner's Report

The University attaches great significance to and values greatly the annual reports of External Examiners as they form a vital part of the documentation used within its Quality Assurance Process as the attached flow chart shows. Relevant staff, including those at a senior level, read all reports carefully and give serious consideration to all issues raised. The University seeks to ensure that appropriate action is taken and that the feedback/quality loop is closed. All External Examiners are advised of the action taken.

2. Completion and submission of the Annual Report

2.1 Format and content of the Report

2.1.1 External Examiners are asked to complete the annual report critically but fairly using the template and bearing in mind the points listed below.

The report is for the University's use and consists of sections on the following with points to be commented on in each.

- The academic standards demonstrated by the students and where possible their performance in relation to students on comparable courses.
- The extent to which standards are appropriate for the award
- Organisation and arrangements in the assessment process
- Other comments

2.1.2 In their final report (i.e. in the final year of appointment), External Examiners are asked to include in it an overview on the progress that has been made during their period of the office. This information will also serve to inform the incoming External Examiner about the developments during the previous period review. Points on which the External Examiner could base his/her report are listed on the template.

2.1.3 If an External Examiner has serious concerns arising from the assessment process which put at risk the standards of the University or any relevant external awarding body, these must be raised with the Chair of the Module Assessment Board (by Subject External Examiners) or the chair of the Faculty Assessment Board (by Award External Examiners) in the first instance. Should an

External Examiner wish to raise matters of particular importance or sensitivity, this can be done by way of a separate, confidential report addressed to the Vice Chancellor.

2.2 Submitting the Report

The fully completed reports must be returned via email to the Vice Chancellor of the University of Cumbria **within six weeks of the Assessment Board**. Payment of External Examiners fees will be conditional upon completion of the report.

2.3 Use within the University

As explained above, the External Examiner's report is an important part of the University's quality assurance process. In preparing their reports, External Examiners are protected by qualified privilege⁴ so the views expressed are the Examiners and not those held by anyone else. The Examiner retains the copyright of the report but the University is entitled to use the report by way of implied licence. This may include publishing in part or whole. External examiners should be aware that under the terms of the Freedom of Information Act 2005 the University is required to publish all information (not covered by exemption) if requested. In view of this it is important that external examiners do not include in their report any reference to individuals by name. External examiners should also be aware, that under the requirements of the Data Protection Act students can request a copy of any comments made on their scripts, or any reports made by External Examiners on their work, and if requested the University will be required to provide this information.

3 Guidelines for completion

The following points should be borne in mind when completing the report

- No individual student or member of staff should be identified by name.
- The format of the report templates should not be altered in any way.
- Joint reports from External Examiners are not acceptable as the University prefers independent views to be expressed.

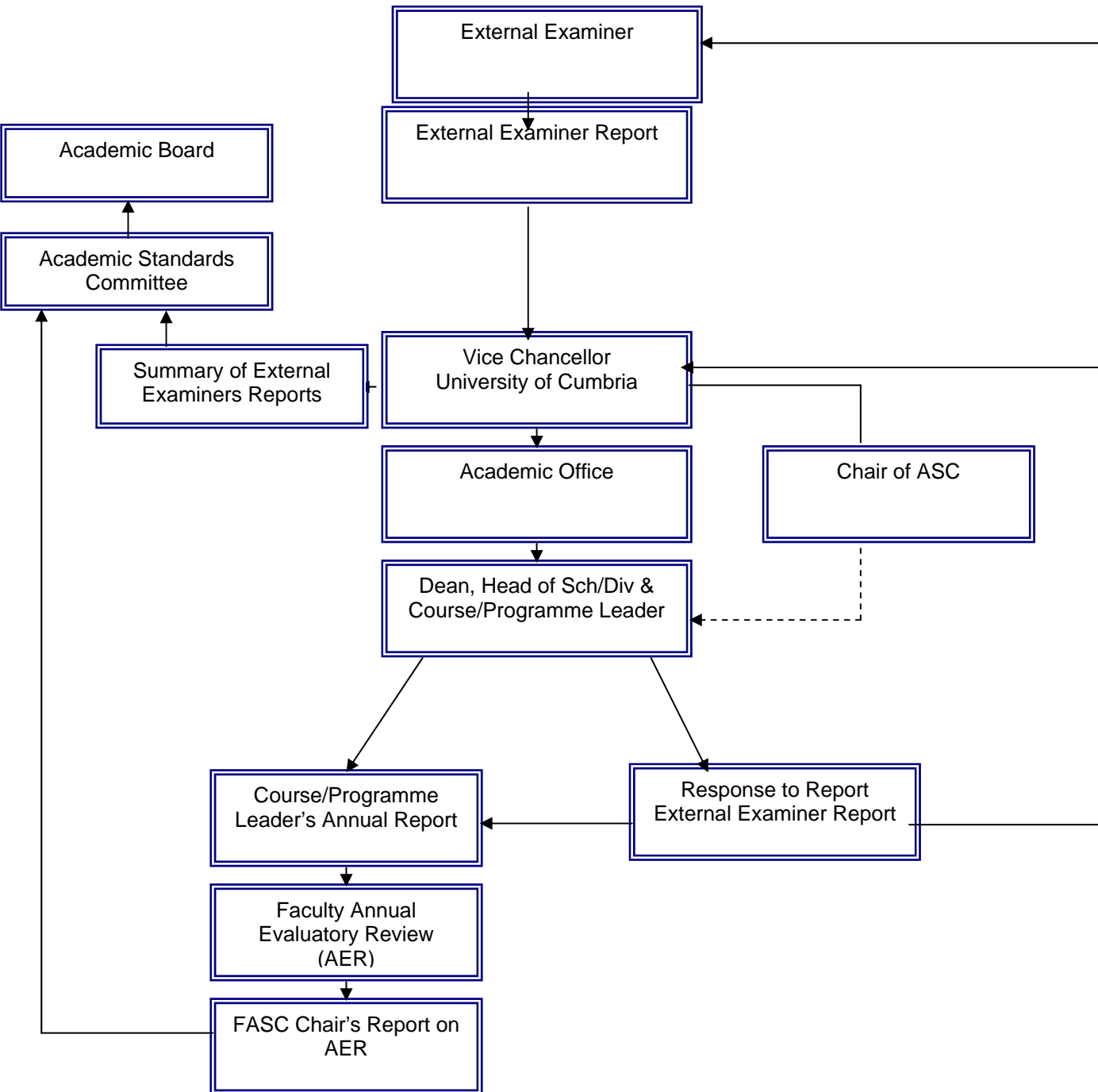
Review of the process

This process will be regularly reviewed by the University.

4

Explained in HEFCE 'Information on quality and standards in higher education: final guidance' (annex g) available at http://www.hefce.ac.uk/Pubs/hefce/2003/03_51/

External Examiner Reports & University Quality Assurance and Enhancement Processes



UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 4f

Information for External Examiners

1.1 When confirming the appointment the **Academic Office** sends the following to the External Examiner:

- Letter of welcome and confirmation of appointment
- Contract of Employment
- Invitation to attend one of the External Examiners' Induction Days
- Contact information
- University academic calendar
- Academic Regulations and Academic Procedures and Processes
- Visiting the University – travelling to the University and campus maps

1.2 Continuing External Examiners receive information at the beginning of each academic year which captures such changes that are made from year to year.

2 Information from the Head of Faculty Administration

- Dates/times of Module and Faculty Assessment Boards two years ahead

*(**Note:** These should be sent along with the information from the Academic Office so that the External Examiner receives one pack of information at the time of appointment)*

3 Information from the Head of School/Division

Additional information to be sent by the Head of School/Division includes:

- Contact details of the staff specific to the examining duties
- Contact details of other members of the external examining team
- Programme Specification (s)
- Module Descriptors for those modules being externally examined
- Student Course Handbooks (or Programme Handbooks)
- Details of the assessment, verification and moderation processes for the relevant courses to include grading and marking schemes
- Copies of previous report of the External Examiners and Course Leader's Annual Evaluatory Report

4 The appropriateness of this information is regularly reviewed

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 5

Academic Appeals procdures

NB. Board of Examiners = MABs i.e. those responsible for determining the marks awarded and for making recommendations to FABs
Assessment Boards = FABs which determine outcomes on student profiles

ACADEMIC APPEALS PROCEDURES

Authority: Approved by the Academic Board of the University of Cumbria designate as institution-wide procedures which have force across all academic provision of the university wherever it occurs.

1. SCOPE OF APPEALS PROCEDURES

1.1 Definition

1.1.1. An appeal is a request for reconsideration of a decision of an academic body authorised to determine decisions on assessment outcomes, usually the Faculty Assessment Board (FAB) acting on the authorisation of the Academic Board of the University of Cumbria, or the Committee of Senate of Lancaster University, or the Academic Board of the University of Central Lancashire. The request is allowable only on specific grounds; complaints outwith this definition should be progressed through the University Complaints procedures.

1.1.2 An appeal may be made in circumstances where failure following reassessment means that a student may be required to leave the University without an award, or where a student has been granted an external reassessment (and thus been temporarily excluded from the University) or where a student's performance in examinations or assessment has been affected adversely by serious matters beyond his/her control. The circumstances for appeal are limited (see section 1.3.1 below).

1.2 Eligibility to appeal

1.2.1 An appeal may be made by any student who is enrolled on a course of study offered by the University of Cumbria, at one of its own campuses or sites or franchised to or delivered under a collaborative arrangement in another institution, or offered by distance learning, or work based learning, or by study overseas, whether or not the course leads to an award. Recent graduates may also appeal providing the case is made within the stipulated timescales.

1.2.2 An appeal by a third party on behalf of a student will not normally be accepted unless the student is seriously incapacitated.

1.2.3 An appeal will normally be made by an individual. Where an appeal addresses an identified common issue, with agreement from all parties, an appeal from a group of students will be considered.

1.2.4 Appeals against admissions decisions by applicants to the institution will be dealt with under separate procedures

1.3 Circumstances under which an appeal can be considered

1.3.1 Consideration of an appeal will be restricted to circumstances:

- i. where failure following reassessment means that a student may be required to leave the University without an award or where a student is granted external reassessment resulting in temporary exclusion from the University;

- ii. where there has been or could have been material administrative error or regulatory or procedural irregularity which has affected the student's results;
- iii. where significant new evidence concerning extenuating or mitigating circumstances which **for good reason** had not been available to the MAB (for example a medical condition which had not been diagnosed at the time of the Board) has been produced; or where insufficient weight had been given to extenuating circumstances.
- iv. where unfair treatment or discrimination is alleged as part of the assessment process which **for good reason** had not been considered previously under the University Complaints Procedures.

1.3.2 Appeals claims which will be ruled **invalid**:

- i. Disagreement with any mark or grade or placement assessment result will **not** constitute grounds for an appeal. An appeal which disputes the academic or professional judgement of the MAB, properly exercised, will not be regarded as valid, similarly an appeal may not be based on a questioning of any individual examiner of the assessment board.
- ii. appeals for reconsideration/remarking of any component of assessment, however borderline, will be ruled invalid, unless a case for irregularity is being claimed, as under section 1.3.1 (ii) above;
- iii. appeals submitted outside the specified deadlines will be ruled invalid
- iv. appeals by a third party will be ruled to be invalid unless the appellant is seriously incapacitated;
- v. where there has been any anomaly in the assessment process, as under section 1.3.1 (ii) above, which has **already** been reported to and taken account of by the MAB, this shall also be ruled invalid;
- vi. where **NEW** evidence for illness or extenuating circumstances is brought forward **after** the meetings of the MAB, and there is not evidence of **good reason** as to why it had not been reported to the Board previously, the appeal shall be ruled invalid.
- vii. Appeals against allegations of cheating or plagiarism will only be valid if based on grounds of material administrative error or regulatory or procedural irregularity.
- viii. vexatious, frivolous or fraudulent appeals will be dismissed immediately and may result in disciplinary action against the appellant. The appellant will be advised in writing as to why the application is an abuse of the appeal process.

2. **FRAMEWORK WITHIN WHICH APPEALS PROCEDURES WILL OPERATE**

2.1 **Confidentiality**

All appeals will be dealt with confidentially, unless disclosure is necessary to progress the appeal. In this event the student will be notified in advance of the disclosure.

2.2 **Fair treatment**

Students will not be disadvantaged in any way as a result of making an appeal, whatever the outcome, if that appeal has been made in good faith.

Any adjustment, as a result of the appeal, to a decision on an assessment outcome will not be to the detriment of the appellant, except in cases of demonstrable computational or clerical error.

Members of the Appeals Panel will have no involvement in the assessment of the student. Lobbying of the Panel or the Secretary to the Panel by any party is expressly forbidden.

2.3 Progress of appeal

The receipt of an appeal will be logged and acknowledged. The progress of the appeal will be recorded and monitored and the appellant notified at each stage of the outcome and of the reason for the outcome.

2.4 Timescales

2.4.1 Timescales will be adhered to by the University, as indicated in the procedures. Should delays occur, students will be notified of the reasons, and kept informed.

2.4.2 Students must adhere to the timescales laid down in the procedures or notify the University of the reasons for any delay.

2.4.3 In instances where the procedure runs into a vacation period timescales may be extended to ensure proper consideration of the appeal.

2.4.4 Where the University fails to adhere at any stage to the timescales set out, the student will have the right to proceed to the next stage of the appeal. If this is at the last stage, the student will have the right to refer the appeal to the Vice Chancellor who will ensure action is taken as a priority.

2.5 Access to information and documents

The student will have access to information and documents relevant to the appeal, as appropriate under the 1998 Data Protection Act and any subsequent relevant legislation.

2.6 Appeals from students based overseas

Appeals from students based overseas will be considered in accordance with the regulations. Appropriate allowance will be made on the timescale for appeal and modern technology will be used where possible to facilitate the appeals process, eg fax, email, teleconferencing.

2.7 Off Campus Modes of Provision

Students studying on placement, in work based learning settings, on smaller sites, or in franchised institutions as part of collaborative provision will have the same access to appeals information, sources of help and support as those based on a University campus. Should there be any delay in the provision of such facilities on the part of the University, timescales will be adjusted commensurate with the delay, to ensure fairness and avoid disadvantage.

2.8 Students with Impairments

Students who need to access documents in different formats or who need particular facilities or support in the process will be given appropriate help and assistance (see 7 below).

3. PROCEDURES FOR APPEAL

3.1 The student must make an appeal in writing, identifying the grounds for appeal, and must provide relevant documentary evidence, to the Secretary to the Appeals Panel via the Student Administration (Assessment) Office within **TEN** working days of the publication of the results. Students may indicate the form of remedy they are seeking. An appeal form is provided in Appendix ??, or may be collected or requested from the Student Administration or Student Liaison Offices on each campus.

3.2 Stage 1 - Appeal referred to Chair of FAB

3.2.1 The Secretary will refer the appeal to the Chair of the FAB. If the Chair is satisfied that there may be a valid case for appeal under section 1.3.1 above, s/he will consider the appeal, usually within **FIFTEEN** working days of the original receipt of the appeal.

3.2.2 Where there is clear evidence provided by the appellant, which has been verified by cross-referencing, the Chair of the FAB may uphold the appeal. S/he will then consult with the MAB (and External Examiner(s) for Part II) to achieve an appropriate adjustment to the original decision. In the case of students having completed a Lancaster University or a University of Central Lancashire award, the revised decision will be subject to confirmation by or on behalf of the Committee of Senate of Lancaster University/the Academic Board of the University of Central Lancashire as appropriate.

3.3 Stage 2 - Appeal referred to Chair of Appeals Panel

3.3.1 If the Chair of the FAB is not convinced that there are valid grounds for appeal or if the appeal cannot be upheld by the Chair of the FAB, the appeal will be referred to the Chair of the Appeals Panel, as defined in section 3.4.2, for a further independent view.

3.3.2 The Chair of the Appeals Panel will determine whether or not there are valid grounds for appeal under section 1.3.1 above.

3.3.3 If the grounds for appeal have not been satisfied, the appeal will be dismissed. The student will have the right of appeal to the Vice-Chancellor of the awarding institution. Where the Chair of the Appeals Panel determines that the appellant has valid grounds, the Chair of the Appeals Panel will consider the appeal, usually within **TEN** working days of the appeal being referred to him/her.

3.3.4 Where the evidence provided by the appellant is verified on further investigation of supplementary evidence by the Secretary to the Appeals Panel, the Chair of the Appeals Panel may uphold the appeal. S/he will make a recommendation for an appropriate adjustment to the original decision of the Board to the Chair of the FAB. The Chair of the FAB will determine a revised assessment outcome having consulted the Chairs and External Examiners of the relevant MAB as appropriate. In the case of students having completed a Lancaster University award, the revised decision will be subject to confirmation by or on behalf of the Committee of Senate of Lancaster University. In the case of students having completed a University of Central Lancashire award, the revised decision will be subject to confirmation by or on behalf of the Academic Board of the University of Central Lancashire.

3.4 Stage 3 - Appeal referred to Appeals Panel

3.4.1 Where there are valid circumstances for appeal under section 1.3.1 above but the Chair of the Appeals Panel is unable to uphold the appeal on the basis of the evidence provided, the Appeals Panel will be convened, usually within 15 working days of the Chair's decision. The Secretary to the Panel may be asked to acquire further information to enable proper consideration of the case.

- 3.4.2 The Appeals Panel will be chaired by a Dean or Associate Dean, as nominated for each FAB and will consist of one Head of School or Head of Division/Directorate or Associate Head of Division/Directorate and one member of academic staff who is a member of the Academic Board. The Chair and members of the Panel will have played no part in the assessment of the student.
- 3.4.3 The student will be invited to attend the meeting of the Appeals Panel. The membership of the Panel will be notified to the student, who will have the right of veto in advance if good reason is proved. The appellant may be accompanied by a friend, (who will normally be a member of the University), the identity and standing of whom must be notified to the Secretary at least **five** working days before the Panel meets. The Appeals Panel procedures are internal to the University. There are sources of help described in section 7 below. On exhaustion of the appeals procedures available to the student there is recourse to external review via the Office for the Independent Adjudicator (OIA). External legal assistance is not usually appropriate, but if the student chooses to be accompanied by a qualified professional, the University reserves the right to employ a person of similar standing.
- 3.4.4 All documentary evidence which the student wishes to provide must be placed with the Secretary of the Appeals Panel at least **five** working days before the meeting of that Committee. If the nature of the appeal is based on medical grounds, then appropriate documentation **must** be provided.
- 3.4.5 The student or the Panel may indicate that they will be calling witnesses. The identity and standing of the witnesses must be notified to the Secretary at least **five** working days before the Panel meets.
- 3.4.6 The Head(s) of each Division/ School or the Associate Head(s) of each Division/ School (as Chairs of the MAB) of the student, or their nominee(s), will attend the Appeals Panel meeting to supply evidence to the Panel.
- 3.4.7 If the student is unable to attend the meeting of the Appeals Panel for unavoidable reasons and the circumstances are reasonable, the date of the Panel hearing shall be **deferred**. Only one deferral will be possible.
- 3.4.8 Where the student is seriously incapacitated s/he may send a **proxy** to speak to the appeal on his/her behalf.
- 3.4.9 If the student **chooses voluntarily not to attend the appeal hearing**, or to send a proxy, the Appeals Panel will continue to hear the case, including the evidence from the Board of Examiners.

3.5 Conduct of the Appeals Panel

- 3.5.1 All parties of the appeal will hear all of the proceedings. No part, except the deliberation by the panel, will be conducted in private.
- 3.5.2 At the meeting of the Appeals Panel, the Chair will invite the student or his/her friend to present the case. When the case has been presented the appellant may be questioned by members of the Panel.
- 3.5.3 Representatives of the MAB will be invited to present evidence and may be questioned by members of the Panel.
- 3.5.4 Witnesses may be called. They may be questioned by members of the Panel and, through the Chair, by the student (or the person acting for the student) and by the representatives of the MAB.

- 3.5.5 The student (or the person acting for the student) may, through the Chair, question the representatives of the MAB and the representatives of the Division/School may, through the Chair, question the student.
- 3.5.6 When the Chair of the Appeals Panel is satisfied that the case has been fully and properly heard, s/he will invite the Division/School and the student (or the person acting for the student) to sum up. The student, and any person accompanying the student, all witnesses and representatives of the department(s) will then withdraw from the meeting while the Panel deliberates.
- 3.5.7 All parties will remain available for further questioning, if found necessary.
- 3.5.8 The findings of the Appeals Panel may be either to dismiss the appeal or to uphold the appeal and refer the case back to the FAB (See section 3.5.10 below).
- 3.5.9 The student shall be notified of the findings of the Appeals Panel in writing as soon as possible and usually within **two** working days after the decision of the Panel. A written report of the meeting will be compiled.
- 3.5.10 Where the appeal is upheld the findings will be referred to the Chair of the FAB, with a recommendation for an appropriate adjustment to the original decision of the Board. The Chair of the FAB will consult with the Chairs of the relevant MABs (and the External Examiner(s) for Part II) to agree a revised assessment outcome. In the case of students having completed a Lancaster University award, the revised decision will be subject to confirmation by or on behalf of the Committee of Senate of Lancaster University. In the case of students having completed a University of Central Lancashire award, the revised decision will be subject to confirmation by or on behalf of the Academic Board of the University of Central Lancashire.

4. APPEAL TO THE VICE-CHANCELLOR

A student who has made representations unsuccessfully shall have the final right of appeal to the Vice Chancellor of the awarding Institution (UoC, LU, UCLAN). The appeal must be made in writing and must be received within 28 days of the date of the decision to reject the appeal.

The Vice-Chancellor (or nominee) will rule on whether there are grounds to hear the appeal. If an appeal has been rejected without the student appearing before an Appeals Panel, the VC may use his/her discretion to require such a hearing.

In hearing the final appeal, the Vice-Chancellor (or nominee) shall see the student and the Chair of the FAB. The student may be accompanied by a friend or representative.

In hearing the final appeal, the Vice-Chancellor (or nominee) will provide for both student and the Chair of the Assessment Board to present their case and to ask questions.

The Vice-Chancellor shall have available all the documentation submitted to the Appeals Panel. She/he may call for further information or speak to other parties as she/he feels appropriate.

The procedure will be as follow:

- i. The Chair of the FAB states the position and reasons for the decision;
- ii. The student presents his/her case
- iii. Questions from the Vice-Chancellor (or nominee) and/or the student/Chair of the FAB
- iv. The Chair of the FAB's final comments
- v. Student's final comments
- vi. The Vice-Chancellor (or nominee) determines the outcome of the Appeal

The decision of the Vice-Chancellor (or nominee) is given verbally to all parties and is final.

If the Vice-Chancellor (or nominee) does not uphold the student's appeal then the decision of the FAB is confirmed and the student has no further right of appeal.

If the Vice-Chancellor (or nominee) upholds a student's appeal, the matter will be referred back to the Chair of FAB for reconsideration, as in 3.5.10 above. In the case of procedural or other irregularity the Vice-Chancellor (or nominee) may take specific action on behalf of the Academic Board to amend the decision of the Assessment Board and make alternative arrangements for the assessment of the student.

All parties will be informed of the outcome of the appeal in writing within seven working days of the hearing.

5. INDEPENDENT EXTERNAL REVIEW

Students who are not successful through the Appeals Procedure may pursue their case through independent review. Upon completion of the final stage of the procedures* the student will be provided with a Completion of Procedures letter advising that he/she may pursue the matter further by submitting a Scheme Application form to the Office of the Independent Adjudicator (OIA) (www.oiahe.org.uk). This must be submitted within three months of the date of the Completion of Procedures letter.

(* The final stage of the procedures will be taken to be the date of the last communication to the student from the Secretary to the Appeals Panel plus 28 days, or the date of the notification of the outcome of the appeal to the Vice Chancellor of the Awarding Institution. A Completion of Procedures letter will be sent at this point.)

6. RESEARCH STUDENTS

Appeals in respect of research students will be dealt with under Lancaster University procedures for research degrees. Advice on making an appeal (or a complaint) will be available from the Dean of Research or the Research Office.

7. SOURCES OF ADVICE AND GUIDANCE

Students may seek impartial support and guidance from

- Student Administration (how the appeals process is operated)
 - Student Development and Advisory Service
 - Students Union
 - Personal Academic Tutor
 - professional associations or trade unions
- } for guidance and support
with making the appeal

Access to sources of help may be in person, by telephone or by email. Contacts are published on the University website (www.cumbria.ac.uk)

8. RELATIONSHIP WITH OTHER PROCEDURES

There are separate complaints procedures, and there is a separate University policy on harassment. Issues under appeals and complaints processes are kept separate to avoid confusion of outcomes. However, in cases where an appeal is contingent on the outcome of a complaint, the complaint should be resolved first.

9. FINANCIAL CONSEQUENCES OF ACTION UNDER THE APPLICATION OF THESE PROCEDURES FOR APPEAL

The University will meet reasonable and proportionate incidental expenses necessarily incurred by an appellant. Students may submit claims on notification of the outcome of the appeal being upheld. These will be processed as soon as possible.

10. MONITORING AND REVIEW PROCESS

All appeals will be monitored and reviewed through the University's Academic Standards Committee and Academic Board.

This document will be subject to periodic review in three years.

11. Status of a Student during an Appeal

A student whose case is under consideration via an internal appeal shall have the right to continue with his/her course (provided that she/he is not in debt to the University) until such time as a decision has been reached. This right is designed solely to ensure that a student whose appeal is upheld is not academically disadvantaged and it shall not be interpreted as acceptance of a failed student on a subsequent stage of the course.

UNIVERSITY of CUMBRIA ACADEMIC PROCEDURES AND PROCESSES

APPENDIX 6

Procedure for the award of Credit for Prior Learning (APL)

This section should be read in conjunction with the Academic Regulations C7 (Accreditation of Prior Learning) and E4 (Advanced Entry).

2 Credit Exemption Allowances

2.1

Award type	Min credit requirement	Max APL allowance
Postgraduate Awards		
1. Masters (Taught) (MA; MEd; MSc; MBA; LLM)	180	120
2. Postgraduate Diploma (PGDip)	120	60
3. Postgraduate Certificate (PG Cert) (including PgCE)	60	40
Graduate Awards		
4. Extended Graduate Diploma	180	60
5. Graduate Diploma (including PGCE)	120	60
6. Graduate Certificate	60	20 (UoC)
Undergraduate Awards		
7. Honours Degree (BA; BSc; BEng; LLB (Hons))	360	240
8. Ordinary Degree (BA; BSc; BEng; LLB)	300	200
9. Top-up Degree (Hons)	120	60 (UoC)
10. Foundation Degree (FdA; FdSc; FdTech)	240	160
11. Diploma of Higher Education (Dip HE)	240	160
12. Diploma in Professional Studies	240	160
13. Certificate of Higher Education (Cert HE)	120	80
14. Foundation Certificate	120	80
Other Awards		
15. University Advanced Diploma	60	20 (UoC)
16. University Diploma	60	20 (UoC)
17. University Certificate	60	20 (UoC)
18. University Award	No APL permitted	

Exceptions: In the case of specialised programmes which are governed by the standards and competences of a professional body the above APL limits may be superseded by specific entry requirements set out in the validation document for the programme.

2.2 APL Exemption Transfer at Level 6

1.2.1 Undergraduate Degree Programmes

Recognition of APL and credit exemption is embedded in the classification regulations governing first degrees. All Level 6 modules must contribute to the classification of the honours degree. Accordingly accreditation of certification from other institutions is not permitted at this level.

1.2.2 Where a student has undertaken individual UoC Level 6 modules on a free-standing basis, **graded** credit (eg the credit and the mark) may be transferred into the degree or award profile, and may contribute to the classification of the degree providing that:

- the modules are also part of the UoC validated scheme into which the transfer is to be made, and there is no conflict with the regulations in Section 5 or 4.2.5
- the modules have not been used to contribute to any other UoC Major award, and
- the module learning is still current (within the last 5 years, or as approved as current by the Module Assessment Board and
- the credit value of the module(s) so transferred does not exceed half the number of credits for the award into which the credit is being transferred, and
- APL accreditation at L6 is normally approved prior to commencement of the level.

1.2.3 Where a student transfers from one scheme to another within the university, relevant module credit and marks may be transferred to the new programme, where appropriate. Such transfer must be approved by either the AP(E)L Subcommittee, or the Faculty Assessment Board.

2 **Application for Credit**

2.1 Students are permitted to apply for APL exemption at any time during the course of the award providing the credit limits have not been exceeded and shall be subject to Academic Regulation C7.5.5.

2.2 Retrospective claims for APL from students who are no longer registered for a University award will not be considered.

2.3 Claims must be made in English. Any certificated evidence from another language medium must be provided in the original format and with a translated copy. Both the original language and translated copies must be authenticated by the issuing institution and signed by its senior academic officer. It is the student's responsibility to provide such evidence and to bear the cost of this process.

2.4 Application Process

2.4.1 Students shall be notified of APL arrangements at the time of enquiry for the course either personally or via the published admissions literature, and shall be sent details of the APL application procedure as part of the admissions process where appropriate. It is the student's responsibility to apply for APL and all claims must be appropriately evidenced and forwarded to the College APL Officer in Admissions and Enquiries. A Student Guide to APL is available from the APL Officer.

2.4.2 Students who apply for APEL are required to either attend a workshop or a tutorial with a Faculty APL Co-ordinator. Thereafter they must prepare a portfolio proposal application, which must be approved by the Chair of FAB, and a learning contract will be devised by the Faculty APL Co-ordinator.

- 2.4.3 APL claims may be made either on admission or during the course and must be made via the University's APL Procedures and if non standard, approved by the APL Sub-Committee of the Faculty Assessment Boards. The process is described in the flow chart in Attachment 1 at the end of this document.
- 2.4.4 Provisional decisions on non-standard cases may be taken by the Chair of the APL Subcommittee where necessary in consultation with the Chair of the relevant FAB and notified to students as such. Any such cases will be presented for full approval to the next meeting of the APL Sub-Committee.

3 Assessment of APL

- 3.1 APCL will be accepted per se from British HEIs. ECTS and US credits will be accepted as set out in relevant policies.
- 3.2 Learning which is to be accredited should have been undertaken within the last five years at the point of application for the APL. Where the learning being presented for exemption or admission purposes is more than five years old the candidate must provide a written **Statement of Currency** to show how s/he has kept the learning up to date. Learning over 7 years old will not normally be considered.
- 3.3 AP(E)L Portfolios will be assessed by two internal assessors and are subject to scrutiny by external examiners, as for other assessed learning.
- 3.4 Appeals will be considered under the Academic Appeals Procedures.
- 3.5 Assessment Process
- 3.5.1 The assessment of claims will be undertaken by academic staff who teach on the modules/programmes against which accreditation is being sought, with the support of the FAC. Staff undertaking the assessment of claims will receive appropriate training. A Staff Guide to the assessment of portfolios is available from the APL Officer. Standard claims are processed by the APL Officer and ratified at FAB.
- 3.5.2 APEL may be evidenced via portfolios, interviews, vivas, auditions, artefacts, diagnostic assessments etc. The criteria for assessment will include consideration of validity, reliability, sufficiency, currency and authenticity. The APL Subcommittee will be advised as to the relevance and currency of the learning by the Course Tutor and the Faculty APL Co-ordinator.

4 Quality Assurance Processes

- 4.1 Regulations, procedures and policy development in respect of APL will be considered via the Academic Regulations Subcommittee (ARSC) and the Academic Standards Committee (ASC) in line with arrangements for other regulatory and standards issues.
- 4.2 To maintain standards, parity and consistency non-standard claims for APL credit are processed via the central APL Subcommittee.
- 4.3 All necessary actions to ensure that the student's claim has been appropriately actioned are the responsibility of the APL Officer.
- 4.4 All APL exemptions and transfers are recorded on the SITS database by the APL Officer, and are presented to the Faculty Assessment Boards via the assessment process. Non-standard APL academic profiles will be considered by the Academic Board Review Committee.

- 4.5 The progress and performance of successful APL claimants will be monitored as part of the assessment and quality assurance processes.
- 4.6 Student feedback will be collected as part of student satisfaction surveys.

5 Roles

5.1 APL Subcommittee

5.1.1 Membership

The APL Sub-Committee shall comprise:-

- Head of Student Administration Office
- Deans of Faculty/Chairs of FABs (5)
- Faculty Link APL Tutors (5)
- Course leaders (as appropriate)
- Members of the Student Administration Office (as appropriate)
- Secretary, APL Officer, MRER

5.1.2 Functions

The functions of the APL Subcommittee are:

- To consider and approve individual non-standard claims for credit exemption or credit transfer under the University APL Regulations
- To recommend policy and regulatory change to ARSC for consideration.

5.2 Faculty APL Co-ordinator (FAC)

The role of the FAC is:

- To promote understanding of APL concepts, regulations and procedures within the Faculty
- To offer guidance and support to academic staff on APL issues in relation to the validation of programmes, APL regulations, the assessment of APEL portfolios, the evaluation of credit of external programmes.
- To offer APEL portfolio workshops and/or to provide individual advice and guidance to students on the preparation of portfolios
- To draw up learning contracts for portfolio development.
- To monitor the progress of APL students.
- To offer initial advice re non standard entrants
- To provide a link with the APL Officer.
- To be a member of the APL Subcommittee.

5.3 APL Officer

The role of the APL Officer is to:

- Act as the first point of contact for initial enquiries
- To provide information on process, portfolio guidelines, APL application procedures
- To administer and manage all applications for APL, including all necessary correspondence, certificate checking, offer letters to students
- To record APL on the central computer database, and to ensure all necessary actions are undertaken, tracking the outcome of all APL claims.
- To liaise with FAC tutors and course/module tutors as appropriate
- To provide the secretariat and undertake all necessary preparation for the APL subcommittee.

6 Fees

The University will not charge fees for the assessment of (APCL) the accreditation of prior certificated learning but will charge an agreed fee, established and published on an annual basis, for the assessment of prior experiential learning (APEL).

GLOSSARY

APL	Assessment of Prior Learning A generic term to cover all forms of the assessment of prior learning.
APCL	Assessment of Prior Certificated Learning Previously assessed and credit rated learning is considered and recognised for purposes of allowing either credit transfer into or credit exemption from an academic programme of study.
APEL	Assessment of Prior Experiential Learning As APCL, but the learning achieved and evidenced is usually gained outside academic education or training systems. It may take the form of work based learning or experience or life skills, and commonly includes non-credit rated in-house training.
FAC	Faculty APL Co-ordinator A designated tutor within each Faculty who takes specific responsibility for APL issues, attending the APL Subcommittee as a full member and advising and guiding staff and students on the APL processes and procedures.
APL Officer	A designated administrator in Admissions and Enquiries with specific responsibility for the management and processing of APL claims.
APL Subcommittee	A subcommittee of the Faculty Assessment Boards, which considers and ratifies claims for non-standard APL.
ABRC	The Academic Board Review Committee is empowered to exercise the authority of the full Academic Board to approve or withhold a specified award on a particular individual. These powers shall be exercised in respect of the approval of non-standard academic profiles (internal transfers, non-standard APL cases).

UNIVERSITY OF CUMBRIA: Process for the Accreditation of Prior Learning (APL)

This chart outlines the process for seeking Accreditation of Certificated Prior Learning – APCL (e.g. awards already granted, or formally accredited courses such as Open University modules) and the Accreditation of Prior Experiential Learning (APEL) (e.g. work experience, general interests, leisure activities, voluntary activities, life experience, Professional activities)

