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YORK  
ST JOHN  
UNIVERSITY

# Code of Practice for Assessment and Academic-related Matters

Assessment and academic-related guidance, policies and  
procedures for taught programmes and modules

2025-26



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## Section 1 Introduction

### 1.1 Purpose

- 1.1.1 The 'Code of Practice for Assessment and Academic-Related Matters' is designed to bring together all matters related to the process of assessment. This should be read alongside the York St John University [Regulations](#) and [programme specifications](#). Its purpose is to make explicit the University's expectations of conduct and procedures for assessment and other academic-related matters.
- 1.1.2 This code outlines the principles, processes, general rules and conventions relating to assessment and academic-related matters.
- 1.1.3 This code is updated on an annual basis.
- 1.1.4 The Quality and Standards Committee is responsible for approval of changes to this code.

### 1.2 Scope

- 1.2.1 This code applies to students enrolled on programmes for assessment delivered in whole by the University, or in whole or part by a franchise partner institution (franchise provision) or by a partner institution (validated provision) unless otherwise stated.
- 1.2.2 It applies to all taught modules:
- Whether freestanding modules for credit or as part of a programme of study leading to an award.
  - Whether delivered in whole by the University (on campus, distance, and online provision), or in whole or part by a franchise partner institution (franchise provision), or in whole or part by a partner institution (validated provision).
  - Including taught components that sit within research degrees (Professional Doctorates and Research Masters programmes).
- 1.2.3 Where this code does not apply to franchise or validated provision it is expressly stated within the policy text.
- 1.2.4 This code does apply to Master of Research degrees, including the research components. It does not apply to research components of other research degrees which fall under the scope of the [Code of Practice for Research Degrees](#), except for the following sections which do apply to research components:
- [Section 6](#) Student maternity, paternity, adoption and parental leave
  - [Section 50](#) Contingency plans for staff shortages that impact on assessment and examinations
  - [Section 48](#) Appeals: policy and procedure
- 1.2.5 Students are bound by the University policies and regulations that are in force for the current academic year. This edition of the Code of Practice for Assessment and Academic-Related Matters is the definitive guide to all assessment related policies and replaces all earlier versions.

### 1.3 Audience

- 1.3.1 This code is made available to all university staff, external examiners and students.

### 1.4 Update summary

- 1.4.1 A record of updates is stored in [Appendix C](#).

## Section 2 Governing principles

- 2.1.1 This section sets out the key principles that underpin the University's programmes of study. More detail on the design principles for programmes at the University can be found in the [Academic Framework](#). More detail on key dates within the academic year can be found on the [Key Academic Dates](#) page.
- 2.1.2 The language of instruction and assessment for all taught programmes of study of York St John University is English except where the subject content dictates that a part of the programme is delivered in a language other than English. Where this applies this is stated on the programme specification.
- 2.1.3 The maximum mark that can be achieved for a reassessed module is normally the pass mark, except for modules with qualifying marks where the original module mark is awarded on successful completion of the deficient work (refer to [section 30.1.17](#)).
- 2.1.4 The University marking scales can be found in [section 30.2](#).
- 2.1.5 'Generic Assessment Descriptors' have been designed to meet the classification descriptors from the Office for Students (Sector Recognised Standards; Part B) along with student facing materials for self-evaluation. Additional knowledge, skills and competencies are expected to be included within programmes.
- 2.1.6 Marks will be recorded with grade annotators (refer to [Appendix A](#)).
- 2.1.7 Credits awarded or recognised by the University may count only once for the purpose of progression and award. Work submitted for one module may not be submitted for assessment in another module.
- 2.1.8 Students may not normally take more than the standard credit load for their programme. Any exceptions to this need approval from the Academic Registrar. Where it is approved that extra credits are taken, these are considered freestanding modules and do not contribute to progression or award requirements or to the programme transcript.
- 2.1.9 All students are expected to undertake the assessment as outlined in the module specification unless they have been formally notified otherwise by their programme team. Students requiring reasonable adjustments due to a disability or specific learning need in accordance with the Equality Act 2010, should follow the process details in [section 10](#).
- 2.1.10 Students who complete a programme of study within the standard timeframe will be subject to the broad principles of assessment that were in place at the time they began the programme unless changes are considered and approved through the University's programme amendment procedures. Where students have returned from suspension of studies or have studied part time for part of the programme to retrieve failed modules, the broad principles of assessment may have changed.
- 2.1.11 Students who have been asked to attend a meeting can, where stated, choose to be accompanied by a supporter at the meeting. This person should be a current member of staff, a current registered student at the University, or a Students' Union representative. The supporter's role is to observe and provide moral support. Where a meeting is held within the first 3 months of the student's studies and supportive links may not have been established, alternative supporters may be possible. Approval should be sought from the Academic Registrar or their delegate regarding this.
- 2.1.12 Any variation in the assessment scheme described in module documentation available to students at the time module choices were made constitutes a 'minor' module modification and must be approved by the Programme Amendment Scrutiny Panel (PASP). Similarly, any variation in the assessment regulations for a programme of study for students currently enrolled on that programme must be approved by PASP.
- 2.1.13 Requests for such modifications will normally be approved only if the School can provide evidence, including consultation with students, that no student on the module will be disadvantaged by the change. Where necessary, requests may be considered by the Quality and Standards Committee.
- 2.1.14 The University will ensure that each programme has an articulated rationale and strategy for assessment which will:
- Be appropriate to the learning outcomes.
  - Deploy a range of modes of assessment appropriate to the subject matter.
  - Provide an appropriate load and scheduling of assessments to support student attainment.
  - Align with those of a professional or statutory body where applicable.
  - Be designed to ensure the work can be determined to be the student's own.

- 2.1.15 Information on assessment requirements will be notified to students through the relevant module documentation annually.
- 2.1.16 For each programme a substantial proportion of assessed work will be available to external examiners, whether written or oral. Consideration must be given to how all forms of assessed work can be made available to external examiners.
- 2.1.17 Assessment criteria for a new programme of study will be in place and be aligned to threshold standards and subject benchmarks. They may reflect different modes of assessment. Subject-area and programme assessment criteria will be set with reference to the University marking guidelines.

## Section 3 Change of programme policy and procedure

### 3.1 Policy

- 3.1.1 Students may apply to change programme but there is no automatic right to do so. Considerations in assessing the application include:
- The University's 'Recognition of Prior Learning Policy' (refer to [Admissions Policy](#)).
  - Entry requirements for the programme to which the student wishes to transfer.
  - Programme requirements, including any non-compensable modules.
  - Resource implications.
  - The programme structure and the timing of modules, for example, yearlong versus semester modules.
  - Visa implications.
  - The capacity of the receiving programme.
- 3.1.2 This policy applies for all types of change of programme, for example:
- Change from full time mode of attendance to part time (or vice versa).
  - Change from BA (QTS) to BA programme without QTS.
  - Change of age range in BA (QTS) or PGCE.
  - Change of type of BA/BSc degree scheme (for example, joint to single).
  - Change from a programme 'with placement' or 'with a year in industry' to a programme without 'placement' or 'year in industry' (or vice versa).
  - Change from a Bachelor's programme to an Integrated Master's programme (or vice versa).
- 3.1.3 Where a student is studying part time to retrieve failed modules (refer to [section 31.9](#)), this policy does not apply.
- 3.1.4 Changes should be made at an appropriate point in the academic year (for example, around the start or end of a semester). Authorisation for a change of programme should normally be received **by the end of study week 2 in which the programme is taught**.
- 3.1.5 The request requires the approval of the following before it can be processed:
- Associate Head/Dean of School or nominated representative – current programme.
  - Associate Head/Dean of School or nominated representative – new programme.
  - Registry – for consideration of the regulations.

### 3.2 Student visa holders

- 3.2.1 For student-visa holders adding a placement year to a programme will require an in-UK visa extension; processes for this must be taken into consideration.
- 3.2.2 For student-visa holders removing a placement year will be reported to UK Visa and Immigration (UKVI) as a change of circumstances in the first instance, and then when the student has finished the shortened programme, it will be reported to UKVI as 'early completion'.

### 3.3 Programme change procedure

- 3.3.1 Please note that programmes delivered at validated institutions may follow a different procedure, which will be set out in the programme documentation.
- 3.3.2 A student wishing to change programme must complete the online 'Change of Programme' form through their e:Vision account. The necessary approvals from both the current and new Associate Head/Dean of School or their representatives must be obtained. For more information, please visit our [changing course page](#).
- 3.3.3 The Associate Head/Dean of School, or their representative, for the new programme must confirm the student has met the new programme's entry requirements by demonstrating how the student has met the programme level outcomes for the proposed new programme through modules already completed at the University.

- 3.3.4 Care must be taken to avoid a change of programme where modules are transferred into the new programme, that subsequently mean the programme learning outcomes are not met.
- 3.3.5 The Associate Head/Dean of School for the new programme, or their representative, must be explicit when completing the online form if any modules from the previous programme are to remain on the student record. The information provided on the online form will be used to update the student's record to indicate which modules will be used in progression and award calculations.
- 3.3.6 While the change of programme is being considered students should continue to attend classes and submit assessments for their initial programme. The exception to this is where a student has chosen to suspend their studies.
- 3.3.7 Where the timing of a change of programme results in a student transferring mid-year and this has meant they are unable to complete a non-compensable module the School should refer the change of programme to the Special Cases Panel (refer to [section 3.5](#) Variation of Study for an Individual Student).
- 3.3.8 If the change of programme is proposed at the end of the level the modules to be completed during the next level of study must be detailed on the online form. In the event of changing programme mid-level, the modules that must be completed by the student during the remainder of the level must be specified on the online form by the new Associate Head/Dean of School. Advice should be sought from the Student Records team or Assessment team in Registry by the Associate Head/Dean of School prior to authorising the online form if the student is changing mid-year to or from a programme with yearlong modules.
- 3.3.9 Changing programme or mode of attendance can have implications for a student's funding. Students are required to obtain confirmation from the Student Funding Advice team that they have been informed of the funding implications. It is the sole responsibility of the student to check the funding implications before they confirm this on their change of programme application.
- 3.3.10 The online form must normally be fully completed, authorised, and received by the Student Records team in Registry **by the end of study week 2 in which the programme is taught**.
- 3.3.11 The student and Schools are informed of an approved change of programme by email from the Student Records team in Registry.

### 3.4 Late changes of programme: policy and procedures

- 3.4.1 If it has been agreed with the Associate Heads/Deans of Schools, or their representatives, that a change of programme can occur **after week 2** this would be considered a late change of programme. In such circumstances the student must make a declaration on the 'Change of Programme' online form that they understand the implications of this late change.
- 3.4.2 Students must understand and appreciate the implications of changing a programme after the week 2 deadline and accept the academic outcome of doing so. Students **cannot use** this late change of a programme as subsequent grounds for an appeal or exceptional circumstances following poor performance in assessments or for grounds for an extension.
- 3.4.3 Associate Heads/Deans of Schools or their representatives for the subject-areas of the programmes concerned will confirm on the Change of Programme online form that the student has received advice and support on meeting assignment deadlines due to the late change of programme. The application for the change will be declined if there will be academic implications of changing programme after the week 2 deadline.

### 3.5 Variation of study for an individual student

- 3.5.1 Variation of study takes place where an individual student varies their modules or study pattern from the published [programme specification](#).
- 3.5.2 In cases where several students seek the same variation of study the School Quality Panel (SQP) and Programme/Course Lead are advised to consider a change to the programme structure and requirements that will be applied to all students. Variation from the programme specification that will apply to a whole cohort must be approved by the SQP and the Programme Amendment Scrutiny Panel (PASP).
- 3.5.3 Variation from the programme specification for an individual student may be considered in exceptional circumstances. If required, a recommendation from the SQP should be made to the Special Cases Panel (SCP) for consideration.
- 3.5.4 Examples include:
  - Following a programme differently to the usual validated pattern, including studying modules out of sequence, particularly if there is a change in level of study.
  - Exemption from non-compensable modules.

- 3.5.5 The SQP can approve the following changes for an individual student without PASP or SCP approval.
- Alternative assessments (refer to [section 11](#))
  - Independent Learning Unit (refer to [section 12](#))
- 3.5.6 When making a recommendation to SCP for a variation for an individual student, the SQP should consider the following:
- Equity for all students, in that it is appropriate to make an exception for this student, as other students may also wish to have this arrangement.
  - A student should not be given an unfair advantage through the variation over other students enrolled on the programme.
  - Professional, Statutory and Regulatory Body (PSRB) compliance.
  - Timing of teaching and assessments, and if modules have prerequisite modules that must be taken.
  - Student workload.
  - That all the programme learning outcomes are still being met.
- 3.5.7 If approved SCP will notify the relevant Registry teams and School to ensure changes to the student's record are recorded, for example, module diets, expected programme end dates, mode of attendance changes.

## Section 4 Module enrolment and module changes policy and procedure

### 4.1 Policy

- 4.1.1 Associate Heads/Deans of School, or nominated representative, are asked to confirm the diet of modules which will be available in the following academic year in Winter (November to January) of the year prior to this.
- 4.1.2 Continuing students will make module choices in Semester 2 for the next academic year. Students will be contacted by email when the module choices section is available on e:Vision.
- 4.1.3 Students will be guided in this process by their Associate Head/Dean of School or Programme/Course Lead, who will be responsible for ensuring the student module choices are made through e:Vision by the agreed date and time.
- 4.1.4 The expected minimum size for a module cohort is normally 10 students (undergraduate) and 8 students (taught postgraduate). These expected minimum module cohort sizes may impact the range of module choices available to students.
- 4.1.5 New students will enrol for modules appropriate to their programme of study in welcome week. For new students the Associate Head/Dean of School, or nominated representative, will ensure students are provided with advice on their first-year module choices during welcome week including information on module content.
- 4.1.6 Returning students can view their module preferences through e:Vision along with their re-enrolment information. Where a student wishes to change a module choice, they must use the 'Request for a Module Change Procedure' set out in [section 4.2](#) below. Students may request a change of module **no later than the end of week 2 of the semester**. Module changes must be reported to Registry by **no later than week 3 of the semester**. There is no guarantee that a request to change a module will be approved. Module changes will only be approved where these do not impact:
- The published timetable; **and**
  - The ability to meet the expected minimum module cohort sizes.
- 4.1.7 Where a student is absent from a module the attendance procedures should be followed. For more information, please visit our following pages:
- [University Regulations](#)
  - [Attendance monitoring](#)
- 4.1.8 It is essential that a student reports to the Student Records team in Registry if they are not on a module attendance list and should be. It is also essential that a student takes responsibility to complete a 'Change of Module' online form, if the student wishes to move from the list of modules agreed at enrolment.

### 4.2 Module change procedure

- 4.2.1 When a student wishes to change a module, they must complete the 'Request a change of module' online form via e:Vision. A module can only be changed if:
- The module is listed as an option on the programme specification for the student's current programme and level; **and**
  - The change will not impact the published timetable; **and**
  - The change does not impact the ability to meet the expected minimum module cohort sizes.
- The online form must be completed showing the module to be removed and the module to be substituted. For more information, please visit our pages:
- [Changing modules](#)
  - [Programme specifications](#)
- 4.2.2 The authorised online form must be submitted to the Student Records team in Registry by the deadline set, where it will be checked and actioned as appropriate. A request to change module will only be approved and actioned if the criteria set out in [section 4.2.1](#) is satisfied.



### **4.3 Late changes of module: policy and procedures**

- 4.3.1 Late changes of module (beyond the end of week 2 of the semester) are not normally allowed. These can only be approved in exceptional circumstances by the Academic Registrar, or nominee, following consultation with the Associate Head/Dean of School, or Programme/Course Lead, and the Timetabling team.
- 4.3.2 If a late change is approved students may be asked to confirm that they understand the possible implications of a late change and that this cannot be used to mitigate any poor academic performance in that module.

### **4.4 Enrolment for Independent Learning Units (ILUs) and internships**

- 4.4.1 In some cases, 'Validated ILUs' and internships form a prescribed part of a programme of study and enrolment will follow the normal module enrolment pattern. School arrangements will apply for approval of the content of the ILU.
- 4.4.2 Where a decision is taken in consultation with the Associate Head/Dean of School or nominated representative to substitute a 'Special ILU' for a normal component of the programme, the module change procedure described above, and the ILU processes must be used to inform Registry. For further information on the approval of 'Special ILUs' refer to [section 12](#).

### **4.5 Freestanding module enrolment**

- 4.5.1 Students enrolled to study modules on a freestanding basis, for example, language modules, cannot use the credit to contribute towards their programme of study or to offset failure on their programme.

## Section 5 Suspension of study policy for taught degrees

### 5.1 Overview and criteria

- 5.1.1 This policy and procedure apply to undergraduate, graduate, taught postgraduate students, and postgraduate research students in the taught stage of their studies. The procedure for suspension for research students in any research stage is set out in the [Code of Practice for Research Degrees](#).
- 5.1.2 The University understands that there are some situations where it may be appropriate for a student to suspend their studies allowing a student to take an authorised break in their studies for a specified period. This decision requires approval and is normally given on the following grounds:
- Medical.
  - Compelling personal reasons.
  - Academic reasons.
  - Compelling financial reasons.
  - Pregnancy, maternity, and parental leave – for suspensions on these grounds also refer to [section 6](#).
- 5.1.3 Evidence is not normally required if the student's suspension does not recommend repeat teaching and/or module results to be set aside (voided). However, a personal statement must be provided to explain the reasons for suspension.
- 5.1.4 Evidence is required for applications to suspend studies that recommend repeat teaching, repeat placements and/or for module results to be set aside.
- a) Evidence includes, but is not limited to: a doctor's note, hospital letter or other qualified health practitioner's letter; a formal letter of explanation and statement from the student's academic tutor or Course Lead; bank statement/letter; supporting statement from the Disability Support and Inclusion team; funding body correspondence.
  - b) Evidence should relate to the reason selected for the suspension request.
  - c) Supporting evidence should be provided in English. Where the original document is in another language, the student must provide both the original document and a translation into English. Normally this need not be a professional translation – students may provide their own translation. Students can expect the University to check the accuracy of their translation. Student Visa holders must supply a professional translation of their evidence as this will be required for visa purposes.
  - d) Applications may be referred to the Special Cases Panel where evidence is required but has not been provided.
- 5.1.5 Students should bear in mind that if they do suspend their studies, the programme to which they return may be different in some respects from their original programme. The University may make changes arising from academic review, staff changes, external requirements, or resource constraints (refer to [section 2.1.10](#)). A programme will not normally be withdrawn at this point, but if it is necessary to do so, the University will make reasonable effort to help students to join a suitable alternative programme.

### 5.2 Temporary authorised absence

- 5.2.1 If a student needs a short period of absence from their studies of **less than 4 weeks** during term-time, the Associate Head/Dean of School may be able to authorise this. The student and their Associate Head/Dean of School must agree that the absence will not have any significant impact upon their studies. Students are advised to discuss arrangements relating to teaching sessions and other commitments. Students should refer to the 'Exceptional Circumstances Policy' (refer to [section 13](#)) regarding their eligibility for applying for extensions for assessments. Typical reasons for authorised absence include short periods of illness and personal difficulties. For further information relating to short periods of maternity/paternity leave refer to [section 6](#).
- 5.2.2 Students who are sponsored by the University under the Student Visa Route must be aware of and always adhere to the requirements of their visa and UK immigration rules during their studies. Student Visa holders who need a short period of absence from their studies of **more than 3 days** during term-time must follow the relevant procedure and complete a term-time absence request form. The relevant Programme Administration and Support Service (PASS) team email should be contacted about such absences.

## 5.3 Timing and duration

- 5.3.1 The normal period of suspension of studies is **1 year** in the first instance; and is **limited to a maximum of 2 years** over the programme. In exceptional cases, where the programme structure permits, a suspension may be granted for a shorter period.
- 5.3.2 Including all periods of suspension (and programme extensions), students must still complete all study and assessments within **24 months** following the standard period of study for their programme (see [General Regulation 1.15](#)). For further information on parental leave refer to [section 6](#).
- 5.3.3 Where a suspension of studies is for 1 year, the expectation is that the student will return to their programme at the same point in the next academic year.
- 5.3.4 Students will not normally be allowed to repeat periods of study longer than half of a module's teaching, except in exceptional circumstances with approval by the Special Cases Panel.
- 5.3.5 Where possible, students should apply to suspend their studies before the proposed absence start date. Where this is unavoidable suspension of study applications should normally be made no more than 1 month after their last date of engagement. Applications that are entirely retrospective will not normally be considered.
- 5.3.6 Students cannot suspend their studies if they have completed all the teaching for the final year of studies. Students who have been unable to complete their programme's final assessments in the normal timescale due to exceptional circumstances may apply for a programme extension (refer to [section 14](#)). Examples where a suspension of studies is not permitted, and a programme extension should be applied for if extra time is required include:
- Students completing reassessments for their final assessments where they need an extension to the resit deadline.
  - Postgraduate students within 6 weeks of their expected end date.
  - Students whose expected end date has passed.

## 5.4 Suspension of studies by the University

- 5.4.1 Under certain circumstances, the University may require a student to suspend their studies.
- a) **Enforced suspension** – The relevant rules are set out regarding enforced suspension in the 'Support to Study' procedure (refer to [section 19](#)), the 'Fitness to Study' procedure (refer to [section 21](#)) and the [Discipline Procedure](#).
  - b) **External resit** – where a student is required to resit assessments externally prior to being eligible for progression; students in this position are not eligible to attend classes and will simply resubmit assignments and/or resit examinations. Students who are externally re-sitting are not formally suspended and have more access to university facilities as detailed in [section 5.8](#) below.
  - c) **Suspension prior to change of programme and/or programme restart** – where approval has been granted for a student to transfer from one programme to another or restart a programme at a time other than the end of the academic year. A student in Level 3 or Level 4 who suspends (either voluntarily or through enforced suspension), will be considered as 'restarting' their programme if they need to repeat substantial teaching and assessment, considered to be at least half the teaching, normally defined as a last attendance date in or after week 7 of the first semester. These timeline examples apply even if the student was not in attendance or is to return to another programme following a transfer. A student may only restart a programme once (refer to [section 31.10](#)).

A suspension with a recommendation to restart the programme at either Level 3 or Level 4, where more than 60 credits have been failed after reassessment, will be referred to the Special Cases Panel.

- If the student is re-joining the programme at the point where the suspension occurred, repeat teaching and assessment is usually not necessary and so this is not considered a programme restart (for example, suspending in January and re-joining the following January).
- If the suspension occurs early in the first semester (defined as before week 7), it will not involve substantial repeat teaching and so this is not considered a programme restart (for example, suspending in early November and returning the following September).
- If the suspension occurred in or after week 7 of the student's first semester, it would involve substantial repeat teaching and it will be considered a programme restart (for example, suspension started in January and returning the following September).

## 5.5 End date

- 5.5.1 When a voluntary suspension of studies is applied for by a student the end date used is considered as the last date the student:
- attended a teaching session; **or**
  - attended an examination / timed assessment; **or**
  - submitted an assessment (excluding resits)
- 5.5.2 The date of a meeting with the School, for example, a Support to Study meeting, is not used for end date for voluntary suspensions.
- 5.5.3 When an enforced suspension of studies is processed the student's end date is recorded as detailed in [section 5.5.1](#) above.
- 5.5.4 End dates will be checked for accuracy by the School and Student Records team in Registry.

## 5.6 Fees and finances

- 5.6.1 Before requesting a suspension of studies, it is important that the student understands the financial implications that this may have. For more information, please refer to our [Financial Implication Factsheets](#) for Suspension of Studies for full time study and part time study.

## 5.7 International student on a Student Visa

- 5.7.1 If an international student on a Student Visa suspends their studies their visa status in the UK may be affected. Suspensions of up to 60 days can be taken without reporting to the UK Visas and Immigration (UKVI) if there is documented evidence in place and the School and Registry panel approve the short suspension. The University will report longer suspensions of studies (above **60 days**) to the UKVI and the student will be required to leave the UK as their Student Visa will then be curtailed. For more advice on immigration issues please contact the Visa and Compliance team by submitting a case via the [Student Hub](#).

## 5.8 Access to University facilities

- 5.8.1 Students will still have access to some university IT systems and email, but will not have access to physical library facilities, during their period of suspension from the University. Access to other university support is not normally required and will therefore be restricted.
- 5.8.2 Under certain circumstances students on suspension may have their IT accounts frozen or access to certain systems may be withdrawn with authorisation from the University Secretary and Registrar, Academic Registrar or Head of Registry.
- 5.8.3 Students are not normally expected to study, attend any teaching, or submit assessments during their suspension of studies. The exceptions are:
- Students who are externally re-sitting an assessment(s) – under these circumstances, students shall be required to submit summative work and/or attend examinations; students may seek guidance from tutors in relation to their reassessments but not attend further teaching sessions.
  - Students who are required to complete an assessment(s) immediately after their return from suspension may seek guidance from tutors in relation to their assessment(s) in the weeks preceding their return from suspension.
- 5.8.4 During a suspension of studies, students may find it helpful to stay in contact with an appropriate person in their School such as their Programme/Course Lead and/or Academic Tutor. This is not compulsory, but it can offer a good point of contact upon their return. It is the student's responsibility to initiate and maintain this contact.

### 5.8.5 Summary of access to facilities while studies are suspended:

Access to	Entitlement	Notes
Teaching	No	
Study advice / supervision	No (except in exceptional circumstances)	Exceptional circumstances include: <ul style="list-style-type: none"> <li>Externally resitting students.</li> <li>The period of time immediately prior to return where a student has an assessment immediately after return.</li> </ul>
Email	Yes	Students are reminded to check their university email account regularly while their studies are suspended.
e:Vision	Yes	
Library (online and physical resources)	No (physical resources – except in exceptional circumstances) Yes (online)	Exceptional circumstances include: <ul style="list-style-type: none"> <li>Externally resitting students.</li> <li>The period of time immediately prior to return where a student has an assessment immediately after return.</li> </ul>
Moodle	No (except in exceptional circumstances)	Exceptional circumstances include: <ul style="list-style-type: none"> <li>Externally resitting students.</li> <li>The period of time immediately prior to return where a student has an assessment immediately after return.</li> </ul>
Disability support	No (except in exceptional circumstances)	Exceptional circumstances include: <ul style="list-style-type: none"> <li>Where this support is a condition of suspension.</li> <li>Where this support is required to facilitate return to study.</li> <li>Where a student was registered with the Disability Support and Inclusion team before suspending.</li> </ul>
Wellbeing support	No (except in exceptional circumstances)	Exceptional circumstances include: <ul style="list-style-type: none"> <li>Where this support is a condition of suspension.</li> <li>Where this support is required to facilitate return to study.</li> </ul>
Students' Union services	Yes	

## 5.9 How to apply

- 5.9.1 If a student feels that they need to suspend their studies, they should first discuss the matter with their Associate Head/Dean of School and/or Academic Tutor. Students may also find it useful to discuss the matter with Student Wellbeing, Disability and Inclusion. The Students' Union Advice Service can be approached to discuss the process and implications of suspension where students may not yet be ready to approach university staff. There are financial consequences to suspending studies, which students must discuss with the Student Funding Advice team before making the decision to take time out.
- 5.9.2 Visa holding international students must contact the Visa and Compliance team by submitting a case via the [Student Hub](#) before applying to discuss the implications of suspending their studies.
- 5.9.3 Following these discussions, if the student decides that suspending their studies is the best option for their circumstances, they should complete the 'Suspension of Studies Application' online form in e:Vision and gather their supporting evidence (where required).
- 5.9.4 Completed forms, together with supporting evidence (if required), must be submitted online via a student's e:Vision account for authorisation. If students leave their studies without doing this, they may not be re-admitted to the University when they wish to return.

- 5.9.5 The student's Associate Head/Dean of School, or their representative, will need to authorise the 'Suspension of Studies' online form to support the student's request. The Associate Head/Dean of School, or their representative, will add a supporting statement to the form, confirm the student's last date of attendance/engagement and, where appropriate, provide recommendations regarding repeat teaching and/or repeat assessment. A decision will be taken by a Registry panel on behalf of the Academic Registrar.
- If the School has recommended that existing marks or non-submissions are set aside (voided), for assessments that were due prior to the suspension start date, then the application will be referred to the Special Cases Panel, or a Registry panel acting on behalf of the Committee, for consideration.
  - If the School has recommended that more than 1 semester is repeated then the application will be referred to the Special Cases Panel, or a Registry panel acting on behalf of the Committee, for consideration.
  - If the School has recommended a Level 3 or Level 4 programme restart and the student is eligible then the application would normally not require Special Cases Panel approval and can be recommended as part of the suspension of studies.
- 5.9.6 Where evidence is required – if there is no evidence or insufficient evidence attached and this is not provided in response to a request, the suspension of studies will be considered based on the documents provided. In some cases, this may mean requests for repeat teaching, or the voiding of marks are declined.
- 5.9.7 Students who are applying for a continuation of a current suspension of studies must include recent up to date evidence (if this is required under the policy) and/or a personal statement to support their new suspension of studies request. Refer to [section 5.1.3](#) for further guidance.
- 5.9.8 Any details and evidence supplied are treated in confidence and are for the purpose of giving enough information to consider the request. Evidence and specific details of the grounds for the suspension will not be disclosed to the funding body, although the University notification to funding bodies will include the general grounds, for example, medical/personal/academic/financial.
- 5.9.9 If the request to suspend studies is successful the student will be notified by email, which will confirm the dates of their suspension of studies, any conditions of resumption, arrangements and dates for outstanding assessments/reassessments and their new programme end date. Registry will communicate with the student's funding body.

## 5.10 Returning from suspension

- 5.10.1 The Student Records team in Registry will contact students by email approximately **4 weeks** prior to their expected return to university to check their intentions, ensure they can meet any conditions of return and to set re-enrolment processes in place. For teacher training programmes this is extended to 8 weeks to allow the returning student sufficient time to make a re-application for Disclosure and Barring Service (DBS).
- 5.10.2 Students on programmes that need to comply with safeguarding measures may be required to make a new application to the DBS if they have been absent from their studies for a period of 6 months or more.
- 5.10.3 In the case of a suspension of studies on health grounds students may be asked to attend a Return to Study case review meeting to determine if they are fit to return to their studies (refer to [section 21.4.18](#) of the Fitness to Study Policy).
- 5.10.4 International students on a Student Visa will be required to apply for a new visa before their return to studies following a suspension of more than 60 days. For more advice on immigration issues please contact the Visa and Compliance team by submitting a case via the [Student Hub](#).
- 5.10.5 Prior to return students are advised to contact their Programme/Course Lead and/or Academic Tutor about how they should prepare for returning to their programme and to discuss any potential support arrangements.

- 5.10.6 When returning students are advised to familiarise themselves with:
- Re-enrolment.
  - Assessment submission dates and/or examination dates.
  - Access to Moodle.
  - Module choices.
  - Access to their teaching timetable.
  - Accessing support from the Disability Support and Inclusion team, where appropriate.
  - Accessing other available support services – Student Wellbeing, Disability and Inclusion team, Student Funding Advice team, Academic Liaison Librarian, the Study Development team, the London Learning and Wellness team.
- 5.10.7 Students who do not reply to the University email by their expected return date will be assumed not to be intending on returning to their programme. Such students will be withdrawn from their studies at the University. They will normally be withdrawn from their programme (enforced withdrawal) with effect from their last date of attendance/engagement. If the student is eligible for a lower exit award at this point arrangements will be made for this to be ratified at the following School Assessment Board.
- 5.10.8 Students who are unable to return from their current suspension of studies may be able to request a further suspension by submitting another online application with new up to date evidence. Refer to [section 5.3](#) regarding the maximum periods of suspension available to students.

## **5.11 Repeating assessments**

- 5.11.1 Students given permission to repeat assessments should note that they may use their previously submitted work for their own learning and reference, in the same way they would use third-party information, but students may not rework and/or resubmit their previous work for assessment when repeating a module or if the original assessment has been set aside (voided) as part of the suspension. This would be treated as academic misconduct and considered as self-plagiarism (refer to [section 27](#)).



## Section 6 Student maternity, paternity, adoption and parental leave policy

### 6.1 Overview

- 6.1.1 The University's policy has been harmonised with the Research Councils' framework and clearly differentiates parental leave from suspension of study for medical or disciplinary reasons. For this reason, any suspension of study taken due to parental leave will not count towards the maximum periods of study detailed in the [University Regulations](#). Leave taken under this policy also does not count towards the maximum period of suspension permitted. There is no limit to the number of periods of leave taken under this policy.
- 6.1.2 This policy and procedure apply to undergraduate, postgraduate taught and postgraduate research students.
- 6.1.3 For cases with same sex couples which do not fall under the arrangements for adoption leave set out in [section 6.4](#) below, the student who gives birth to the child will be eligible to take maternity leave while their partner will be eligible to take paternity or shared parental leave.
- 6.1.4 Applications for maternity, extended paternity, shared parental leave or adoption leave should be made on the suspension of studies form, making sure the details of the dates of the leave to be taken are included. The University recognises that these dates may change (for example, for premature or late births) and will work with the student to adjust dates of suspension in these cases. For undergraduate and taught postgraduate students, please refer to [section 5](#). For postgraduate research students, please refer to section 7 of the [Code of Practice for Research Students](#).

### 6.2 Maternity leave

- 6.2.1 The policy aims to ensure consistent and fair treatment of pregnant students and students who give birth and provide them with the right to a protected period of leave after the birth. This includes where a child is stillborn after week 24 of pregnancy, or where a child dies shortly after being born.
- 6.2.2 Students should notify their Academic Tutor or research supervisor of their pregnancy at least 15 weeks before the expected week of childbirth. Pregnant students can obtain a maternity certificate (MATB1 for students in the UK) from a registered medical practitioner from the twentieth week of pregnancy. For students studying on distance learning or programmes outside the UK, the relevant evidence should be obtained from medical services in the student's home country. This proof of pregnancy will be required to be submitted with the suspension of studies form.
- 6.2.3 Earlier notification may be necessary in some cases, for example, where a student may study or work in a potentially hazardous environment, and the student should seek advice from a registered medical practitioner. Environments that involve the following are more likely to present greater risks: physical activity including lifting and carrying; the use of chemicals, including paints and pesticides; radiation; compressed air environments; exposure to infectious disease. The Academic Tutor or supervisor should carry out a risk assessment as soon as possible to minimise any potential risk. If a student is on placement or studying abroad, a risk assessment will be carried out in conjunction with the placement provider or host institution.
- 6.2.4 For support in pregnancy and maternity with assessment deadlines for undergraduate and taught postgraduate students, refer to [section 13.15](#) on 'Exceptional Circumstances Plans'.
- 6.2.5 If a student's studies are affected by pregnancy, the student should notify the University at the time it is impacting on their study. If the pregnancy is not disclosed before any assessment the student believes the pregnancy has impacted, then this cannot be used later as grounds for appeal, unless the student has a good reason to not disclose the pregnancy at the time. Unwillingness to disclose, including for cultural reasons, is not accepted a reason for not disclosing at the time of the impacted assessment.

#### Undergraduate and postgraduate taught students

- 6.2.6 Students who give birth may choose to suspend their studies. This will normally last 1 full year so that the student may return to study at the same point at which they suspended. Where possible the leave period should be timed to take account of the academic requirements of the course (for example, project work), and should start at the beginning of, rather than partway through, a semester. Maternity leave cannot start later than the date of the child's birth and all new mothers must take a minimum of 2 weeks' leave immediately after the birth. For details on the 'Suspension of Study Policy and Process', please see [section 5](#). Applications should be made on the suspension of studies form.

## Postgraduate research students

- 6.2.7 Students who give birth during their period of registration for a postgraduate research degree are automatically entitled to take a leave of absence from for up to 1 year of maternity leave. Maternity leave cannot start later than the date of the child's birth and all new mothers must take a minimum of 2 weeks' leave immediately after the birth. The start of maternity leave should be determined with the research supervisor, considering the nature of the student's research work. Details on this leave of absence process can be found in section 7 of the [Code of Practice for Research Degrees](#). Applications should be made on the [Postgraduate Researcher Leave of Absence, Suspension and/or Extension Request](#) form.
- 6.2.8 Students who hold Research Council or other sponsoring body awards must align their periods of university and funding body leave. Where there is a conflict of interest between the two policies, the sponsoring body's policy will be followed in relation to the area(s) of conflict.

## Funded maternity leave (postgraduate research students)

- 6.2.9 The University aims to provide a limited period of funded maternity leave, and in some cases funded shared parental leave, for the following students:
- Postgraduate research students funded by the University via a scholarship where the expected week of childbirth falls within the period of the award.
  - Postgraduate research students funded by the University via a studentship where the expected week of childbirth falls within the period of the award.
  - Postgraduate research students co-funded by the University via a scholarship where the expected week of childbirth falls within the period of the award.
  - Postgraduate research students co-funded by the University via a studentship where the expected week of childbirth falls within the period of the award.
- 6.2.10 Prior to receiving funded maternity leave or funded shared parental leave from the University, students are required to state their intention to return to their studies after taking the leave. Students who do not return to their studies for at least 3 months after taking funded leave may be required to pay back in full all monies received during the period of leave.
- 6.2.11 Research Council funded students are entitled to receive funded maternity leave. The first 26 weeks would normally be paid at full stipend, the following 13 weeks at a level commensurate with statutory maternity pay and the final 13 weeks unpaid; more details are available from the Research Office. Prior to receiving such funding, students are required to state their intention to return to their studies after taking maternity leave. Students who do not return to their studies for at least 1 semester after taking funded maternity leave may be required to pay back in full all monies received during the period of leave. In some circumstances it may be possible for some of this funded leave to be taken as shared parental leave (refer to [section 6.6](#) for details of the University's policy in relation to shared funded parental leave).

## 6.3 Paternity leave

### Undergraduate and postgraduate taught students

- 6.3.1 Student parents and adopters eligible for paternity leave may take up to 2 weeks' (10 working days) leave at any time during a partner's pregnancy or within 3 months of the birth (paternity leave). If this leave coincides with an assessment period, examinations will be deferred to the next period and relevant extensions granted for other assignments.
- 6.3.2 Students should notify their Academic Tutor at least 15 weeks before the expected week of childbirth. Students should complete an Exceptional Circumstances claim on this basis, with supporting evidence of a maternity certificate (MATB1 for students in the UK) accepted in these cases, refer to [section 13](#). For students studying on distance learning or programmes outside the UK, the relevant evidence should be obtained from medical services in the student's home country. Students should apply when they know they want the period of paternity leave to begin.
- 6.3.3 Students will also be eligible for a longer period of suspension, in line with the arrangements made for students who give birth. This will normally last 1 full year so that the student may recommence their studies at the same point at which they suspended (extended paternity leave). This will not count towards the maximum periods of study detailed in the [University Regulations](#). For the 'Suspension of Study Policy and Process', refer to [section 5](#). Applications should be made on the suspension of studies form, making sure the details of the dates of the leave to be taken are included.

## Postgraduate research students

- 6.3.4 Postgraduate research student parents and adopters eligible for paternity leave may take up to 2 weeks' (10 working days) leave at any time during a partner's pregnancy or within 3 months of the birth (paternity leave). In line with the policy adopted by the Research Councils, this leave is not taken as a suspension of status, and the submission date is not adjusted. Students should discuss this with their research supervisor in advance and then notify the research supervisor when the birth has occurred.
- 6.3.5 Students who are eligible for a further period of paternity leave from their Research Council or sponsor may request a matching period of leave from the University. The University will support student parents and adopters eligible for paternity leave requests for a period of leave of absence, where permitted by their funding body, up to a usual maximum of 1 year (extended paternity leave). Periods of extended paternity leave do not have to be taken consecutively when sharing parental leave (refer to [section 6.6](#)) but do have to be taken within 12 months of the birth and any unused time may not be taken at a later date. Where there is a conflict of interest between the two policies, the sponsoring body's policy will be followed in relation to the area(s) of conflict.
- 6.3.6 Self-funded student parents and adopters eligible for paternity leave may request a further period of leave of up to 1 year (extended paternity leave). Periods of extended paternity leave do not have to be taken consecutively but do have to be taken within 12 months of the birth and any unused time may not be taken at a later date.
- 6.3.7 The timing of extended paternity leave will depend on several factors, including the nature of the student's research work. This should be discussed with the student's research supervisor. Applications for extended paternity leave should be on the relevant form, making sure the details of the dates of the leave to be taken are included.

## 6.4 Adoption leave

- 6.4.1 Arrangements for adoption leave usually parallel those made for maternity and paternity leave, in that the main carer takes 'maternity leave', regardless of gender, and the carer's partner takes 'paternity' leave.
- 6.4.2 The child's main carer will be eligible to suspend their studies (undergraduate and taught postgraduate) or take a leave of absence (postgraduate research students) in line with maternity leave provisions (refer to [section 6.2](#)). Periods of adoption leave do not have to be taken consecutively when sharing parental leave (refer to [section 6.6](#)), but do have to be taken within 12 months of the adoption and any unused time may not be taken at a later date. Adoption leave may start at any point after the student has been notified that they have been matched with a child.
- 6.4.3 A student who is the partner of an adopting parent will be eligible for leave in line with the relevant model for paternity leave (refer to [section 6.3](#)). Periods of adoption leave do not have to be taken consecutively when sharing parental leave (refer to [section 6.6](#)) but do have to be taken within 12 months of the adoption and any unused time may not be taken at a later date.

## Postgraduate research students

- 6.4.4 Postgraduate research students who are eligible for a period of adoption leave from their Research Council or sponsor may request a matching period of leave from the University, up to a usual maximum of 1 year. Where there is a conflict of interest between the two policies, the sponsoring body's policy will be followed in relation to the area(s) of conflict. Periods of adoption leave do not have to be taken consecutively when sharing parental leave (refer to [section 6.6](#)) but do have to be taken within 12 months of the adoption and any unused time may not be taken at a later date.

## 6.5 IVF and surrogacy

- 6.5.1 In cases which do not fall under the arrangements for adoption leave set out in [section 6.4](#), or standard arrangements for maternity, paternity or shared parental leave, student parents are advised to discuss this with their Academic Tutor or research supervisor, who will then contact the Assessment team in Registry for advice. The options available should be equivalent to those available for the other forms of leave set out in this policy.

## 6.6 Shared parental leave

- 6.6.1 In some circumstances, student parents may wish to share a period of parental leave. Periods of shared parental leave will be recorded as a suspension of study, commencing at the start of the relevant Semester and concluding at the end of the subsequent vacation. Students should as far as possible, align their parental leave with the structure of university Semesters and all periods of shared parental leave must be taken within 12 months of the birth.

## Shared funded parental leave (postgraduate research students)

- 6.6.2 Research Council funded students may be entitled to share a period of funded parental leave depending on the individual circumstances. This would only normally be possible where both parents are RCUK funded students, and the expected week of childbirth falls within the period of the award. A table indicating entitlement is provided in Annex A in [section 6.11](#). Students should contact the Research Office to discuss their options. Prior to receiving such funding, students will be required to state their intention to return to their studies after taking parental leave. In line with the RCUK policy, students who do not return to their studies for at least 1 semester after taking funded parental leave may be required to pay back in full all monies received during the period of leave.
- 6.6.3 Holders of studentships funded or co-funded by the University may be entitled to a period of shared funded parental leave. This would only normally be considered where both parents are students at the University and the expected week of childbirth falls within the period of the award. Students should contact the Research Office to discuss their options. Prior to receiving such funding, students will be required to state their intention to return to their studies after taking parental leave. Holders of studentships who do not return to their studies for at least 3 months after taking funded parental leave may be required to pay back in full all monies received during the period of leave.

## 6.7 Access to University facilities

- 6.7.1 Students on maternity, extended paternity, adoption or shared parental leave will have access to some university IT systems and email, but will not have access to physical library facilities, during their period of suspension from the University. Access to other university support is not normally required and will therefore be restricted. Refer to [section 5.8](#) for a summary of access to facilities while studies are suspended.
- 6.7.2 Research students may be able to attend external research conferences while on maternity, extended paternity, adoption, or shared parental leave. This should be discussed and agreed with the research supervisor and any risk assessments required completed.

## 6.8 Planning for return to study

- 6.8.1 Prior to returning to study, students should contact their Academic Tutor or research supervisor so that arrangements may be made for their return. This is likely to involve a limited amount of academic guidance and preparation, as necessary in each case.
- 6.8.2 For postgraduate research students, it may be appropriate to undertake keeping in touch (KIT) opportunities (for example, supervision sessions). These should be agreed between the student and research supervisor.
- 6.8.3 Risk assessments must also be made where the work environment might pose a threat to a breastfeeding mother (refer to [section 6.2.3](#)).
- 6.8.4 Students can access wellbeing or disability services as required to help facilitate the return to study.
- 6.8.5 Should a returning student be unable to return to study after a maximum period of maternity leave, either for ill-health or other reasons (for example, prolonged ill-health of their child) that would require more than 4 weeks absence, a further suspension of study should be taken on these grounds. This suspension of study would fall within the 'Suspension of Study Policy' in [section 5](#).

## 6.9 Overseas students

- 6.9.1 Student visa holders who need to suspend study for maternity leave may only suspend for up to 60 days without reporting to UK Visas and Immigration (UKVI) being required. The 60-day suspension is only permitted where academic colleagues feel it is viable for the student to complete the course of study **without a visa extension**. If longer suspensions are required, the student will be reported to UKVI and must return home during the suspension and apply for a new visa to return to studies at a later date. Advice can be sought from the Visa and Compliance team by submitting a case via the [Student Hub](#).

## 6.10 Adjustments to mode of study

- 6.10.1 Students may choose to return to their programme of study on a part time basis, where this mode of study exists. These applications require the support of the appropriate Associated Head or research supervisor. Students should complete a change of programme form for taught programmes, as detailed in [section 3](#). Research students should complete the request for a change in programme form, as detailed in section 5 of the [Code of Practice for Research Degrees](#).
- 6.10.2 Undergraduate and taught postgraduate students who are returning from maternity leave can also apply for an 'Exceptional Circumstances Plan' (ECP) which will help in staggering assessment deadlines, in agreement with the School (refer to [section 13.15](#)).
- 6.10.3 Should students then wish to transfer back from part time study to full time study once a period of time has passed, this may happen where the mode of study exists and requires the support of the Associate Head/Dean of School or research supervisor. Students should complete a change of programme form, as detailed in [section 3](#).
- 6.10.4 For postgraduate research students, permission may be needed from the appropriate Research Council.

## 6.11 Annex A: Research Council UK shared funded parental leave provision

- 6.11.1 Research Council funded student partners can only share funded parental leave where both parents are RCUK funded students, and the mother is in receipt of funded maternity leave. It is not a requirement for both parents to be students at the University.
- 6.11.2 Eligibility can be summarised as follows:

Mother	Partner	Eligible for RCUK shared funded leave from York St John?
Not RCUK funded	Not applicable	Not eligible
RCUK funded, not at York St John	Not RCUK funded, at York St John	Not eligible
RCUK funded, not at York St John	RCUK funded, at York St John	Potentially eligible. Will need to liaise with mother's institution to ensure no more than 26 weeks full pay and 13 weeks at a rate equivalent to Statutory Maternity Pay paid across both parents. York St John to pay the weeks the partner took as shared funded leave.
RCUK funded, at York St John	Not RCUK funded	Not eligible for shared leave; mother entitled to funded maternity leave.
RCUK funded, at York St John	RCUK funded, at York St John	Eligible. Will need to liaise with mother's department to ensure no more than 26 weeks full pay and 13 weeks at a rate equivalent to Statutory Maternity Pay paid across both parents. York St John responsible for full payment.
RCUK funded, at York St John	RCUK funded elsewhere	Potentially eligible. Will need to liaise with partner's institution to ensure no more than 26 weeks full pay and 13 weeks at a rate equivalent to Statutory Maternity Pay paid across both parents. York St John to pay the weeks the mother took as maternity / shared funded leave.

## Section 7 Assessment format policy

### 7.1 Summative and formative assessment

Type	Definition
<b>Formative</b>	Assessments with a developmental purpose, designed to help students learn more effectively by giving them feedback on their performance and how it can be improved and/or maintained.
<b>Summative</b>	Formal assessment of students' work, contributing to the final result for the module. Used to indicate the extent of a student's success in meeting the assessment criteria to gauge the intended learning outcomes.

### 7.2 General

- 7.2.1 Each modular assessment component is classified on the module specification as a particular type from a pre-defined list. There are **13 types of assessment**.

Code	Description
<b>CAP</b>	Capstone project
<b>CLINIC</b>	Clinical assessment used in health-related programmes
<b>CREATE</b>	Creative artefact
<b>EPA</b>	End-point assessment
<b>EXAM (NEXAM)</b>	Examination conducted under examination conditions in a centrally organised examination room (or departmentally organised)
<b>EXT</b>	External/Practice Education
<b>ITEXAM (NITEXAM)</b>	Digital examination conducted under examination conditions in a centrally organised examination IT room (or departmentally organised)
<b>LAB</b>	Laboratory Report
<b>PORTF</b>	Portfolio
<b>PRCT</b>	Practical
<b>PRES</b>	Presentation
<b>TIMED</b>	Timed assessment that is completed in a set period of time without examination conditions, normally measured in hours or days
<b>VIVA</b>	Viva voce
<b>WRIT</b>	Written work

- 7.2.2 Each proposed assessment type can be further defined: (academic) written work may encompass anything from a 250-word abstract to a Master's dissertation. This detail continues to be supplied in the descriptive text of the assessment and is not formally constrained.
- 7.2.3 Each separate assessment component must be clearly indicated with the component weighting in the module specification.
- 7.2.4 Assessment components cannot be further divided into sub-components.



## 7.3 Guidance on assessment volume

- 7.3.1 Awards should be made up of modules that normally follow a 20-credit pattern for undergraduate degrees and 30-credit pattern for postgraduate taught degrees. For comparative purposes, all equivalences are given for a 20-credit module and should therefore be applied flexibly to modules with higher or lower credit weighting. Normally 1 or 2 summative assessment components will be used in measuring the achievement of learning outcomes for a 20-credit module.
- 7.3.2 The following is for guidance only with some modes of assessment broadly equivalent to the word length required for written assessments in a 20-credit module. A definitive word count should be detailed in the assessment brief.
- 7.3.3 Refer to [sections 7.5-7.18](#) for more detailed information on assessment types.

Assessment type	Maximum limits (N.B. These are maximum limits. The actual limit may be less depending on the nature of the assessment and what is pedagogically appropriate)
Examination	<ul style="list-style-type: none"> <li>3 hours (100%)</li> <li>2 hours (75%)</li> <li>1 to 2 hours (50% and under)</li> </ul>
Digital examination	<ul style="list-style-type: none"> <li>Dependent on assessment brief. Online quizzes/multiple-choice would be shorter than standard examinations.</li> <li>Digital exams that follow a similar format to a standard examination but online would expect to range between 1.5 to 2 hours.</li> </ul>
Written assessment	<ul style="list-style-type: none"> <li>4,000 (100%)</li> <li>3,000 (75%)</li> <li>2,000 (50%)</li> <li>1,000 (25%)</li> </ul>
Individual presentation / video	<ul style="list-style-type: none"> <li>10 to 20 minutes (75 – 100%)</li> <li>5 to 10 minutes (25 – 50%)</li> </ul>
Group presentation / video (per individual)	<ul style="list-style-type: none"> <li>3 to 5 minutes (75 – 100%)</li> <li>2 to 3 minutes (25 – 50%)</li> </ul>
Performance / Practical / Exhibits / Creative artefact	<ul style="list-style-type: none"> <li>Typically determined by the number of hours of student work as part of the overall module assessment strategy.</li> <li>Dependent on project context.</li> </ul>
Portfolio	<ul style="list-style-type: none"> <li>2 to 5 elements dependent on level.</li> <li>Assessed holistically.</li> <li>No overall word count.</li> </ul>
Capstone	<ul style="list-style-type: none"> <li>8,000 (40 credits)</li> <li>12,000 (60 credits)</li> </ul>
Viva	<ul style="list-style-type: none"> <li>Dependent on level.</li> </ul>
External/Practice Education	<ul style="list-style-type: none"> <li>Dependent on requirements of an external body.</li> </ul>
Timed assessment	<ul style="list-style-type: none"> <li>Dependent on assessment brief, weighting, and level.</li> </ul>
Clinical assessment	<ul style="list-style-type: none"> <li>Dependent on competencies being assessed appropriate to the programme and level.</li> <li>Would normally follow similar limits to an examination.</li> <li>Where there are several short examples, examination stations or a portfolio approach the combined total would not normally exceed the maximum limit of an examination.</li> </ul>



## Oral assessment

- 7.3.4 To allow students sufficient time to successfully cover the content, an individual presentation should not normally be less than 5 minutes and should not normally exceed 20 minutes. Group presentations may be longer than individual presentations but not normally exceed 25 to 30 minutes per group. For guidance, it may be possible that there are modules where the sole form of assessment is the oral assessment. In such cases, greater time may be appropriate to fully assess outcomes.
- 7.3.5 In all cases, the module specification document must indicate the relevant university assessment type, the nature of the assessment and the assessment deliverables (for example, a short overview of what the student must submit). This should indicate things like:
- Length in words/minutes.
  - Individual/group requirements.
  - Portfolio assignments should be clear as to what students need to hand in and what additional supporting work needs to be submitted (for example, sketchbooks, developmental work, lesson plans).

## 7.4 Logistical considerations

- 7.4.1 The arrangements necessary for some assessments need to be considered in advance, in particular:
- **Resources** – material and technical resources need to be ordered well in advance.
  - **Rooms/space** – suitable spaces for poster displays, performances, and concurrent presentations need to be booked ahead of time; Schools should consider there may be room availability and capacity restrictions during centrally organised examination periods and during teaching periods; and the resources available in the rooms should be checked in advance.
  - **Timing** – a schedule for individual timings for presentations or performances must be distributed to students well in advance. The schedule must consider how much time is needed for set-up and clear-away by each student in addition to the assessment. The schedule should allow time for breaks to avoid marker fatigue and be flexible enough to allow for some presentations to over-run. Consideration should be given when scheduling timed assessments and departmental examinations to avoid creating a heavy assessment burden for students during teaching periods.
  - **Invigilators** – these are needed for both School and Registry organised examinations, and Schools are expected to be able to provide invigilators for their examinations. In some circumstances, it may be possible for Registry to provide external invigilators, but it should not be the expectation of Schools that this is possible. Where external invigilators are used, Module Directors/Leads are still required at the start of each examination (for further invigilator information refer to [section 9.7](#)).
  - **Markers** – arrangements need to be made for enough markers to be available and for marking to be completed consistently.
- 7.4.2 Centrally organised examinations are scheduled by the Assessment team in Registry and are scheduled in set examination periods. The Assessment team in Registry is responsible for booking space to accommodate exams during these periods. Schools holding invigilated examinations outside these periods are responsible for booking space to accommodate their exams. Departmentally organised examinations must be held under the same examination conditions as centrally organised examinations. More information is available from the Assessment team in Registry, please visit our [key academic dates page](#). For further information on examinations refer to [section 9](#).

## 7.5 Capstone project

- 7.5.1 A multifaceted assignment that serves as a culminating academic and intellectual experience for students.
- 7.5.2 This may include a choice of other assessment types from which students select one for a single mark.
- 7.5.3 Examples include:
- Dissertation or consultancy project; dissertation or body of practice-based work incorporating a reflective analysis.

## 7.6 Clinical assessments

- 7.6.1 A clinical assessment is an assessment that is often used in health-related programmes (for example, nursing, midwifery, paramedic science, occupational therapy, physiotherapy, etc.). This form of assessment is used to test students' performance of clinical skills such as communication, clinical examination, medical procedures, clinical decision making, clinical thinking/reasoning in a simulated medical environment, and to allow them to demonstrate required clinical competencies.
- 7.6.2 Clinical assessments are often specifically designed as Objective Structured Clinical Examinations / Assessments (OSCEs / OSCAs). Different disciplines may run these assessments in different formats with the same aim of assessing simulated clinical performance. At times students may be asked to work with other students, staff, or actors as appropriate, to demonstrate effective management. A clinical assessment would usually involve several short examples (up to 15 minutes each) of competently performed clinical skills, which may be a simple demonstration, or in response to an evolving scenario.
- 7.6.3 Clinical assessments may take the format of a single day with various examination stations or a collated portfolio approach; they may be video recorded or in-person (or both). Clinical assessments should be performed in real time whatever format the assessment takes. Examples of the format may include, but are not limited to:
- Video recorded clinical assessments, submitted as a portfolio.
  - In-person clinical assessment in front of assessors.
  - Full scenario (multiple skill) based assessments.
  - Single skill-based assessments.
  - A team (groupwork) approach to skill or scenario assessment.
  - Clinical management of a standardised or interactive virtual scenario.
- 7.6.4 If the assessment is to be held under examination conditions (refer to [section 9](#)), students must be clearly advised in the assignment brief what these conditions are. The assignment brief should also, where necessary, detail any actions or specific materials that would breach the academic misconduct regulations if performed or brought into the assessment (refer to [section 27](#)).
- 7.6.5 Students requesting deferrals due to exceptional circumstances should follow the Exceptional Circumstances Policy (refer to [section 13](#)). If these are approved, the assessment would normally be deferred to the next assessment period.
- 7.6.6 Additional time is not normally given to a student for a clinical assessment unless this is specifically recommended in a student's Learner Adjustment Plan (LAP). Reasonable adjustments to standard assessment procedures are recommended by the Disability Support and Inclusion Team through the [Learner Adjustment Plan \(LAP\) process](#). Adjustments are based on individual requirements and evidence of need (refer to [section 10](#)).

## 7.7 Creative artefact

- 7.7.1 A creation in a particular form that fulfils a brief.
- 7.7.2 Examples include:
- Artwork; blueprint; cognitive map; composition; concept; creative writing; exhibition; film; handout; manifesto; mind map; model; music product; pamphlet; poster; prototype.

## 7.8 End-point assessment (EPA)

- 7.8.1 An EPA is an independent assessment at the end of an apprentice's training that confirms the student has reached occupational competence.

## 7.9 Examination

7.9.1 Examinations are time-limited and held under staff-controlled conditions.

- Refer to [section 9](#) for more detailed information regarding processes and procedures for examinations.
- Refer to [section 7.16](#) for 'take-home' exams.

7.9.2 Examples include:

- Closed book; open book; seen or unseen; short answers and/or multiple-choice questions; classroom test.
- The 'default' is an unseen, closed-book examination.

## 7.10 External/Practice education

### Practice education

7.10.1 This type of assessment (sometimes referred to as a 'placement') usually takes place in a workplace setting where the theoretical and practical elements of a programme are applied.

7.10.2 The assessment of the application of skills and theory is usually undertaken in conjunction with academic staff, and in compliance with Professional, Statutory and Regulatory Body (PSRB) requirements.

7.10.3 It is usually (but not always) a pass/fail marked assessment.

7.10.4 Practice education and associated documentation will be different according to specific programme and PSRB requirements and this will be exemplified in module documentation.

### Practice assessment documentation

7.10.5 Assessment records and documents can have different names dependent on the requirements of PSRBs. In all cases, the mode of assessment shall be made clear to students prior to commencing their practice education.

7.10.6 In some circumstances a PSRB will mandate a record and recording process, including specifying who can assess student work.

7.10.7 In some circumstances, practice assessments are not double marked due to the nature of the submission.

## 7.11 Digital examination

7.11.1 Centrally organised digital examinations are designed to deliver an examination paper online and are taken in computer classrooms. The examination is time limited and is held under staff-controlled conditions.

7.11.2 Schools wishing to use digital examinations outside of centrally organised examination periods are responsible for booking a computer classroom, bearing in mind that access may be restricted during central examination periods and teaching periods.

7.11.3 Refer to [section 9](#) for more detailed information regarding processes and procedures for examinations.

7.11.4 Examples include:

- Digital delivery is more appropriate for examinations comprising of mainly multiple-choice style and short answer questions.
- Online quizzes using Moodle.

## 7.12 Laboratory report

7.12.1 Laboratory reports are written to describe and analyse a laboratory experiment that explores a scientific concept.

## 7.13 Portfolio

- 7.13.1 A collection of artefacts, written work and/or reflections that is given a single mark.
- 7.13.2 The more detailed description must be one of the following forms:
- A portfolio of 'specified elements.'
  - A portfolio which may consist of 'indicative elements.'
- 7.13.3 The collection is submitted at one time. The 'portfolio' should not be used as shorthand for flexible assessment that can be changed without formal approval.
- 7.13.4 Live performances and presentations cannot form part of a portfolio and must be assessed as a separate component. If performances and presentations are recorded, the recording can form part of the portfolio and must be submitted at the same time as the other portfolio elements.
- 7.13.5 Where the contents of the portfolio are not a collection of similar works, for example, creative writing pieces, or do not contribute to the culmination of a final piece of work, for example, in an art portfolio, then a commentary/reflection should be included that binds the separate parts together.
- 7.13.6 It is not acceptable to state on the module specification:
- A 'portfolio' with no supporting description (in the same way that just 'written work' is inappropriate).
  - A portfolio of materials that have individual weightings or word counts (which must be converted to separately assessed components; these may still be handed in at the same time).
  - A pointer to other documentation where the contents are specified (because this information is not necessarily available to the external examiners or the students).
- 7.13.7 For timed portfolios also refer to [section 7.16](#).
- 7.13.8 The key property of receiving a single mark must be reconciled with clarity to students and examiners of how the final mark is reached. Although percentage weightings of the materials must not be included for a portfolio, it is acceptable to indicate requirements on length (a 5-minute video reflection on a 2-hour student-led seminar) or a word count on an individual element.
- 7.13.9 All marks must be stored in the student record system (SITS). Assessment marks must not be calculated outside of SITS; if marks are being calculated outside SITS this would indicate the assessment needs updating to separate assessment components. If applicable, the module specification will need updating and formal approval sought from the Quality and Standards Committee's Programme Amendment Scrutiny Panel (PASP).
- 7.13.10 The use of the portfolio as an assessment type is standard practice in many disciplines. However, given it is an umbrella term suggesting the inclusion of multiple items, questions have been asked about the transparency and consistency of assessment where it is used.
- One concern is that the constitution of the portfolio may change year on year and that this variation may result in a lack of parity across cohorts.
- Another concern is that the portfolio is sometimes used where components are given individual weightings and summative marks that are then combined into a single portfolio mark.
- Given the nature of portfolios may change year on year depending on delivery and assignment content, then there is a need to allow a level of flexibility while ensuring that variations do not advantage or disadvantage particular year groups.
- 7.13.11 As defined in [section 7.13.2](#) above, 1 of 2 options are permitted when specifying a portfolio. While the first option ensures the same elements and fixes the assessment at the point of the validated document, the second offers a strong indication of what is required. It allows flexibility to accommodate changes in delivery, it gives a strong indication of what is expected, and it is also subject to external examiner scrutiny to ensure that it does not move beyond acceptable norms. Although it is not as fixed as the first option, its flexibility helps to ensure the quality of the assessment as it allows the portfolio to be 'appropriate to the assessment' of the work, where often a set of fixed elements may be less appropriate to the assessment task.

## 7.14 Practical

7.14.1 Used to demonstrate a skill in real time (which may or may not be 'live').

7.14.2 Examples include:

- Audio file; demonstration; numerical assignment; (peer) observation; performance; process-based assessment.

## 7.15 Presentation

7.15.1 A student-led real-time event (on a topic approved by staff), delivered individually or by a group.

## 7.16 Timed assessments

7.16.1 A timed assessment requires the student to work unsupervised and complete the assessment within a specified amount of time. The specified time is usually measured in hours or days and is not usually longer than 1 week.

7.16.2 Examples include:

- Timed case studies; take-home exams; timed portfolios; remote delivery of online assessments that are not held under staff-controlled conditions.

7.16.3 For all timed assessments, the duration must be made explicit on the module specification. This information will be recorded in the records system and will appear in the assessment title on the Assessment Schedule.

7.16.4 An advantage of a timed assessment is that with the set time period and access to materials, students may better demonstrate their knowledge, abilities and use of sources. For some programmes timed assessments more closely resemble the work activities where students' knowledge and skills will ultimately be used. However, timed assessments may carry an increased risk of unauthorised collaboration between students.

7.16.5 The timetabling of timed assessments is the responsibility of the School; therefore, measures must be put in place to ensure that students are not unduly burdened with several assessments at the same time, and the timing requires consideration of other submission deadlines and examination dates.

7.16.6 Adequate support should be available throughout the duration of the assessment for both technical issues and for clarification in the case of factual errors in questions.

7.16.7 Changing questions each year prevents previous cohorts from sharing their work and helps limit the possible academic misconduct in timed-assessments, requiring students to work with a recent source or with specific module content or activities.

7.16.8 It is good practice for timed assessments that span more than 1 day to time the release of the task and the submission at noon, thereby giving a full 24 hours or longer.

7.16.9 Students requesting extensions due to exceptional circumstances should follow the normal procedures (refer to [section 13](#)). If approved the assessment would normally be deferred to the next reassessment period; short extensions counted in days or weeks would not normally be approved. The timing of a deferral would not be when there are other teaching activities or exams.

7.16.10 [Section 26.3](#) details how the sanctions for late submissions and resubmissions are applied.

7.16.11 The assignment brief should be accompanied by clear guidance regarding:

- How the task will be shared with students – it is important to ensure that the task material is distributed as quickly and fairly as possible.
- When the task will be made available to students.
- The deadline by which the assessment must be submitted, and any late submission sanctions thereafter. Deadlines should not be set on university closure days.
- How the assessment should be submitted (refer to [section 8.6](#) regarding submission and errors when submitting).
- How students can contact academic support during the task, when this is available and how to do this, for example, clearly state the office hours when support can be accessed if the assessment goes over several days.
- Where to seek technical support, when this is available and how to access this.
- It is good practice to give guidance on how much time to spend on preparation as opposed to, for example, a written task.

- If applicable, a clear statement that extra time is not provided for students with LAPs.
- Clear guidance on whether students are working individually or as a group, and that collusion would be dealt with as academic misconduct (refer to [section 27](#)).

7.16.12 Written instructions should be carefully prepared and should include:

- A word-count (this will help communicate expectations, help with keeping marking workload reasonable).
- How the task should be formatted or presented.
- If referencing is required and if so with which referencing system.
- The deadline by which the assessment is due and the policy for late submissions (see [section 26.3](#)).
- The materials can be consulted or referenced or is there a particular limitation on the resources used.

## 7.17 Viva voce

7.17.1 A viva voce is a form of oral assessment that helps students develop communication skills. The student's response to the assessment task is conveyed by speech instead of writing. It is an examiner-led live event and involves the examiner(s) asking questions to the student about their work.

7.17.2 The assessment can be conducted by one or more assessors.

7.17.3 Examples include:

- Discussing a student's research project or portfolio in more detail; Q&A session in support of a student's art exhibition; individual reflection on personal and/or group development; interview-based assessments; professional discussions.

## 7.18 Written work

7.18.1 Academic writing, usually with referenced sources, and word-limited.

7.18.2 Examples include:

- Abstract; annotated bibliography; blog; case study report; commentary; critical study; dissertation; essay; manuscript; online posting; project report; rationale; research paper; research proposal; research report; review article; self-reflective piece of work; strategy; take-home paper; written debate.



## Section 8 Non-examination assessment practice and conduct: policy and procedures

### 8.1 Formative assessment processes

- 8.1.1 Students will be given the opportunity to undertake formative assessment to gain feedback to support their learning. Formative assessment also enables staff to monitor performance prior to the formal summative assessment and target support to students' needs.
- 8.1.2 Details of formative assessments and activities will be provided by Module Directors/Leads.
- 8.1.3 Formative assessment should be small scale. They can include submission of plans for written work or a small section of an upcoming summative assessment. They must not replicate summative assessments or entail the submission of full drafts of work.
- 8.1.4 Brief feedback should be provided for formative assessments. Formative assessments should be scheduled to ensure feedback is available for students to implement in summative assessments.
- 8.1.5 Feedback on formative assessment should not provide any indicative mark or grade.

### 8.2 Summative assessment processes

- 8.2.1 Heads/Deans of School or nominated representative (or equivalent at validated partners) have oversight of the management of the assessment process and are, therefore, responsible for ensuring agreed processes are in place and for monitoring the effective engagement in these processes.
- 8.2.2 The School Quality Panel provides an opportunity for the regular audit of process and a formal recording of that effective engagement. The School Assessment Board will also analyse module performance to identify any anomalous marking trends in line with the Protocol for identifying and reviewing anomalous performance in modules (refer to [section 42](#)).
- 8.2.3 All staff concerned with the assessment of the module and external supervisors of placements must be clearly informed of assessment requirements.
- 8.2.4 Assessment requirements, deadlines and criteria for assessment must be clearly communicated to students in module documentation.

### 8.3 Assignment brief design and communication

- 8.3.1 The core objective of an 'assignment brief' is to maximise the likelihood that students will do what is required and expected in assessment. 'Assignment briefs' must effectively communicate the task's requirements and expectations, to enhance students' performance in assessment and, ultimately, their overall learning experience.
- 8.3.2 It is expected that assessment tasks are updated annually, unless those tasks are, by their nature, individualised (for example, where students choose their own essay title based on the assessment task).

### 8.4 Approval of assessment titles and tasks

- 8.4.1 Module Directors/Leads are responsible for managing the initial setting of the assessment titles/tasks (reflecting the modes of assessment approved in the validated module specification), including consulting with other tutors involved in the module delivery as appropriate.
- 8.4.2 A collegial process will be established at local level (programme, subject or School) for Module Directors/Leads to approve assessment titles/tasks and the student-facing 'Assignment briefs'. A record of the process of approval will be kept for internal and external scrutiny.
- 8.4.3 All assessment titles/tasks for modules contributing to an award, including timed examination papers, are to be sent to the external examiner for their consideration prior to final approval. It is expected that external examiners will comment on the suitability of the form, content and marking schemes of assessments and examination papers contributing to overall module marks for all modules contributing to the determination of an award of the University.
- 8.4.4 Where tasks do not have a defined title (for example, a presentation or an artefact), or are student-defined (such as dissertations, negotiated essay titles etc.) then these do not have to be referred to the external examiner.
- 8.4.5 The timing of engagement with external examiners regarding draft assessments will influence the timing of communication to students about their assessment. Schools should engage with external examiners in a timely manner at the start of the academic year in which the module is to be taught.



## 8.5 Submission deadlines

- 8.5.1 Assessment deadlines must be set for **12 noon (12:00)** as standard university practice.
- 8.5.2 Deadlines must not be set beyond the Academic Registrar's deadline/resit deadline. Reassessment deadlines should be set as per the 'Examination and Assessment Schedule', but if it is necessary to schedule a reassessment date outside of the period in the schedule the dates must be agreed with the Assessment team in Registry prior to communicating the change to students. The Academic Registrar's deadlines for the academic year can be found in the [Examination and assessment schedule](#).
- 8.5.3 For non-standard programmes and collaborative partners (validated and franchise), reassessments should be timed in relation to the School Assessment Board (SAB) that the module results are agreed at. The reassessment date should be no earlier than 3 weeks, and no later than 6 months, after the SAB.
- 8.5.4 A deadline **must not be set on a day when the University is closed**. This also applies to franchise partners when setting their deadlines. This includes:
- Saturdays and Sundays
  - Bank Holidays
  - University closure days over the Christmas period
- 8.5.5 Deadlines can normally be set for the first working day that the University is open following the closure, with the exception that following the **Christmas period closure deadlines should be set no earlier than the second working day following the re-opening**.
- 8.5.6 Assessment dates will avoid, as far as possible, holy days and festivals. University events and a link to the Open University Calendar of religious events can be found on our [website](#). Students are required to notify the Assessment team in Registry (or equivalent at a partner institution) of their inability to carry out work on holy days as soon as possible after enrolment.
- 8.5.7 Heads/Deans of School or nominated representative should consider staggering deadlines for their programme to avoid clustering of multiple assessments on or around the same date to account for student workload.
- 8.5.8 It is recommended that students submit their work in good time and, at the latest, start to submit their work at least **1 hour before the deadline** to allow for unforeseen circumstances (for example, Wi-Fi/internet issues).
- 8.5.9 Work submitted after the deadline will be marked as late, even where the student began to upload their work prior to the submission deadline. The sanctions for late submission outlined in this code will apply (refer to [section 26.3](#)).

### Assessment schedules

- 8.5.10 Prior to beginning of each academic year, a schedule for all assessment dates for the academic year must be agreed at programme level by the School Quality Panel.
- 8.5.11 The 'Assessment Schedules' for the entire year must be received by the deadlines below.

Schedule	SQP approval by	Deadline for receipt by Assessment team in Registry
All modules for the forthcoming year	July	31 July

- 8.5.12 For each module or assignment task the 'Assessment Schedule' must include:
- Assessment dates.
  - Reassessment dates.
  - Agreed dates for returning marks and feedback to students.
  - Identification of double markers/internal moderators (this information may be added at a later point if this is not available when the dates are approved by the School Quality Panel).
  - The external examiner responsible.
- 8.5.13 Once finalised the 'Assessment Schedule' must be made available by the Programme Administration and Support Service (PASS) team or programme team to the programmes' external examiners to ensure they are aware of when samples will be received and to assist in managing their workload.

## Changes to submission and resubmission deadlines

- 8.5.14 All deadlines **should not** normally be changed once they have been set and communicated to students.
- 8.5.15 In exceptional circumstances if a deadline does need to be changed, the Head/Dean of School, or nominated representative, must consult with the Assessment team in Registry prior to implementing or communicating a change to the deadline.
- Exceptional circumstances may include, but are not limited to, staff illness affecting module delivery, or unforeseen difficulties with resources. Schools should implement rigorous checking procedures after the Assessment Schedule is approved to ensure that the dates provided to students on Moodle correspond with the date approved on the Assessment Schedule.
  - A School Quality Panel (SQP) Chair's Action should be completed detailing the rationale for the change of deadline.
  - Changes must not be communicated to students until the Assessment team in Registry has been consulted.
  - The SQP Chair, Head/Dean of School, or nominated representative, is responsible for checking the suitability of the new deadline.
  - If a change is agreed the SQP Chair, Head/Dean of School or nominated representative reports this to the School Quality Panel, who monitor the volume and reasons for changes to deadlines within the School.
  - If agreed the School must ensure that the change is communicated clearly to all students. Schools must ensure that all students with extensions via exceptional circumstances and/or Learner Adjustment Plans are given amended deadlines for their existing extensions in line with the new deadline.
  - If an IT problem affects the entire cohort, for example, due to a Moodle update or similar, the School can change the deadline to the **next working day**. In these circumstances the School must notify students in good time and let the Assessment team in Registry know the change in assessment date. Checks will be made for students who may have extensions. The School should also give guidance to students who may have already submitted prior to the IT failure. Students are encouraged not to withdraw their submission as the added time is to remove jeopardy of the IT problem rather than give more time to work on the assessment. Individual students with IT problems should be directed to the 'Exceptional Circumstances Policy' (refer to [section 13](#)), although it should be noted that IT grounds for individual students are unlikely to be upheld.

## Changes in assessment

- 8.5.16 Assessments should not normally differ from the approved module specification published on the Staff Information Point where amendment has not previously been approved by the Programme Amendment Scrutiny Panel (PASP).
- The deadline for module amendments in Semester 1 and yearlong is the final Friday in May for modules delivered the following September.
  - The deadline for module amendments for modules delivered in Semesters 2 and 3 is the final Friday in November for modules delivered from the following January.
- 8.5.17 In exceptional circumstances if an assessment does need to be changed for the current year after the deadlines above have expired the Head/Dean of School, or nominated representative, must complete a School Assessment Board (SAB) Special Resolution form explaining the reason for the change, and confirmation about consultation with students and consultation with the external examiner. Refer to [section 41.7](#) for more information on the Special Resolution process.

## Changes to Module Directors/Leads

- 8.5.18 Changes to Module Directors/Leads do not require SQP approval. The Programme Administration and Support Service (PASS) team or programme team should email the Assessment team in Registry to notify them of the change.

## 8.6 Submission methods

8.6.1 E-submission is normally the standard method for submission of work. It is recognised that exceptions do exist, and e-submission does not apply to:

- Creative coursework (for example, for art and design courses).
- Some types of portfolios.
- Some types of presentations.
- Some types of group work.

Traditional offline (hard copy) submission procedures may apply to these exceptions.

8.6.2 Clear instructions to students as to the form for submission must be given in the module documentation available to students on the Moodle module site and within any other relevant assessment literature for the programme of study.

8.6.3 The submission procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

### E-submission

8.6.4 To ensure that students receive a consistent experience across all programme areas, the Virtual Learning Environment (VLE) will be used as the online environment for submitting formal summative assignments.

8.6.5 Module Directors/Leads should use either of the following supported methods to handle assignment submission:

- Moodle
- Turnitin

8.6.6 In the event that University systems are not accessible on the due date/time, students will be advised by email to their university email address of any changes to alternative submission arrangements (refer to [section 8.5.15 g](#)).

8.6.7 When work is submitted to Moodle or Turnitin an **email confirmation** will be sent to the student's university email address. If this does not appear then students are advised to repeat the process again. Support information is available on the [Submitting work](#) page.

8.6.8 Students are strongly advised to check they have submitted the final version of their work by the deadline. In cases where a draft has been submitted by the deadline and confirmation received the draft can be marked with no late sanction applied.

8.6.9 If a Module Director/Lead wishes to stipulate that files submitted must be of a certain type, then they must (where possible) configure the submission point to restrict submissions to acceptable file types. Any such restrictions must be publicised to students at the time of issuing the 'assessment brief', rather than only at the point of submission.

8.6.10 If more than one version of work is submitted:

- If all submissions are made before the deadline, the latest version should be marked.
- If no submissions are made before the deadline, the first submission after the deadline should be marked.
- If submissions are made both before and after the deadline, the latest version **before** the deadline should be marked.

8.6.11 Errors when submitting electronically are treated as follows:

- a) Submission of the correct file to the wrong Moodle site or following School advice to submit to a School or tutor's university email account due to technical difficulties, but before the deadline for submission will be treated as correctly submitted and will not incur a late submission sanction. It is the student's responsibility to alert their School if they have made such an error and confirm where the submission has been made.

- b) The timestamp on the receipt issued by the VLE when a submission has been successfully completed is the time that is used to determine whether a submission is late or not – irrespective of when the submission process was initiated. Discretion to waive a sanction for a late submission beyond the deadline does not constitute a fair and transparent approach. There is no discretion when determining whether a submission is on time – the date and time recorded on the final receipt is the only evidence that will be considered and a submission made at 12:01 would incur a late submission sanction (refer to [section 26.3](#)). Receipts with a submission recorded as 12:00 will not incur a late sanction.
- c) Accidental submission of an incorrect document (for example, an assignment from another assessment or an incomplete earlier draft of the assignment) should be marked in the normal manner; this is not accepted as exceptional circumstances (refer to [section 13.5](#)).
- d) A submission of the wrong file type is not accepted as an exceptional circumstance (refer to [section 13.5](#)) and the assignment should be marked in the normal manner which may result in a mark of zero for the assessment. It is the student's responsibility to ensure that they follow the instructions as to the acceptable file type(s) for the assessment accurately (refer to [section 8.6.2](#)).
- e) A submission of a corrupted file that cannot be accessed by the marker, is not accepted as an exceptional circumstance and any additional documents subsequently submitted after the deadline will not be marked (refer to [section 8.6.10](#)).

### Offline (hard copy) submissions

- 8.6.12 Schools must have in place appropriate and secure arrangements for submission of offline (hard copy) assessed work where this permitted. Work will be logged, and a receipt will be issued. It is the student's responsibility to ensure that they are issued with a receipt and to retain it as proof of submission.
- 8.6.13 If work is submitted by post it must be submitted by **recorded delivery**. It is the responsibility of the student to retain a receipt and proof of posting and a copy of the work in case of loss in the post.

## 8.7 Backing up of student work

- 8.7.1 Backing up work means making a copy of academic electronic files, particularly for assessments during assessment preparation.
- 8.7.2 Backing up work by students (prior to and after submission) is essential for students to protect their work and to prevent loss of student work in cases of software and hardware failure, virus attacks and human error. Students are encouraged to make secure copies of their work frequently, particularly when completing significant changes to draft assignments.
- 8.7.3 Loss or damage to electronic documents are not grounds for exceptional circumstances.
- 8.7.4 Students are reminded to keep backup copies of all work as the University is unable to provide copies of work post-submission should their work be lost, for example, through computer failure, theft or deletion.

## 8.8 Confidentiality within student work

- 8.8.1 Schools must provide clear guidance to students to ensure they understand and maintain appropriate confidentiality, anonymity of individuals, organisations, and workplaces during their studies and within their assessment submissions.
- 8.8.2 Students will be advised how to handle confidential information within their written work, particularly by protecting client identity. However, students can request that material submitted for assessment is kept confidential if it is commercially sensitive or to protect intellectual property.

## 8.9 Confidentiality of student work

- 8.9.1 The University will archive students' assessed work in line with the requirements of the Office for Students. Anonymised versions will be available for internal and external quality assurance and audit, or as an exemplar for learning.

## Section 9 Examination practice and conduct: policy and procedures

### 9.1 Introduction and examination-related terminology

9.1.1 Examinations, or exams, are normally defined as formal, invigilated, written assessments.

9.1.2 Commonly used examination terminology includes:

- **Paper** – question paper for the examination.
- **Script** – examination answer booklet.
- **Examination paper cover sheet** – the precise instructions for the examination paper are described on the cover sheet.
- **Open book examination** – examinations where students are permitted to bring items specified on the examination paper cover sheet into the examination, such as notes or coursework.
- **Closed book examination** – examinations where students are not permitted to bring any additional items into the examination unless specified on the examination paper cover sheet, for example, unannotated statute books.
- **Seen examination** – examinations where students are given access to the examination paper by the Module Director/Lead at some point in advance of the examination session allowing them to prepare outline answers. The actual examination is sat under examination conditions. Students are not normally permitted to bring preparatory material into the examination room unless this is explicitly stated on the examination paper cover sheet.
- **Unseen examination** – examinations where students are not given access to the examination paper in advance, and students do not know the questions to be asked until the beginning of the examination.
- **Take home examination** – an examination where students are required to complete a task and submit their work within a strict time limit while working at home or in the library. Students are allowed to consult their own notes, course texts and other materials (refer to [section 7.16](#) regarding timed assessments).
- **Digital examination** – normally an examination paper delivered online under examination-controlled conditions.

### 9.2 Examination scheduling

9.2.1 The general examination periods for the academic year are published a year in advance on the [Key academic dates webpage](#).

9.2.2 **Normally at least 3 weeks before** the date of the first examination, the examination timetable will be published by the Assessment team in Registry in the [Student Hub](#).

9.2.3 Programme/Course Leads are responsible for checking the draft timetable and informing the Assessment team in Registry of any inaccuracies.

9.2.4 Students are responsible for checking the examination timetable and in cases of difficulty they must inform the Assessment team in Registry **within 5 working days** of notification of the draft examination timetable by submitting a case via the [Student Hub](#).

9.2.5 Once finalised, examination timings are released to students through e:Vision and published in the [Student Hub](#).

9.2.6 Examinations will be held in 1 of 2 'slots' in each day of the examination period. These are normally:

- 9.30am (duration up to 3 hours).
- 2.00pm (duration up to 2 hours).
- Students with approved additional time for examinations would normally have the extra time added on to the end of the advertised examination time.

9.2.7 Students may be required to sit up to a maximum of 3 examinations in any 2 consecutive days during the examination period.

- 9.2.8 In the eventuality that a student has two examinations in the same session due to an unavoidable timetable clash, one of the examinations will be moved to an earlier or later session. In this situation the student will stay under supervision until the start of the next examination. The Assessment team in Registry will notify affected students of any supervision arrangements in advance of the examinations.
- 9.2.9 In the eventuality that an examination paper needs to be split across two or more separate sittings due to room capacity issues, students will be divided into two or more groups. Students in the second or later groups will stay under supervision until students in the first or earlier groups have completed the exam. The Assessment team in Registry will notify affected students of any supervision arrangements in advance of the examinations.
- 9.2.10 Examinations must normally be sat at the campus or approved exam venue, in York or London, at which the student is enrolled. Students enrolled at franchised partners must sit examinations at their home institution campus. It may be necessary for a student to sit examinations in other premises than those of the University. Such considerations would not normally be valid grounds for a review of the timetable or exceptional circumstances.
- 9.2.11 If the same examination paper is scheduled for concurrent use in multiple locations, then all examinations must be conducted at the same time. If that is not practicable (for example, because of a difference in time zone), then it is necessary to set a separate examination paper for each separate examination start time to avoid the risk of compromising the security of the examination paper. Under these circumstances Schools should seek advice from the Assessment team in Registry.

### 9.3 Religious observance during examination periods

- 9.3.1 Arrangements for examinations and assessments will avoid, as far as possible, significant religious festivals although it is not always possible to guarantee to avoid all such days. Students are required to notify the Assessment team in Registry (or equivalent at a partner institution) of their inability attend examinations on holy days as soon as possible after enrolment and by **no later than 6 weeks before the start of each examination period**. The Assessment team in Registry can be contacted by submitting a case via the [Student Hub](#).

### 9.4 Departmental examinations

- 9.4.1 Examinations contributing to award that are held departmentally must be invigilated to the required standard following the University examination procedures.

### 9.5 Preparation and approval of examination papers

- 9.5.1 When preparing examination papers Module Directors/Leads must make every effort to ensure that examination instructions and questions are clear and can be easily understood by students.
- Examination paper cover sheet and multiple-choice answer sheet templates are available from the Assessment team in Registry for download on the [University staff Intranet](#).
  - Questions should be written as clearly, simply, and precisely as possible.
  - Questions should avoid the use of colloquialisms, slang, and wording which has a cultural bias.
  - Instructions should state that students must cross out work they do not want to be marked, and that if students do not follow the paper's instructions the procedures laid out in this 'Code of Practice for Assessment' will be applied. (Refer to [section 9.17](#)).
- 9.5.2 The examination paper cover sheet must be created and passed to the external examiner with the examination paper for scrutiny.
- 9.5.3 The re-use of examination questions is generally poor practice and may lead to unfair student experiences. The re-use of questions included on papers that have been sat by students in the last 2-year period should be avoided unless there is explicit agreement from the external examiner. Question banks from which multiple-choice exams are drawn will recycle questions; in this case the bank of questions must be extensive and avoid the same sets of questions being used together on papers.



9.5.4 Best practice guidance for reducing examination paper errors includes checks for ensuring:

**Examination paper preparation checklist**

- a) The examination duration is stated correctly and in line with the published timetable.
- b) The instructions on the examination paper cover sheet make sense, for example, ensuring where reference is made to Section A and Section B that the sections are clearly labelled in this manner.
- c) The examination paper cover sheet is clear regarding which additional items are allowed to be brought into the exam, particularly where calculators are permitted.
- d) The material to be provided with the examination paper is clearly referenced on the examination paper cover sheet, and where necessary supplied with the examination paper, for example, graph paper, answer sheets, diagrams.
- e) Page numbers flow correctly and are presented in the format 'Page x of y' at the bottom of the page.
- f) Question numbers flow correctly and are consistent in style throughout the paper (for example, not 1a, 1b, followed by 2i, 2ii).
- g) The marks allocated to questions are checked to ensure they match the total number of marks for the paper.
- h) The wording 'End of question paper' is written at the end of the paper's questions.
- i) Arrangements are made for the paper to be checked for punctuation and grammatical errors, and any other areas of ambiguity with language by someone other than the paper setter. Formula and technical information must be checked for accuracy.
- j) Spaces are included at the top of the front page for the **student ID number** and **desk number** on any separate answer sheets to be submitted or where the student is required to answer within the examination paper and submit this.

9.5.5 External examiners must be involved in the approval of examination papers for:

- All programmes at all levels that run for the first time.
- All papers for modules contributing to an award.

9.5.6 The scrutiny process must ensure the quality of the questions is appropriate; guidance includes:

- Checking the accuracy and balance of questions across the whole paper.
- Checking the parity between the initial paper and the resit paper.
- Reviewing questions against the learning outcomes and level of the module.
- Reviewing the accompanying model answers / marking criteria for use in the marking process.
- Ensuring that detail such as formulae, facts and figures are correct and consistent with the question text.
- Checking the accuracy of the examination paper cover sheet instructions.

9.5.7 **Prior to printing**, Schools must have a robust final checking process in place to ensure examination papers, including the cover sheet and additional sheets, are free from errors and all material is provided. Guidance on appropriate checking process is available from the Assessment team in Registry.

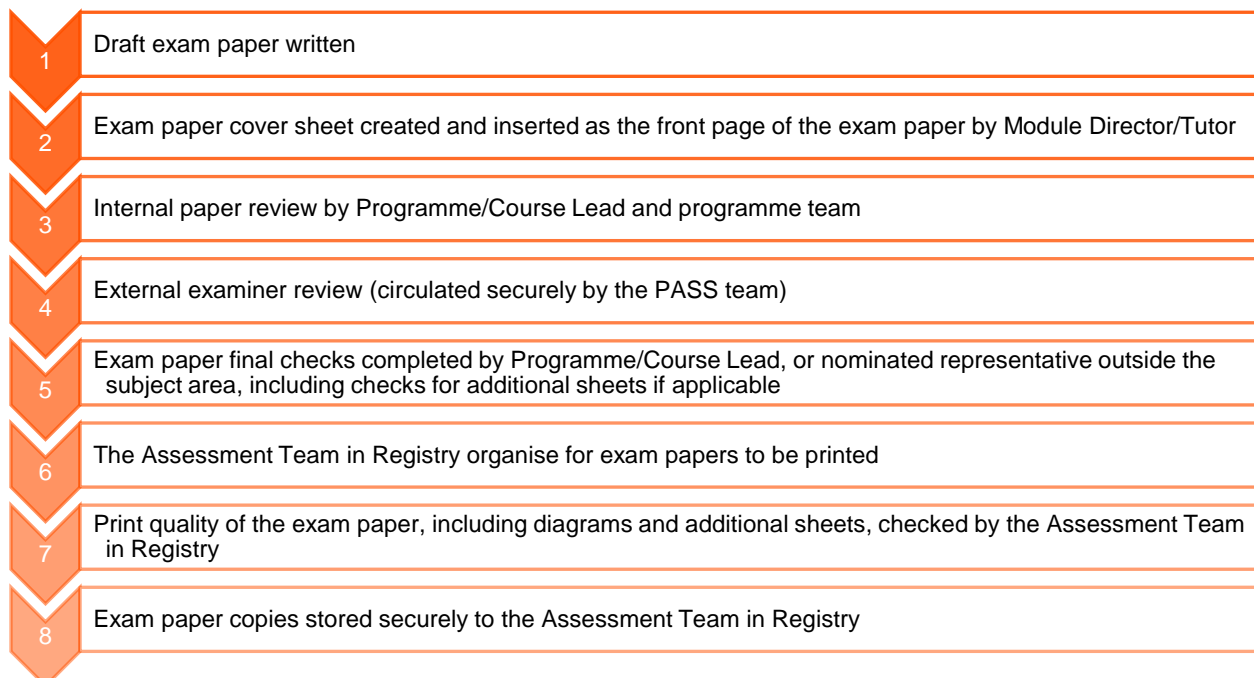
9.5.8 Any additional answer sheets must include a space for the students to record their student identification number and desk number.

9.5.9 The Assessment team in Registry are responsible for the organisation and production of examination papers with sufficient copies printed by the deadline detailed on the [Examination and Assessment Schedule](#).

9.5.10 **Prior to printing** the Assessment team in Registry must ensure the 'Examination Paper Checklist' has been completed by the Examination Paper Setter.



- 9.5.11 The Assessment team in Registry will check the 'Examination Paper Checklist' for the Examination Paper Setter's printing preferences. If no preferences are selected, the examination paper will be printed double sided and in black and white.
- 9.5.12 **Following printing** the Assessment team in Registry will check and ensure all images, texts and diagrams on the examination papers have been clearly reproduced.
- 9.5.13 Schools must ensure that prior to an examination, students are made aware of the nature and format of the examination.
- 9.5.14 Summary of the examination paper preparation process:



## 9.6 Security of examination papers and materials

- 9.6.1 The security of examination materials is of the highest importance and Schools must ensure that they have reliable procedures in place to securely communicate with colleagues and external examiners.
- 9.6.2 It is essential that all examination papers remain confidential prior to the examination being sat. This applies to both the secure storage of hard copies of papers and to the security of electronic copies. The following strict security procedures must be adopted:
- When not being worked upon, hard copies of draft and final examination papers must be stored in locked cabinets in an area where access is restricted. The keys for the cabinets must not be kept within the desk adjacent to the cabinet.
  - Electronic versions of draft and final examination papers must be encrypted (password protected) and stored on a secure network drive designated for examination paper, for example, MS One Drive; access to this drive must be limited to agreed individuals. To reduce the security risk posed if a device is lost or stolen electronic versions of examination papers must not be stored on the hard drive of a computer, or on a memory stick or similar portable device.
  - Internal mail and email must not be used to circulate examination papers or materials. Colleagues are reminded that normal email (and attachments) is not secure and consultation regarding examination questions must not be shared in this way.
  - Examination papers and materials must be uploaded to the relevant Teams page. The Assessment team in Registry will restrict access to this page to ensure the security of the electronic copies.
  - Hard copies of examination papers and material must not be left unattended.
- 9.6.3 Following the examination, the School must arrange for collection of examination scripts and examination papers from the Assessment team in Registry; a signature will be required to confirm receipt.
- 9.6.4 Any breach of security must be reported as a matter of urgency to the Academic Registrar or Head of Registry, and Registry Assessment team Manager.

## 9.7 Invigilation

- 9.7.1 Invigilators are responsible for enforcing the University regulations and policies that govern examinations.
- 9.7.2 Short training sessions for invigilators are run prior to examination periods by the Assessment team in Registry. All new invigilators are required to attend training prior to acting as an invigilator. Non-compliance of invigilator training will be reported to the Quality and Standards Committee.
- 9.7.3 There must be a minimum of 2 invigilators for each examination slot in the main examination room, with 1 additional invigilator for every 50 students thereafter; 1 of which will be an academic staff member from the University.
- 9.7.4 Shared additional requirement rooms require 1 invigilator, who will normally be an academic staff member from the University, with 1 additional invigilator for every 25 students thereafter.
- 9.7.5 The Head/Dean of School or nominated representative are responsible for ensuring there are enough invigilators for any modules with examination components.
- 9.7.6 The Assessment team in Registry prepares an invigilation schedule detailing the invigilator allocations for each examination room.
- 9.7.7 The **lead academic invigilator**, allocated by the Assessment team in Registry, takes overall responsibility for the conduct of the examination and the invigilation process; including ensuring the collection of examination scripts following the examination is conducted in a robust manner.
- 9.7.8 Where the School is not required to provide invigilators, the School must ensure that the Module Director/Lead or proxy is available to attend for the **first 15 minutes** of the examination and that they are contactable throughout the duration of the examination.
- 9.7.9 Invigilators must declare any personal conflicts of interest in relation to students taking examinations. Declarations must be made to the Assessment team in Registry no later than 1 week before the examination.
- 9.7.10 Invigilators must **arrive 30 minutes** before the start of the examination in the main room, or 15 minutes before the start of an examination in an additional requirement room. Prior to the examination a member of Registry will brief the invigilator(s) on the specific requirements for the examination session; this will include any learning support needs (if appropriate).
- 9.7.11 Invigilators must ensure that students remain seated at the end of the examination until all the scripts are collected. Students who finish early are not allowed to leave without permission from an invigilator; the examination script remains on the desk and is collected and recorded at the end of the examination.
- 9.7.12 Detailed invigilator guidance is available to invigilators in advance of the examination and can be downloaded from the [University staff Intranet](#).

## 9.8 Attendance, lateness and absence

- 9.8.1 Attendance at examinations is compulsory.
- 9.8.2 A student who is late may be admitted to the examination **up to 30 minutes** after the start time but not thereafter. Any such student is required to report to an invigilator on arrival and present their university ID card to verify their identity. A student admitted after the start time must finish their examination at the same time as the other candidates for that examination.
- 9.8.3 Students who do not attend an examination will be deemed to have failed the assessment and will be given a mark of zero.
- 9.8.4 If an incoming exchange student has prior approval to not sit an examination due to partaking in a student exchange programme, they must contact their Module Director/Lead at the start of the module to notify them of their early leave date so an alternative assessment can be arranged. Refer to [section 16.3.3](#) for full details regarding when this is applicable and the process for approval.
- 9.8.5 If a student is absent from an examination due to unforeseen exceptional circumstances the procedure for exceptional circumstances should be followed where appropriate. Misreading the examination timetable is never regarded as an exceptional circumstance. Refer to [section 13.5](#).
- 9.8.6 Information about requesting an excusal from jury service can be found in the procedure for Support with Jury Service, please refer to our [Jury Service](#) page.
- 9.8.7 Students are expected to plan to arrive at the examination venue in good time. In the event of a failure of the transport services due to unforeseen industrial action or major incident, students are required to obtain an official note from the transport company to confirm the reason for the absence. Students must then follow the exceptional circumstances process.

- 9.8.8 Students are expected to return to the University to complete resit examinations where required to do so for progression or award purposes. Students who need to return home, particularly students who live overseas, must ensure they factor in sufficient travel time to account for potential delays and must ensure their visa permits them to return in time for the examination. Alternative arrangements would not normally be put in place for students who are late returning.
- 9.8.9 Alternative reassessment arrangements may be put in place for incoming exchange students who have returned home following their studies (refer to [section 11](#)). This does not apply to students enrolled on York St John University programmes of study who live overseas.
- 9.8.10 Students are allowed to leave the room during the examination only for good reason and must always be accompanied by an invigilator. Students who leave the examination room unaccompanied will not be permitted to re-enter the examination.
- 9.8.11 Students may not leave the room in the **final 10 minutes** of the examination. Students must remain seated until their script and examination paper has been collected, and they are informed by the invigilator that they may leave the room.

## 9.9 Illness before or during an examination

- 9.9.1 Students who are unable to attend an examination because of illness must submit a self-certification form that confirms the circumstances affecting assessment. Students should then follow the exceptional circumstances process (refer to [section 13](#)).
- 9.9.2 Students who become ill during an examination and do not feel able to continue should raise their hand and inform a member of the invigilation team. Students are advised to seek evidence from a health professional as soon as possible after leaving the examination that confirms the nature of their illness; evidence provided by the invigilator is not normally accepted to support a claim for exceptional circumstances. Students must then follow the self-certification or exceptional circumstances process.

### Temporary injuries or illnesses that impact on a student's ability to write an examination

- 9.9.3 In the first instance students should contact Student Wellbeing, Disability and Inclusion to establish whether special examination arrangements can be made to support them. If appropriate support is not available students can submit a claim for exceptional circumstances requesting the examination is deferred (refer to [section 13](#)).

## 9.10 Establishing student identity

- 9.10.1 University ID cards act to confirm student identity during examinations and must be brought to each examination.
  - a) The card must be legible, undamaged and contain a clear photograph that is a true enough likeness to identify the student.
  - b) If the card is damaged in a way that makes it illegible, or the photograph is unclear the student must organise a replacement card in advance of the examination period.
  - c) Other temporary forms of acceptable photographic identification include passports and photo driving licenses.
- 9.10.2 Students' identity will be checked by an invigilator within the first **30 minutes** of the examination.
- 9.10.3 Arrangements will be made to check the identity of students wearing partial or full face covering because of religious beliefs in a respectful and sensitive manner (for example, use of a private room by a person of the same gender).
- 9.10.4 Students are required to display their cards with the photograph facing upwards on the desk throughout the examination.

## 9.11 Items permitted in examinations

- 9.11.1 Students are normally only permitted to take into the examination room those items needed to complete the examination, and these must be in a transparent plastic bag or transparent pencil case, for example, pens, pencils, eraser, ruler, pencil sharpener, university ID card.
- 9.11.2 The use of correction fluid (for example, white-out or Tippex) is not permitted to be used in examinations.
- 9.11.3 Coats and hats are not permitted, and students must dress appropriately for the weather. Students will be asked to remove any headwear which is not worn for religious purposes.
- 9.11.4 Students are permitted to bring in a small clear bottle of still water (500ml max) that has had its label removed. No other drinks or food are permitted. Exceptions to this will be granted where it has been permitted by the Disability Support and Inclusion team as part of a student's Learner Adjustment Plan.

- 9.11.5 If unauthorised property (including bags, coats, notes, mobile phones, electronic devices, watches etc.) is brought into the examination room it must be left in a designated area in the room at the student's own risk. Mobile phones and other electronic devices must be turned off prior to leaving them in the designated area. The University does not accept responsibility for any items taken into the examination room.
- 9.11.6 Students must ensure that unauthorised items are not accessible during the examination, and they are not retained within pockets.
- 9.11.7 Students found to have unauthorised material in their possession during an examination will be considered to have breached the assessment regulations (refer to the Academic Misconduct procedures [section 27](#)).

#### **Materials permitted in open book examinations**

- 9.11.8 For open book examinations students may also be permitted or required to bring with them additional instruments, books, or materials.
- 9.11.9 Details of such arrangements will be confirmed to students and the Assessment team in Registry (when the examination paper is submitted) by the Module Director/Lead prior to the examination. It is the student's responsibility to bring the correct materials to the examination.
- 9.11.10 These items are checked by the Module Director/Lead or representative during the examination. It is the student's responsibility to ensure that approved books and materials do not contain unauthorised material.
- 9.11.11 If students are permitted to bring specific items into examinations, it is the School's responsibility to notify students in advance of the examination of exactly what they are permitted or required to bring into the examination, for example, calculators, statute books. Schools must make students aware it is their responsibility to bring the permitted item to the examination, and in the case of calculators ensuring it is working – **spare copies of calculators, books or other permitted materials will not be provided.**

#### **Calculators**

- 9.11.12 Calculators are not permitted unless specifically stated on the examination paper cover sheet.
- 9.11.13 Calculators must not be programmable and the Module Director/Tutor, or their representative, must check students' calculators at the start of the examination.
- 9.11.14 If an examination permits the use of a calculator this **will not be supplied by the University for students who fail to bring their own calculator.**
- 9.11.15 Students are responsible for ensuring that their calculator is working prior to the examination and that they are familiar with how it works; guidance is not provided by invigilators.

#### **Electronic devices and watches**

- 9.11.16 Students are not permitted to bring mobile phones or other electronic devices to the examination including (but not restricted to) tablets, mobile phones, mp3 players and smart watches. If an electronic device is brought into an examination, it must be switched off and placed in a designated area prior to the examination at the student's own risk.
- 9.11.17 Smart watches are not permitted in examinations. Students must remove all smart watches prior to the examination and place them in a designated area at the student's own risk. Non-smart watches must be removed prior to the examination and should be placed on the student's desk. If an invigilator suspects a watch may have smart capabilities it will be removed from the desk due to a suspected breach of the examination regulations (refer to [section 9.19](#)).
- 9.11.18 Students found to have retained an unauthorised electronic device in their possession during an examination will be considered to have breached the assessment regulations (refer to 'Academic Misconduct' procedures [section 27](#)).
- 9.11.19 The Disability Support and Inclusion team may permit students to retain electronic devices during examinations if there is an exceptional need for this (for example, the use of a smart watch to monitor heart rate, or the use of a mobile phone to monitor glucose levels). Such permissions should be clearly stated on the student's Learner Adjustment Plan. The Disability Support and Inclusion team will provide detailed guidance to the Assessment team in Registry and to the student on how the electronic device should be used or accessed during the examination. Any breach of the Disability Support and Inclusion team's guidance by the student will be considered a breach of the assessment regulations (refer to the Academic Misconduct procedures [section 27](#)).

## Dictionaries

- 9.11.20 Dictionaries are not permitted in examinations, including translation dictionaries, and dictionaries will not be provided.

## 9.12 Examination stationery

- 9.12.1 Students are not permitted to remove any examination papers, scripts, or other examination stationery from the examination room.
- 9.12.2 Pages may not be removed from an answer script. Removal is regarded as academic misconduct (refer to [section 27](#)).
- 9.12.3 Paper is not provided for rough notes. If students do need to make rough notes, they may use their answer script provided. It is the responsibility of the student to cross out any notes they make that they do not want the examiner to mark. All written work, including such notes, must be submitted.
- 9.12.4 All work, including rough work, must be written in the answer script provided, or on the relevant paper provided where answer books are not used.
- 9.12.5 Additional sheets of paper, such as graph paper, multiple-choice answer sheets and diagrams, must be clearly marked by the student with their university ID number and desk number before they are collected by an invigilator at the end of the examination.

## 9.13 Conduct in examinations

- 9.13.1 It is the responsibility of the student to ensure they have satisfactorily completed the requirements of the University in respect of enrolment, including the payment of fees otherwise they will not be considered to be enrolled for any assessment.
- 9.13.2 Prior to the examination students must assemble outside the examination room at **least 20 minutes** before the published start time. Students must not enter the examination room until instructed to do so by the invigilator. Seating plan attendance lists with the module number and title, student number, student name and seat number will be displayed outside the examination rooms immediately prior to the start of an examination session.
- 9.13.3 Students will be admitted to the examination room a few minutes before the examination start time indicated on the timetable. Examination conditions apply upon entry to the examination room and students must enter in silence. Students must ensure they occupy the correct seat as indicated on the seating plan and must place their university ID card on the desk clearly visible for the invigilator to check.
- 9.13.4 Students must not communicate with anyone except the invigilators or Registry representatives during an examination. A student who wishes to attract the attention of an invigilator must remain seated and raise their hand.
- 9.13.5 Students must follow the instructions given by the invigilator.
- 9.13.6 Students must ensure that unauthorised items are not accessible during the examination and that their hands and person are clean of any writing or symbols.
- 9.13.7 Students must conduct themselves in a manner that will not cause disturbance to other students in the examination room.
- 9.13.8 Students must cease writing their answers when instructed to do so and must ensure that their scripts, continuation sheets and rough work are attached together ready for collection by the invigilator. Students that do not cease writing when instructed will be considered to have breached the assessment regulations (refer to 'Academic Misconduct' procedures [section 27](#)).
- 9.13.9 Students must complete the front page of the answer script. This will include the student number on their university ID card. The student must anonymise the script by sticking down the glued portion of the script front cover at the end of the examination to conceal the name as instructed by the invigilator. Students are responsible for ensuring their university ID number is written on every answer sheet and answer script. Failure by students to write their university ID number on an examination script or additional answer sheet may result in the marks not being allocated to them.
- 9.13.10 At the conclusion of the examination students must remain silent and seated until instructed to leave the examination room.



## 9.14 Examination paper errors raised during examinations

- 9.14.1 If a student has a question about the examination paper during the examination, they must raise their hand to summon an invigilator.
- 9.14.2 The invigilator will provide the student with an 'Examination paper query form'. The invigilator will instruct the student to complete the form and carry on with the question as presented.
- 9.14.3 **No examination paper correction announcements should be made once the examination has started** to avoid creating unfair advantages or disadvantages for students who may be sitting the same examination across multiple venues. Mitigation is applied after the event based on the issue.
- 9.14.4 All forms should be collected at the end of the exam and be stored with the examination scripts until collected by the Module Director/Lead for marking. The form(s) will be presented to the Module Director/Lead for review after the examination.
- 9.14.5 Following review, students will be notified by email by the Module Director/Lead of the decision taken. The decision and response will apply to all students taking the examination paper at that sitting. This applies even if a student did not answer a question containing an error, as the error may have been a factor in the decision regarding the question the student answered.
- 9.14.6 If no error was found this decision should be communicated to all students.
- 9.14.7 If the response is to set aside (void) the examination paper, all students must be offered the opportunity, although it is anticipated that some students may not wish to void their result. Following the decision to offer the void the process to follow is:
- a) The marking and moderation are completed as normal including marking the erroneous question.
  - b) The Module Director/Lead must contact all students to confirm that an error was detected in the examination paper and confirm the remedy that has been put in place (refer to [section 9.14](#) for guidance).
  - c) If the remedy is to offer the opportunity for students to elect for their mark to be voided and to sit the examination again at the same attempt at the next opportunity, the communication should also include:
    - That students will be given their provisional mark for the examination paper before deciding what action to take.
    - Students have 2 weeks from the release of the provisional mark to decide if they want to retain the given mark or to request to void the mark.
    - If students do not respond by the deadline, they will assume the mark is to be retained.
    - If students elect to void the mark, they cannot at a later date revert to the original mark, even if they attain a lower mark at the next opportunity.
  - d) The new paper is usually scheduled for the next examination period, but if this poses difficulties for award or progression it may be scheduled for an alternative time in agreement with the Assessment team in Registry. The Module Director/Lead must discuss this with the Assessment team in Registry before confirming a revised date to students.
  - e) The Module Director/Lead must then send a list of the students who have elected to void their mark to the Assessment team in Registry. The Programme Administration and Support Service (PASS) team logs all deferred attempts following voids on the deferrals database.
- 9.14.8 Examination paper errors are monitored through the Quality and Standards Committee.

9.14.9 Some examples of mitigation responses are provided in the table below:

Type of examination	Error	Example(s)	Response
<b>Any</b>	Spelling, grammar, punctuation, or numbering problem that does not change the meaning of the question	Missing comma, jumping from question 1 to 3	No mitigation required
<b>Multi-choice</b>	Duplicate question	The same question is included in two places on the paper	One question should be removed from the total marks available. If the student got the question correct on either occurrence, then they should be given the mark
<b>Multi-choice</b>	Duplicate answers	Option A and option B have the same answer against them	The question should be removed from the total marks available. This must not be more than 10% of the marks available.
<b>Multi-choice and Long or short answers</b>	Ambiguous question(s) worth <b>up to</b> 10% of the marks of the examination	Question has two different answers which are both correct  Question has different interpretations not represented in the answers	Question is discounted from marking
<b>Multi-choice and Long or short answers</b>	Ambiguous question(s) worth over 10% of the marks of the examination	Question has two different answers which are both correct  Question has different interpretations not represented in the answers	Exam offered to be set aside (voided) and further attempt given at the next opportunity
<b>Multi-choice and Calculations based paper</b>	Confusing or impossible question	Question has no correct answers	Exam <b>offered</b> to be set aside (voided), and further attempt given at the next opportunity
<b>Long or short answer</b>	Ambiguous question(s) where there is more than 1 correct interpretation	Not being clear whether a student should give one factor affecting a decision or multiple factors	Marking should be adjusted so all reasonable interpretations of the question can gain full marks
<b>Long or short answer</b>	Ambiguous or confusing questions where the meaning is substantially lost	Using different names for the same person/entity in the question	Exam <b>offered</b> to be set aside (voided) and further attempt given at the next opportunity



## 9.15 Disturbances during examinations

- 9.15.1 Procedures to be followed in the event of a disturbance during an examination. The response applies to all students in the examination room at the time of the disturbance.

Type of examination	Disturbance	Example(s)	Response
Any	Exam room evacuation	Fire alarm	Refer to <a href="#">section 9.16</a>
Any	Exam room significant disturbance or medical emergency	Student suffering a fit in the examination room and a first aider was called into the room Mass technical failure in PC examination	Exam <b>offered</b> to be set aside (voided) and further attempt given at the next opportunity. This only applies for students taking the exam in the same room as the disturbance (refer to <a href="#">section 9.16</a> for the process to follow)

## 9.16 Emergency examination evacuation procedures

### Procedures to be followed in the event of a fire alarm or bomb alert for the main examination room

- 9.16.1 The lead invigilator must instruct all students to cease writing immediately and leave all items including their answer scripts and question papers on their desk.
- 9.16.2 Invigilators should instruct students to evacuate the examination room as quickly and as safely as possible via the nearest fire exit and gather around the nearest fire assembly point (if on campus this is the front entrance of Lord Mayor's Walk).
- 9.16.3 The invigilator should inform a member of the Assessment team in Registry as soon as possible after they reach the fire assembly point. The examination will then be considered abandoned for the main examination room.
- 9.16.4 If the examination has been abandoned, the invigilator should make a note of the time and duration of the disturbance.
- 9.16.5 When the appropriate authorities deem the building safe to enter, the Assessment team in Registry along with the invigilators will then enter the examination room and collect all question papers and answer scripts.
- 9.16.6 The Assessment team in Registry along with the invigilators will then inform students when they may re-enter the examination room to collect their personal belongings.
- 9.16.7 The appropriate Module Director(s)/Tutor(s) and Associate Head/Dean of School will then decide if the examination should be rescheduled or if students' work can be marked and used to determine the assessment mark. This would be dependent on when the disturbance happened in relation to the duration of the examination and may require the raw marks to be rescaled. The duration of the examination before the disturbance and the level of the examination will influence the decision. If required, guidance can be sought from the Assessment team in Registry and Deputy Head of Registry.
- 9.16.8 The Deputy Head of Registry will then write a report on the circumstances leading to the abandonment of the examination, and this will be reported to the University Assessment Board.
- 9.16.9 If the appropriate Module Director(s)/Tutor(s) and Associate Head/Dean of School are satisfied that the examination can be accepted as it stands, for example, because the examination was close to finishing before the disturbance, then the examination can be marked for full marks and may require the raw marks to be rescaled. In all examinations at Level 5 and above, the relevant external examiner must participate in the decision.
- 9.16.10 If the examination must be rescheduled, arrangements will be made for the setting of an alternative examination at a later date if this is judged appropriate by the University Assessment Board. The timing of the alternative examination is to be agreed between the Academic Registrar and the Deputy Head of Registry, after consultation with the external examiner, and where appropriate, with the other members of the Board. Normally, if the examination must be rescheduled it will be held in the next scheduled examination period.
- 9.16.11 All students affected will be notified via email of the decision taken and, where necessary, the reschedule timing of the examination.

- 9.16.12 Students may wish to appeal their mark once this has been agreed. Refer to [section 48](#) for further information about the appeals process.

**Procedures to be followed in the event of a fire alarm or bomb alert in additional requirement rooms**

- 9.16.13 Invigilators must instruct all students to cease writing immediately.
- 9.16.14 If safe to do so, the invigilator should collect the answer script, question paper and examination box and leave the examination room as safely as possible and assemble with the student(s) in the nearest fire assembly point. When possible, the invigilator should contact a member of the Assessment team in Registry as soon as they have reached the fire assembly point.
- 9.16.15 The invigilator should note the time and duration of the disturbance. If the disturbance lasts for more than 30 minutes the examination will be considered abandoned.
- 9.16.16 Where there is more than 1 student in an additional requirement room, the invigilator must ensure students remain under examination conditions to prevent any collusion. Students may not talk to one another during this period.
- 9.16.17 If the disturbance lasts for less than 30 minutes, and after the appropriate authorities have deemed the building safe to enter, the invigilator can allow the student(s) to recommence the examination. This decision is made by the invigilator with advice from the Assessment team in Registry.
- 9.16.18 The invigilator must then add on the duration of the disturbance to the students' finish times.
- 9.16.19 Students may wish to appeal their mark once this has been confirmed. Refer to [section 48](#) for further information about the appeals process.

**Procedures to be followed where the examination room is interrupted in the main examination room and additional requirement rooms**

- 9.16.20 In an instance where there is an interruption in the examination room but does not require students to be evacuated, the invigilator must call Security (if necessary) and a member of the Assessment team in Registry should be informed as soon as possible.
- 9.16.21 The invigilator must make a note of the duration of the interruption so that students can be permitted extra time, in agreement with the Assessment team in Registry.
- 9.16.22 The invigilators will then be asked to make a full written report of the incident, and of the action taken, to the Deputy Head of Registry.
- 9.16.23 If a disturbance lasts longer than 30 minutes, the examination will be considered abandoned. If the examination must be rescheduled, arrangements will be made for the setting of an alternative examination at a later date if this is judged appropriate by the University Assessment Board. The timing of the alternative examination is to be agreed between the Academic Registrar and the Deputy Head of Registry, after consultation with the external examiner, and where appropriate, with the other members of the Board. Normally, if the examination must be rescheduled it will be held in the next scheduled examination period.
- 9.16.24 Students may wish to appeal their mark once this has been confirmed. Refer to [section 48](#) for further information about the appeals process.

## **9.17 Treatment of examination scripts that do not follow the examination instructions**

- 9.17.1 For scripts where the student has answered too many questions, the marker must mark all compulsory questions first and then mark the required number of questions in the order they appear on the examination script. The marker must make a note on the examination answer script and disregard all subsequent answers.
- 9.17.2 Where a student has failed to answer a compulsory question or questions, they must be awarded a mark of zero for that question. The required number of additional questions must then be marked in the order they appear in the examination script.

## 9.18 Illegible examination script policy

- 9.18.1 This policy does not apply in cases where formal individual examination arrangements are in place for a student due to a disability. Computers are not provided in examinations for students with poor handwriting unless they have a disability diagnosis and a Learner Adjustment Plan (LAP) in place. Students with poor handwriting are advised to discuss their circumstances with the Disability Support and Inclusion team to explore if there is an undiagnosed disability.
- 9.18.2 It is advisable that students with illegible handwriting are referred to the Disability Support and Inclusion team because it may be a sign of an underlying disability. Should a relevant disability then be confirmed, the transcription fee will be refunded, and an LAP would be put in place for future examinations.

### Procedure

- 9.18.3 If two markers cannot read a script as it is illegible, they can request that it be transcribed.
- 9.18.4 The student will be contacted by a member of administrative staff in the PASS team, as agreed within each School, and asked to attend the University to dictate their exam script for transcription.
- 9.18.5 Transcription needs to be carried out in such a way that students are not able to improve the quality of the answers they have given on the examination script.
- 9.18.6 The student must be clearly advised in writing that the purpose of attendance is to transcribe the existing script and that any addition or omission of material will constitute academic misconduct (refer to [section 27](#)). If the student refuses to attend, then they may be awarded a mark of zero.
- 9.18.7 The person appointed to transcribe the script must not be a registered student at the University. The costs associated with producing the transcript will fall to the student and will be charged at the current external invigilator rate of pay per hour. The payment must be made before the transcribed script is released for marking.
- 9.18.8 Following transcription, the student must sign a form to confirm that the transcript is a true copy of the original. The form should be kept separately from the transcript, to maintain the student's anonymity during the marking process.
- 9.18.9 Any disputes between the transcriber and student must be recorded by the transcriber and be signed by the student. Disputes will be referred to the Associate Head/Dean of School for resolution.
- 9.18.10 The transcript should then be returned to the marker along with the original script.
- 9.18.11 On some programmes, particularly in health-related programmes, handwriting that is illegible may be considered to be an issue of poor professional practice that might compromise patient safety. In those cases, the policy relating to illegible exam scripts would be followed, but the student's performance may be investigated and dealt with under the University's 'Fitness to Practise' procedure (refer to [section 22](#)).

## 9.19 Breaches of examination regulations

- 9.19.1 In the event of an alleged breach of the examination rules, the matter will be investigated and considered in accordance with the policy and the procedure for academic misconduct (refer to [section 27](#)).
- 9.19.2 Where an offence is suspected in an examination, the invigilator must annotate the student's script(s) by adding the time and drawing a line across the script to indicate when the offence was suspected. The invigilator must then remove any object(s) which has become the centre of suspicion. The student should be allowed to continue the examination. At the end of the examination the student will be informed that an investigation will be conducted.
- 9.19.3 Disciplinary action will be taken against any student suspected of being impersonated or impersonating another student. For further information refer to our website for the [Student Behaviour and Disciplinary Policy](#).

## 9.20 Protocol for missing or lost examination scripts

- 9.20.1 The University has a robust system for recording collection of examination scripts from students and, it has robust and secure arrangements for the transfer of examination scripts between the examination room and the Module Director/Lead responsible for marking. In cases where it is suspected that an examination script is missing or has been lost the Assessment team in Registry, or the Deputy Head of Registry must be contacted as a matter of priority. The Assessment team in Registry will make all reasonable efforts to locate the missing or lost script.
- 9.20.2 The Academic Registrar will contact the student to confirm their examination script is missing or has been lost and state that their School will be in touch in due course to outline the options available to them. The student will normally receive notification that their examination script is missing or has been lost within 3 working days of Registry being notified that the exam script is missing.
- 9.20.3 If it is confirmed that an examination script is missing or has been lost the Head of Registry, or the Deputy Head of Registry must be contacted to discuss possible resolutions prior to informing the student of the missing or lost script. Resolutions may include:
- The student is offered the opportunity to re-take the exam at the next available opportunity (normally the next examination period).
  - The student is offered the opportunity to complete an alternative assessment in place of the exam (refer to [section 11](#)).
  - In exceptional cases the student is offered the opportunity to take an oral examination on the same topics assessed in the examination.
- 9.20.4 If the proposed resolution is an oral examination, then this must be approved by the School Quality Panel and must meet the same learning outcomes for the examination that the oral examination is replacing.
- 9.20.5 Once proposed resolutions have been identified the School will contact the student to outline the options available to them. The School will normally contact the student to outline the options available to within 15 working days of the exam and prior to the scheduled return of marks and feedback to students.

## Section 10 Reasonable adjustments to learning, teaching, and assessment for disabled students: policy and procedures

### 10.1 Introduction

- 10.1.1 Universities are required to make adjustments that anticipate the needs of, and benefit a wide range of disabled students, for example, through inclusive teaching and assessment practices. In addition, we are required to ensure the specific needs of a disabled student are met, where anticipatory adjustments do not meet those needs.
- 10.1.2 The University promotes equality of opportunity and has a legal duty to eliminate any unlawful or unfair discrimination and harassment in the workplace or place of study. The University wants our prospective applicants, applicants, and students to be reassured about the University's commitment to providing disabled students with equal access to teaching, learning and assessment.
- 10.1.3 We encourage all disabled students to register with the Disability Support and Inclusion team and to access support from the earliest possible opportunity. We manage declarations of a disability sensitively and in accordance with university [data protection policies](#), and in accordance with our consent to share information procedures.
- 10.1.4 This policy sets out what students can expect from the University with regards to reasonable adjustments and inclusion with regards to learning, teaching, and assessment practices. The policy provides a framework to assist university staff to consider reasonable adjustments in learning, teaching, and assessment. This policy forms one aspect of our commitment to ensuring the provision of accessible higher education for our disabled students. It should be considered alongside the Estates Plan (promoting equitable access to our campuses); the Digital Plan (promoting accessible solutions in digital environments); and our commitment to Digital Accessibility.

### 10.2 Aims of the policy

- 10.2.1 The aims of this policy are to:
- Outline what students can expect from the University in relation to the process by which we consider and apply decisions about reasonable adjustments to learning, teaching, and assessment.
  - Ensure, where possible, that all students can engage in any elements of study or assessment which take the form of placements, field trips, or work-based learning, to learning outcomes and competence standards.
  - Ensure the University can effectively carry out its duties to disabled students under the Equality Act 2010 from a learning, teaching, and assessment perspective, specifically to:
    - Take appropriate steps to meet the particular needs of individuals from protected groups where these are different to the needs of others, and work to eliminate any barriers to their success.
    - Have robust procedures in place to recommend and action reasonable adjustments for disabled students.

### 10.3 Context and definitions

- 10.3.1 Reasonable adjustments form one part of an integrated approach to supporting disabled students in learning, teaching, and assessment, which also includes:
- Inclusive practice
  - Anticipatory adjustments
  - Alternative forms of assessment

#### What is a disability?

- 10.3.2 For this policy, the definition of disability is that which is stated in the Equality Act 2010 – namely, that 'a person has a disability if they have a physical or mental impairment, and the impairment has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities'.

- 10.3.3 This includes conditions that are controlled by medication which might be variable in effect, or which might recur, for example, a long-term mental illness or chronic condition such as diabetes. A student who has cancer, HIV or multiple sclerosis should be treated as disabled under the Act.
- 10.3.4 The University will usually accept a working diagnosis from a GP or consultant as evidence of a disability. Please refer to our [Student Hub](#) for further information.
- 10.3.5 The policy does not extend to students with a temporary illness, condition, or injury. For cases that do not align with this definition please refer to [section 10.7.6](#) below.

#### **What is inclusive practice?**

- 10.3.6 Inclusive practice in teaching, learning and assessment removes barriers to learning that many students may encounter. This approach, for example, would offer a variety of assessment methods for all students in recognitions of the range of learning preferences. The University has adopted the Inclusive Education Framework.

#### **What are anticipatory adjustments?**

- 10.3.7 The anticipatory reasonable adjustment duty in the Equality Act 2010 requires universities to continually identify any possible disability-related disadvantage, and to take reasonable steps to avoid or remove it. For example, providing hearing loops in learning spaces, or creating systems and procedures to provide examination access arrangements and support.

#### **What are reasonable adjustments?**

- 10.3.8 Reasonable adjustments enable students to participate in higher education without disadvantage within a framework of academic standards. The Equality Act 2010 places a duty on Higher Education Institutions (HEIs) to make reasonable adjustments for disabled students to remove substantial disadvantage in relation to:
- A provision, criterion, or practice: such as assessments, examinations, presentations, field trips, placements and teaching.
  - Physical features: such as steps up to a building.
  - Auxiliary aids: equipment or services should be provided to remove a disadvantage, such as a hearing loop.

#### **What are reasonable adjustments to assessment?**

- 10.3.9 This does not alter the assessment mode, but rather it provides adjustments that assist the students to undertake that assessment. For example:
- Additional time in an exam, or personal support such as a reader, scribe, or use of a computer.
  - Delivering an assessed presentation using help such as prompt cards or delivering to a smaller audience.

#### **What is an alternative form of assessment?**

- 10.3.10 An alternative form of assessment changes the assessment mode to accommodate the needs of a disabled student where the original form of assessment would disadvantage that individual.
- 10.3.11 For example, students with severely impaired short-term memory may benefit from writing an essay, rather than a timed exam, or students with speech and language impairments might provide written responses to a series of questions, rather than a viva.

### **10.4 Factors to consider when determining reasonable adjustments**

- 10.4.1 The Equality Act 2010 does not define what is reasonable, so each case must be reviewed on its own merits. What is considered 'reasonable' will depend on an individual's and an institution's circumstances. This can include consideration of the following factors:
- a) How effective the adjustment will be in removing the disadvantage and in enabling the student to access study and demonstrate learning outcomes.
  - b) How practical it is to take the steps.
  - c) The effect of the disability on the individual.
  - d) The type of education, for example, full time or part time.
  - e) Practicality and cost of the changes – for example, whether the adjustment can be met within the existing staffing and financial resource of the University, and whether there are grants, loans, and other help available to implement the adjustment (for example, Disabled Students' Allowance).

- f) Whether support can be provided by others, for example, a full time support worker funded by social care.
  - g) The relevant interests of other people, including other students.
  - h) Whether the adjustment will affect the validity or reliability of assessment outcomes.
  - i) Whether the adjustment will compromise the health and safety of the student, or other members of the University community.
  - j) Whether the adjustment will compromise a competence standard within the programme of study – for example, the demonstration of a clinical skill.
- 10.4.2 Determination of what is reasonable may vary between programmes of study because of their differing requirements, particularly in relation to students on programmes that are regulated by a Professional, Statutory and Regulatory Body (PSRB) or Professional Accrediting Body, which lead to a license to practise, or registration with a professional body.
- 10.4.3 We are likely to deem support as 'reasonable' if it conforms with the following possible considerations (although this list is not exhaustive or determinative):
- a) Funding can reasonably be met from funds within the University if other funding (for example Disability Support Allowance (DSA)) does not cover the support need.
  - b) The support is required to meet a legitimate learning need on the student's programme of study.
  - c) The support is at a level judged to be broadly comparable within the Higher Education (HE) sector, as opposed to other sectors (for example, Further Education or School).
  - d) The adjustment or support will enable the student to engage with their programme of study on an equitable basis, supporting their learning needs while developing independence where appropriate.
  - e) Reasonable adjustments cannot be made to the actual competence standards or learning outcomes, as determined by an assessment panel and/or relevant fitness to practise requirements.
  - f) Support should not go beyond a level where a university graduate would be seen as unfit to practise in a professional field relevant to their university qualification, or to progress to further study.
  - g) Additional support for a disabled student provided as part of the overall student experience at the University should not be provided at a level or in such a way as to impact negatively on the academic progress, wider experience or professional work of other students or staff. Reasonable adjustments should never put a student at an advantage over others.

## 10.5 Competence standards

- 10.5.1 A competence standard is used to determine whether a person has a certain level of competence or ability. Competence standards are defined within the Equality Act 2010 as:
- 'An academic, medical or other standard applied for the purpose of determining whether or not a person has a particular level of competence or ability.' (Sch 13, para 4(3)).
- 10.5.2 Competence standards must be objectively justifiable (they must provide a proportionate means to a legitimate aim) and genuinely relevant to the course. They cannot be applied after the fact and cannot cover pedagogic preferences or norms of practice. Competence standards relating to established practice, assumptions the standard of a 'good degree' or reputational concerns may not be justifiable.
- 10.5.3 It is not necessary to make adjustments to a competence standard. However, it is necessary to make adjustments to the ways in which competence standards are assessed, to ensure disabled students are not disadvantaged by the chosen assessment method.
- 10.5.4 The University's ongoing validation / revalidation processes will ensure that competence standards have been identified legitimately, are explicit, written down, clearly published and made available to students and applicants, so informed choices can be made about the programme of study.
- 10.5.5 Sometimes the process of assessing whether a competence standard has been achieved is inextricably linked to the standard itself. The passing of an assessment may be conditional upon having a practical skill or ability, which must be demonstrated by completing a practical test. In relatively rare circumstances, the ability to take the test may itself amount to a competence standard. For example, an assessment for a practical course in car maintenance cannot be done solely as a written test, because the purpose of the test is to ascertain whether someone can complete car repairs.



## 10.6 Reasonable adjustment process, roles, and responsibilities

### Students

- 10.6.1 Applicants and students are strongly encouraged to declare any disability or support needs they may have at the earliest opportunity.
- 10.6.2 In most cases student will declare a disability through UCAS admissions process and through additional opportunities at enrolment (for more information see the [Admissions Policy](#)). Students who declare a disability during the applicant and enrolment stage will be invited to [register with the Disability Support and Inclusion team \(DSIT\)](#) and attend an appointment.
- 10.6.3 Students who have not informed the University of a disability pre-entry, or students who become disabled during their time at university, can register with the Disability Support and Inclusion team at any time during their studies by completing the [Registration form](#).

### The University

- 10.6.4 Early declarations of a disability enable the University to work in partnership with students to support academic success. If the Disability Support and Inclusion team is fully aware of a student's needs, they will be better equipped to ensure students are supported.
- 10.6.5 Where a student presents to the Disability Support and Inclusion team, requirements and requests for individual adjustments will be discussed between the individual student and the Disability Practitioner. The Disability Practitioner will co-ordinate the request on behalf of the student. This includes liaising with the School, and other professional services as necessary (for example, Estates, ITS, Library and Learning Services). The arrangements will be documented in the student's Learner Adjustment Plan (refer to [section 10.7](#) for more information) and will be shared with the programme team.
- 10.6.6 Where a student presents to academic or professional staff and has not engaged with the Disability Support and Inclusion team, reasonable adjustments must still be made, if the situation requires. The reasonable adjustment is to be requested by the staff member via the Disability Support and Inclusion team referral form. The request is implemented by a Disability Practitioner, for an initial period of 3 months. This will be communicated to staff via the LAP report. A Disability Practitioner will contact the student to offer a full assessment, and the student will be informed that the reasonable adjustment has been put in place.
- 10.6.7 Reasonable adjustments will be reviewed on request or in response to a changed requirement or additional concerns. For example, if a student identifies that those adjustments are not meeting their needs, or where a new diagnosis and disability is identified.

### Study abroad, placements and fieldtrips

- 10.6.8 The University is committed to ensuring that all study visits are designed with inclusion in mind; however, placements and visits might require individual adjustments that are different from those made for academic study. Students should talk to the Disability Support and Inclusion team who can work with the Placement and Study Abroad teams and the placement or study abroad provider to identify adjustments in these settings.

### International students

- 10.6.9 International students do not have access to funding for specialist learning support for their disability through Disabled Students' Allowance (DSA). The University will:
- Identify and implement reasonable adjustments to learning.
  - Signpost to general university learning support and university-licensed assistive software.
- 10.6.10 International students on student visas must note that some reasonable adjustments that might be available might have an impact on a student's ability to meet the terms and conditions of their student visa. For example, a proposed adjustment that affects the length of a student's study or the nature of their engagement with their programme of study. In considering reasonable adjustments, the University will give due regard to visa requirements to ensure that international students on a student visa are provided with the necessary information around any reasonable adjustments that may be recommended. Students are also advised to seek their own immigration advice promptly if they consider that the terms and conditions of their visa may be impacted. For more information, refer to our [Visa and immigration](#) webpage.
- 10.6.11 In all cases, the University's legal responsibilities in relation to the sponsorship of international students under the points-based immigration system will take precedence.

## Key roles and responsibilities

10.6.12 Key roles and responsibilities related to reasonable adjustments to learning, teaching and assessment are set out below:

Area	Overall responsibility
<b>Admissions</b>	Provides admissions workflows that enable early declaration of a disability within the process.
<b>Disability Support and Inclusion team (DSIT)</b>	<p>Works with students before and after enrolment to discuss and identify reasonable adjustments and co-ordinates these across the University through the student's Learner Adjustment Plan (LAP).</p> <p>Coordinates support and communicates with all university stakeholders responsible for delivering the support.</p> <p>Signposts to other university services.</p> <p>Offers ongoing support for any new or presenting difficulties, barriers or challenges linked to study.</p> <p>Convenes or contributes to complex case responses and resolution across relevant university services and academic teams.</p> <p>Review and implement short-term reasonable adjustments made by academic and professional staff.</p>
<b>Registry (Student Records and Assessment team)</b>	<p>Provides processes for capturing student data.</p> <p>Apply examination adjustments.</p> <p>Apply placement adjustments within the student records system.</p>
<b>Programme Administration and Student Support (PASS) team</b>	Apply agreed LAP deadline extensions within the student records system and Moodle.
<b>Academic team</b>	Delivers reasonable adjustments in teaching, learning, and assessment practices.
<b>Library and Learning Services</b>	<p>Delivers reasonable adjustments to support access to library and learning resources.</p> <p>Provides university assistive technology support (supplementary support for those in receipt of DSA support).</p>
<b>ITS team</b>	<p>Lead service for the procurement and implementation for cross-university IT systems and software, ITS access.</p> <p>Ensures that systems and software meet the University's accessibility requirements.</p> <p>Provides accessible resources.</p>
<b>Timetabling team</b>	<p>Timetables academic sessions, including identifying accessible spaces for disabled students.</p> <p>Provides accessible timetable formats.</p>
<b>Technical teams</b>	<p>Deliver reasonable adjustments on technical teaching areas and labs, including layout of rooms.</p> <p>Adapt technical resources.</p>
<b>Study Abroad team</b>	Works with the DSIT and student's study abroad provider to support the delivering of reasonable adjustments for study abroad activities.
<b>Placement team</b>	Works with the DSIT and student's placement provider to support the delivering of reasonable adjustments for placement activities.

## 10.7 Learner Adjustment Plan (LAP) process

- 10.7.1 Reasonable adjustments to assessments are recommended by the Disability Support and Inclusion team through the Learner Adjustment Plan (LAP) process. Adjustments are based on individual requirements and evidence of need. The processes related to the production, use and revision of Learner Adjustment Plans is set out on the Disability and Inclusion section of the Student Hub under [Learner Adjustment Plans](#).
- 10.7.2 The Disability Support and Inclusion team will notify the Assessment team in Registry where reasonable adjustments for centrally organised examinations are recommended. This will be done **no later than 5 weeks before** the examination period in order for the Assessment team in Registry to be able to guarantee the alternative examination arrangements will be able to be put in place. Where requests for examination adjustments are raised near the time of the examination, while every reasonable effort will be made to accommodate these, it cannot be guaranteed that they will be put in place at such short notice. Students with examination adjustments will receive an email from the Assessment team in Registry at least **1 week** before each examination period directing them to check their examination timing, location, and their individual arrangements on e:Vision, except for when late adjustments are put in place where the notification period will be reduced.
- 10.7.3 The Head/Dean of School, or nominated representative, in conjunction with the Programme Administration and Support Service (PASS) team, is responsible for making individual arrangements for departmentally organised examinations or tests. The School should liaise with the Disability Support and Inclusion team regarding arrangements. The School is responsible for communicating the timing and location of the examination to the student.
- 10.7.4 The information on the LAP will advise academic colleagues of the reasonable adjustments recommended, to ensure that the curriculum and related assessments are accessible to the student. The Disability Practitioner must be contacted immediately if there are concerns about any of the recommendations, particularly with regards to the impact on academic criteria and assessment outcomes.
- 10.7.5 In cases where a student considers that they have been treated less favourably because of their disability, or believe their LAP is not being followed, there is an opportunity for appeal (refer to [section 48](#)).
- 10.7.6 For circumstances in which the student's condition is not within the definition of disability as set out by the Equality Act 2010, the condition will be considered in two ways:
- As an illness or injury, for which the procedure for exceptional circumstances will be followed (refer to [section 13](#)).
  - At the discretion of the Disability Support and Inclusion team, in liaison with the Head/Dean of School or nominated representative and other staff regarding the appropriate adjustments to be made. For example: hay fever is usually not a disability but may be sufficiently debilitating to recommend examination adjustments; a person who has a broken leg may not meet the definition of disability, but they may have mobility difficulties which might require adjustments. Thus, it is the effect of the condition, rather than the underlying condition itself, which needs to be considered.
- 10.7.7 The reasonable adjustment process is in place so both the student and the University are clear about what can be done to facilitate a student's learning and assessment. However, unforeseen exceptional circumstances can still occur which could not have been predicted through the reasonable adjustment process. In these exceptional circumstances, students should follow the exceptional circumstances process (refer to [section 13](#)).
- 10.7.8 If recording of lectures has been recommended on the LAP, the student needs to be aware that the lecture remains the property of the lecturer delivering the session. The recording must only be used for reviewing for clarity or understanding; the material must not be reproduced or passed on to anyone else. If notes are not expected to be taken for a session, then the student will not normally be given permission to record that session unless the student, for example, may need to listen again in a quiet environment. Additional information about audio recording as a reasonable adjustment can be found on the Disability Support and Inclusion section of the [Student Hub](#).
- 10.7.9 Computers are not provided in examinations for students with poor handwriting unless they have a disability diagnosis and an LAP in place. Students with poor handwriting are advised to discuss their circumstances with the Disability Support and Inclusion team to explore if there is an undiagnosed disability. Also refer to [section 9.18](#) regarding the policy for marking illegible examination scripts.

## 10.8 Reasonable adjustments for placements

- 10.8.1 The Disability Support and Inclusion team will make recommendations for reasonable adjustments for placements on the student's LAP. The Assessment team in Registry are responsible for implementing the change(s) on the student record system in liaison with the School and the Disability Support and Inclusion team.
- 10.8.2 If adjustments to the timings of modules are required to facilitate the placement adjustment the Associate Head/Dean of School, or their representative, must confirm the order and timings of the modules to the Assessment team in Registry.
- 10.8.3 If an extension to programme is required to facilitate a reasonable adjustment to a placement, then this extension will not count towards the student's maximum period of study detailed in the [University Regulations](#).

### Professional (PSRB) placements

- 10.8.4 Some programmes which lead to a professional registration require a referral for an Occupational Health assessment. Occupational Health will sometimes make recommendations for reasonable adjustments. The operational decision on whether these adjustments can be implemented on the programme may be made straight away, but others will require a Panel decision, with input from the Course/Programme Lead, Associate Head, a Placement team representative, the Head of Disability Support and Inclusion and Registry. If the reasonable adjustment will impact on the length of placement the following process should be followed:
- A Placements Panel will be convened to consider the reasonable adjustment. Membership of the Panel will include the Associate Head of School, or their representative; the Course/Programme Lead or their representative; the Head of Disability Support or their representative; the Registry Manager – Assessment or their representative; and a Placement team representative. Other staff members may be co-opted to sit on the Panel where appropriate.
  - The Panel would assess if the recommendations made by Occupational Health can be implemented taking into consideration [section 10.4.1](#) of this policy.
  - The Panel will agree what reasonable adjustments can be implemented, including if adjustments to the timings of non-placement modules should be made to facilitate the placement adjustment. This agreement will be documented.
  - If the Occupational Health recommendation broadly aligns with a previous recommendation made for another student, then the Panel decision from the previous case will be implemented without convening a new Panel, unless there has been a significant change to the programme structure meaning that the previous Panel agreement is no longer valid.

## 10.9 Reasonable adjustments for examinations

- 10.9.1 The Disability Support and Inclusion team are normally responsible for facilitating the provision of specialist equipment through liaison with the University Estates team, for example, chairs and desks, and for advising the Assessment team in Registry of the type of specialist equipment. Porters are normally responsible for relocating equipment to the appropriate examination room.
- 10.9.2 The Assessment team in Registry are responsible for providing scribes and readers for centrally organised examinations provided reasonable notice of the adjustment is given by the Disability Support and Inclusion team. It is the School's responsibility to provide scribes and readers for departmentally organised exams. Schools can contact the Assessment team in Registry or the Disability Support and Inclusion team for guidance and training on the roles of readers and scribes if required. In some circumstances, it may be possible for Registry to provide scribes and readers for departmentally organised exams, but it should not be the expectation of Schools that this is possible.

## 10.10 Reasonable adjustments for assessment deadlines

- 10.10.1 LAP extensions may be granted for reassessment deadlines in line with the LAP process once reassessment requirements are known by the student.
- 10.10.2 Unless the LAP is revised by the Disability Support and Inclusion team, any further request for an extension to an LAP deadline must be made through the exceptional circumstances process and this request should only be considered for additional circumstances (that is, something other than the student's disability). For clarity, once an LAP extension deadline has been agreed it **cannot be extended or adjusted again through the LAP process** without the LAP being reviewed by the Disability Support and Inclusion team; all additional extensions must be managed through the procedures for exceptional circumstances. For example, the Head/Dean of School, or nominated representative cannot approve a 1-week LAP extension for an assessment and then extend the deadline again for the same assessment by a further 2 weeks using the same LAP.

## Section 11 Alternative assessment: policy and procedure

### 11.1 Purpose

- 11.1.1 This policy details the procedures for approval of an alternative assessment for an individual student to:
- a) Facilitate equality of opportunity in assessment of disabled students as recommended by the Disability Support and Inclusion team through a student's Learner Adjustment Plan (LAP) (refer to [section 10.7](#)).
  - b) Rearrange an assessment or reassessment due to the logistical difficulties that would be incurred by the rescheduling of an individual student's assessments due to a deferment through the 'Exceptional Circumstances Procedure' (refer to [section 13](#)).
  - c) Undertake individual reassessment for group work.
  - d) Make an assessment arrangement for a student re-joining the University after a period of missed teaching following a successful appeal.
  - e) Make an assessment arrangement for an incoming study abroad student who has prior approval to leave the University to return home prior to a scheduled examination or resit examination (refer to [section 16.3.3](#)).
  - f) Make a reassessment arrangement for an incoming study abroad student who has returned home prior to the reassessment date, in cases where it is not possible to complete the reassessment in the same manner as the first attempt (for example, practical assessments, exhibitions etc.).
  - g) To accommodate outgoing study abroad students (York St John students) who, following the conversion of marks from the exchange study must complete reassessments to meet the level progression requirements.
  - h) To accommodate outgoing study abroad students (York St John students) who returned home prior to completing their study at the host institution; and on return joined a YSJ module late, missing some teaching and where they are unable to complete the approved assessment, for example, a group task.

### 11.2 Policy and procedures

#### General

- 11.2.1 Changes to the assessment, as specified on the approved module specification, for a current cohort of students should follow the 'Variations to Announced Assessment Arrangements' procedure (refer to [section 2.1.12](#)).
- 11.2.2 All alternative assessments must assess and meet the same module outcomes for the assessment(s) they are replacing.
- 11.2.3 Alternative assessments will be conducted under conditions that are as far as possible equivalent to those of normal assessments, including appropriate supervision.
- 11.2.4 Essays may be used as an alternative to an examination. Schools should consider how to ensure that essays assess the same breadth of learning as the normal examination. An alternative is to consider the setting of a 'take-home' examination paper instead (to be submitted within 24 hours, for example). This is more directly comparable to the formal examination. Where appropriate, advice can be sought from the Disability Support and Inclusion team and Assessment team in Registry.
- 11.2.5 When an assessment is conducted in the same form as the normal assessment but in a different place, it should be conducted at the same time. If that is not practicable (for example, because of a difference in time zones), then it is necessary to avoid the risk of compromising the security of the normal assessment. Under these circumstances Schools should seek advice from the Assessment team in Registry.
- 11.2.6 All recommended alternative assessments must be approved by the School Quality Panel using the [Alternative Assessment Approval form](#). The Panel is responsible for ensuring the proposed assessment is a suitable alternative assessment that meets the learning outcomes.
- 11.2.7 Following approval, the School must confirm the arrangements, including the assessment date, well in advance of the assessment date by email to the student and staff so they can prepare accordingly.

#### LAP alternative assessments

- 11.2.8 Refer to [section 10.4](#) for guidance on alternative assessment for students with an LAP.

## **Exceptional circumstances alternative assessments**

- 11.2.9 Where the deferment of an assessment has been formally approved through the exceptional circumstances' procedure and consequently this may require adjustments to the type of assessment. The Module Director/Lead and/or Head/Dean of School or nominated representative would determine if an alternative assessment will be required due to logistical reasons that mean the assessment cannot easily be rescheduled. Examples include the deferment of an individual student's participation in a group performance, or a presentation involving peer review, or participation in fieldwork.

## **Alternative assessment following a successful appeal against programme failure**

- 11.2.10 Where a successful appeal against programme failure results in a student being unable to complete the original approved assessment, for example, a group assessment. The alternative assessment would be discussed in a Return to Study meeting following the appeal decision (refer to [section 19.5](#)). The arrangements would be confirmed in the minutes for this meeting. The alternative assessment must be approved by the School Quality Panel using the Alternative Assessment Approval form.

## **Incoming study abroad alternative assessments**

- 11.2.11 Where an incoming study abroad student has **prior approval** to leave the University before a scheduled examination or resit examination then an alternative assessment may be approved as a suitable alternative (refer [section 16.4](#)).

## **Outgoing exchange student alternative assessments**

- 11.2.12 Where an outgoing study abroad student who, following the conversion of marks from the exchange study, needs to complete reassessments to redeem failure to meet the level progression requirements, then the School must ensure the alternative reassessment meets any learning outcomes that have not been successfully passed through the failure of modules at the study abroad institution (refer to [section 17.9](#)).
- 11.2.13 Schools that regularly have outgoing study abroad students, or who regularly admit incoming study abroad students, may devise and approve alternative assessments for use for particular modules in future years. Care must be taken to ensure that these are reviewed regularly to ensure they continue to meet the required module outcomes, and approval is sought through the School Quality Panel where changes are necessary.



## Section 12 Independent Learning Units: policy and procedure

### 12.1 Types of Independent Learning Units (ILUs)

There are 2 types of Independent Learning Unit:

- 12.1.1 **Validated ILUs:** These are ILUs which are validated as part of a programme of study and are specified as such in the approved programme specification. They are coded and treated like any other module, but the precise content, learning method, and assessment strategy are negotiated individually between students and staff.
- 12.1.2 **Special ILUs:** These ILUs have not been validated as part of a programme of study; rather they are modules which have been negotiated by the student and staff concerned on an ad hoc basis to replace an existing module in the programme of study at the student's request.

### 12.2 Special ILUs

- 12.2.1 Special ILUs must be agreed in advance of the semester the ILU is to be taken in and may not normally replace a module on which the student has already been enrolled onto. In the rare circumstances, for example, where a student returns early from an international placement, an ILU may replace a module on which the student has been enrolled where the University accepts that the original assessment cannot be implemented.
- 12.2.2 In the event that an ILU replaces the reassessment for a previous failed module, this will be considered a second attempt and the final maximum module mark available for the ILU is a capped pass.
- 12.2.3 The number of special ILUs that a student will be permitted to take will not normally exceed the equivalent of 20 credits in any 1 semester and 40 credits within the overall programme of study (Internships counting as an ILU – refer to [section 12.5](#) below).
- 12.2.4 A 20 credit ILU is to be undertaken over the period of one semester. A 40 credit ILU is to be undertaken over the period of two semesters.

### 12.3 Procedures for submission of an ILU for approval

#### General

- 12.3.1 The following principles apply to all ILU proposals:
  - a) Any ILU proposal is a matter for discussion between the student and the relevant Module Director/Lead and/or Head/Dean of School or nominated representative.
  - b) Any ILU must normally be approved **no later than the last week of the preceding semester** in which it will be taken.
  - c) Approval for an ILU must be given by **either** the relevant Head/Dean of School **or** the School Quality Panel (SQP), taking into consideration any resource implications.
  - d) The approved ILU proposal form constitutes a legal document in terms of a student's programme of study, and as such the School must send a signed approved copy to the Assessment team in Registry who will upload this to the student's record.
  - e) The School must record details of all ILUs that are approved in the School Quality Panel minutes action log.
  - f) In addition, the following approval procedures apply either to Validated ILUs or to Special ILUs.

#### Validated ILUs

- 12.3.2 The student's individual ILU is proposed within the context of the approved ILU module for which the student will have enrolled at the beginning of the academic year.
- 12.3.3 Where there are programme specific arrangements for ILUs approved to permit a programme transfer to an exit programme, refer to the programme specification.
- 12.3.4 The School approves the individual ILU and informs the student when approval is granted and includes a copy of the approved proposal in the correspondence to the student.

## Special ILUs

- 12.3.5 The School recommends a special ILU to **either** the Head/Dean of School **or** the SQP for approval. Approval is not normally withheld if:
- a) The proposal is in the standard format and includes an unambiguous statement on the assessment strategies.
  - b) The proposal was received before the start of the semester in which it will be undertaken.
  - c) The overall programme does not contain more than the maximum number of ILU credits per semester or programme as stated in [section 12.2](#).
  - d) The inclusion of the ILU does not lead to a non-standard overall programme structure.
- 12.3.6 The School must clearly indicate on the ILU form if the Special ILU mark is deemed compensable or non-compensable, while noting that the status of the mark will mirror the status of the standard assessment and should normally be compensable.
- 12.3.7 Once approved by **either** the Head/Dean of School **or** the SQP, the School must write to the student confirming that approval has been granted and including a copy of the approved proposal with the correspondence to the student.

## 12.4 Guidelines

- 12.4.1 Choosing an ILU module as part of an individual programme of study involves a student and Module Director/Lead negotiating the key aspects of the learning process and agreeing them in the form of a learning contract. The content of the learning contract reflects the requirements specified for all modules and should be of a comparable standard when presented for approval. Sufficient time for the negotiation and preparation of an ILU proposal should be allowed.
- 12.4.2 Preparing a proposal provides an opportunity for students and Module Directors/Leads to articulate what they want to learn (aims and outcomes), how they will learn it (strategies and resources), and how they will know what they have learned (review and evaluation).
- 12.4.3 Group proposals are valid and provide valuable learning opportunities. Module Directors/Leads should assure themselves that the assessment strategy is equitable to all participants and tests learning at the appropriate level.
- 12.4.4 An ILU cannot be used to replace a module repeated on a part time basis to redeem progression failure, unless there is teaching associated with this. It may be permissible in particular circumstances, for example, where a module is no longer running and the level's programme learning outcomes could be met by a student attending teaching for a module delivered at another level, provided they complete the ILU assessment at the level required to redeem progression failure.

## 12.5 Internships

- 12.5.1 Internships are similar to ILUs but differ in being attachments with organisations. The work undertaken is related to the student's subject of study. Internships are not placements or sandwich courses. An internship constitutes a learning experience that attracts credits. Internships should be developed following the same principles and using the same proposal form. They are the equivalent of a 20-credit module.

## Section 13 Exceptional circumstances policy

### 13.1 Purpose

- 13.1.1 The purpose of this policy is to outline the policy and procedures that staff and students should follow in cases where students' unforeseen exceptional circumstances have seriously impacted on their academic performance.

### 13.2 Principles

- 13.2.1 This policy is designed to:
- Ensure that students are appropriately supported by the University when they bring exceptional circumstances to our attention in a timely manner.
  - Outline the responsibilities of students to notify the University of circumstances which are affecting their performance.
  - Ensure that all students claiming exceptional circumstances are treated fairly and equitably.
  - Protect the academic integrity of programmes for all students.
- 13.2.2 An extension deadline will not be set on a day when the University is closed. Where the extension date would fall on a closed day, the first day following closure should be used. This includes:
- Saturdays and Sundays
  - Bank Holidays
  - University closure days over the Christmas period
- 13.2.3 Extension deadlines will be set for the **first working day** that the University is open following the closure, with the exception that following the Christmas closure extensions will be set for the **second working day** following the re-opening.
- 13.2.4 The procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

### 13.3 Introduction

#### Expectations

- 13.3.1 Students are expected to attend all assessments and to meet deadlines, and they should plan their work so that they are not affected by unexpected last-minute issues.
- 13.3.2 The Exceptional Circumstances process is designed for use for severe circumstances affecting a student.
- 13.3.3 The exceptional circumstances process is evidence-based, and satisfactory evidence or self-certification declaration must be supplied by the student as explained in this policy.
- 13.3.4 Applications for exceptional circumstances that are not genuine, or do not include genuine evidence, may be considered under the [Student Behaviour and Disciplinary Policy](#).
- 13.3.5 In certain circumstances a suspension of studies might be more appropriate for a student. If they decline to suspend studies, it may not be possible for them to apply for exceptional circumstances.

#### Definitions

- 13.3.6 **Deadlines** include the date for submitting written assessments and the dates for examinations, practical demonstrations, presentations, performances, and other forms of assessment.
- 13.3.7 **Assessment submissions** – include those assessments for which students are required to adhere to a deadline for submission.
- 13.3.8 **Scheduled assessments** – include those assessments which are not easily retimed and for which an extension is not appropriate, for example, centrally organised exams, practical assessments, in-class tests, practical demonstrations, presentations, performances etc.

## Standard criteria

- 13.3.9 In exceptional circumstances, if a student cannot attend an assessment or meet the deadline or believes their exceptional circumstances have severely impacted upon their performance in an assessment the University may make arrangements for exceptional circumstances to be taken into account in line with the principles and outcomes defined in this policy.

### For this to apply, a student must show that:

- a) They could not have **reasonably avoided** the situation or otherwise acted to limit the impact (such as requesting to suspend their studies), that is, the circumstances were **outside the control of the student**.
- b) The events concerned are **genuinely exceptional** relative to normal daily challenges of academic study. Circumstances such as the normal pressures of academic stress, paid employment, relationship issues, computer difficulties, transport difficulties, and financial difficulties are unlikely to be accepted.
- c) The events must have had a **significant impact** on the student's ability to study or complete an examination, presentation or submit an assessment.
- d) The **timing** of the exceptional circumstances must be related to the **timing of the impact** for which the student is claiming.

## Types of claim

- 13.3.10 There are 4 ways in which exceptional circumstances can be applied for:

Method	Description
<b>Extension (self-certification)</b>	<ul style="list-style-type: none"><li>• Students may apply for an extension to the deadline using self-certification instead of evidence (if eligible).</li><li>• The extension must be applied for in advance of the assessment submission deadline.</li><li>• Students are only eligible to claim using self-certification <b>once per semester</b>.</li><li>• For postgraduate taught programmes where there is teaching or dissertation work over the summer period (Semester 3), students will be permitted 1 self-certification within this period, in addition to those permitted in Semesters 1 and 2.</li><li>• The grounds for the claim must be acceptable under the policy – note some circumstances are not eligible under the policy (refer to <a href="#">sections 13.4</a> and <a href="#">13.5</a>).</li><li>• IT issues are not grounds for self-certification.</li><li>• If upheld the extension period would be for <b>1 week</b>.</li></ul>
<b>Extension (bereavement)</b>	<ul style="list-style-type: none"><li>• Where a student has suffered a recent bereavement of a close family member or friend, they may apply for an extension to the deadline for 1 week by using self-certification.</li><li>• Self-certification for a recent bereavement is not limited to 1 occasion during a semester, and bereavement claims are not included when counting how many self-certification claims have been submitted in a semester.</li><li>• Students who have an approved 1 week self-certification extension based on health related grounds may apply for a further 1 week extension for the same assessment on bereavement grounds using self-certification.</li><li>• Students who need longer than 1 week due to a bereavement should apply for a 3 week extension.</li></ul>

<b>Extension (evidence-based)</b>	<ul style="list-style-type: none"> <li>Students may apply for a longer extension to the submission deadline by providing evidence to support their claim.</li> <li>The extension must be applied for in advance of the assessment submission deadline.</li> <li>There is no limit on the number of claims each semester, each will be reviewed on its own merits.</li> <li>The grounds for the claim must be acceptable under the policy – note some circumstances are not eligible under the policy (refer to <a href="#">sections 13.4</a> and <a href="#">13.5</a>).</li> <li>If upheld the extension period would be for <b>3 weeks</b> in total (either singular or cumulative if self-certification has already been approved for the same assessment).</li> </ul>
<b>Deferral</b>	<ul style="list-style-type: none"> <li>Students may apply to defer a <b>scheduled assessment</b> if they are/were unfit to take the assessment at the scheduled time (for example, an exam, placement, viva, presentation etc.). This will also apply if a student requires more than 3 weeks' extension.</li> <li>Depending on the timing of the deferral of the attempt, this may have implications for the student's ability to progress to the next level, or their graduation timing. For example, this may require the student to suspend their studies for a period of time to satisfactorily meet the progression requirements before resuming their studies. When this applies the student will be notified.</li> </ul>

## 13.4 What are considered exceptional circumstances?

13.4.1 The following are examples of exceptional circumstances:

- a) Unforeseen short-term medical circumstances, for example, significant acute illness, accident, or injury – sudden and severe in nature that would lead an employer to grant absence on sick leave.
- b) Unforeseen deterioration or significant change in a disability or long-term condition during the assessment period, for example, where a student has an existing Learner Adjustment Plan (LAP) in place but there are additional unforeseen side effects due to changes in medication.
- c) Unforeseen illness of dependents, partners, or immediate family – which in employment would lead an employer to grant compassionate leave. The self-certification process can be used for unforeseen dependent's illness or dependent's carer/childcare provider's illness that results in the need to cover care/childcare at short notice. This is subject to the normal self-certification constraints (refer to [section 13.10.10](#)).
- d) Bereavement due to the death of a close family member or friend.
- e) Disability – this is only applicable where there has been a delay in arranging reasonable adjustments and/or support that is beyond the control of the student.
- f) Victim of crime or harassment that has had an impact on the student's ability to undertake their academic work.
- g) Pregnancy and related complications.
- h) Parental care for an infant under 12 months.
- i) Significant caring responsibilities for a family member or partner with a disability or mental health condition.
- j) Unforeseen acute personal circumstances, for example, a family crisis directly affecting the student.
- k) Participation in exceptional and significant events, for example, national or international sporting events.
- l) Exceptional and unforeseeable transport difficulties, for example, major transport incidents. This does not include everyday issues, for example, traffic congestion, missed buses or trains or transport strikes that were well publicised in advance.
- m) Legal proceedings requiring attendance, for example, attendance either as a witness, jury member, plaintiff, or defendant.
- n) Unforeseen changes to the normal working patterns for part time students or Degree Apprenticeship students (evidence would need to be provided of the unusual and unavoidable

nature of the change and its impact, for example, significant increased working hours, disruption caused by greater responsibility or a change in location).

- o) A claim of technical issues on behalf of the University with independent proof from the Directorate of Innovation and Technology Services (ITS) of system failure on either Moodle, specialist software or the University network.
- p) Serious financial or accommodation problems which prevent the student from studying.
- q) Direct experience of a terrorist incident, war or natural disaster.

This list is not exhaustive and other circumstances will be considered appropriate if they meet the definition above and are not listed in the section below regarding circumstances not considered grounds.

## 13.5 What are not considered exceptional circumstances?

13.5.1 The following **do not** qualify as exceptional circumstances:

- a) A claimed medical condition supported by retrospective medical evidence.
- b) A minor illness that would not normally lead to an employer granting absence on sick leave.
- c) A medical condition that relies on evidence that does not relate to the time when the student claims they were affected or does not relate to the same illness the student claims they were affected by.
- d) Any claimed circumstances for which appropriate adjustments have already been made by the University and where there is no evidence of worsening of the condition.
- e) Assessment-related stress which is not diagnosed as an illness by a health professional or documented in a Learner Adjustment Plan.
- f) Circumstances occurring after an assessment deadline or scheduled date.
- g) English not being a student's first language.
- h) Deadlines for work or exams being set closely together.
- i) Poor awareness of the University regulations and policies.
- j) Poor working practices such as:
  - Misreading the examination timetable or submission deadline.
  - Failure to back up electronic documents regularly and securely – students must back up electronic files regularly and securely (refer to [section 8.7](#)).
  - Accidental submission of an incorrect document (for example, an earlier incomplete draft), wrong file type or a corrupted file (refer to [section 8.6.11](#)).
  - Poor time management.
- k) A claim of technical issues on behalf of the University with no independent proof from the Directorate of Innovation and Technology Services (ITS) of system failure on either Moodle or the University network. Issues such as browser compatibility or file size, which could reasonably have been checked in advance, will not be accepted as grounds for exceptional circumstances. It is expected that only VLE downtime or very rare technical issues, such as blocking of the whole internet in a particular geographical region, would be accepted as grounds for exceptional circumstances.
- l) Failure, loss or theft of a computer or printer – students must back up electronic files regularly and securely and must not leave completion so late that they cannot find another computer or printer (refer to [section 8.7](#)).
- m) Where students studying on a full time basis have issues relating to paid employment except in cases of work placements that contribute to the programme of study. By enrolling on a programme, students are making a commitment to the time needed for full time study.
- n) House moves, renovations or other routine accommodation difficulties.
- o) Refer to the [University Engagement Regulation](#) which states that students must ensure that their living and travelling arrangements allow them to fully engage with all aspects of their programme.
- p) Death or illness of a pet (excluding death or illness of a service animal which would be accepted as grounds).
- q) Holidays.



- r) Normal day-to-day childcare responsibilities for a child over 6 months (including childcare during school holidays)
- s) Circumstances stated to be unforeseen that a reasonable person would view as foreseeable or preventable.

This list is not exhaustive and other circumstances are not considered appropriate if the circumstances do not meet the definition set out in this policy.

13.5.2 The following would **not normally** be grounds for exceptional circumstances and would only be regarded as exceptional if there is evidence that they are unforeseeable, unavoidable, and severe with a direct impact on the assessment. In some cases, medical evidence of the impact may be required:

- a) Relationship breakdown (evidence of the impact upon the student would need to be provided).
- b) Accommodation issues (unless of an unforeseen serious nature, such as emergency rehousing).
- c) Planned routine health appointments.
- d) Academic misconduct investigations.
- e) Late changes to module choices or late programmes changes (refer to [section 4.3](#)).

## 13.6 Where can students access support?

13.6.1 The University is committed to offering support and guidance for students on the above matters including wellbeing, financial advice, accommodation advice, study skills, disability advice, and international student support.

It is important that students understand that using support is not a sign of weakness. For many students it features in their academic success to access support services to identify and develop successful strategies to build resilience that supports them in their future employment. It is an expectation by the University that students will access the relevant services if they require them, and students may be signposted to them as part of the exceptional circumstances process.

- For further information on the specialist services and support available refer to our [Current Students page](#) and the Wellbeing and Welfare section of the [Student Hub](#).
- Students may also wish to seek guidance and support from the [York St John Students' Union](#).

## 13.7 Students with disabilities

13.7.1 Students who have a long-term health condition, disability, a specific learning difficulty or mental health diagnosis which has a foreseeable impact on their ability to meet deadlines, must meet the Disability Support and Inclusion team at the start of the academic year so that a Learner Adjustment Plan (LAP) can be drawn up.

13.7.2 Further details can be found in the 'Reasonable Adjustment Policy' and procedures (refer to [section 10](#)).

13.7.3 The exceptional circumstances procedure is intended for unforeseeable situations, not for situations where the requirement for reasonable adjustments can be anticipated. For more about disability support, refer to our Disability Support and Inclusion pages in the [Student Hub](#).

13.7.4 For longstanding conditions students will be expected to have made full use of the appropriate support services provided by the University in order to have relevant adjustments made, and/or to develop coping strategies which will see them not only through their study but into later life.

13.7.5 Students may submit a claim relating to their existing longstanding condition/disability:

- a) If there has been a delay, beyond their control, in putting support in place for them.

or

- b) If their disability deteriorates in an unforeseen manner during the assessment period, for example, due to medication changes or similar. If the change will be ongoing and will affect future assessment periods students are advised to contact the Disability Support and Inclusion team as soon as possible to review their LAP before the next assessment period.

## 13.8 How do students claim?

- 13.8.1 Students apply for exceptional circumstances, including requesting an extension to a deadline, by filling out the 'Exceptional Circumstances Claim' online form. Brief guidance for completing the form includes:
- a) Where possible, a single form should normally be used to claim for all assessments impacted upon during the same period.
  - b) The claim form can be accessed through [e:Vision](#).
  - c) [SU Advice](#) are available to support and advise students completing exceptional circumstances forms.
  - d) Students must describe the impact their circumstances have had on their studies on the form. Forms will be returned to the student if they are not completed fully, or the information provided is insufficient.
  - e) Students requesting extensions must state the duration of the extension they are requesting. Extensions will be granted in full weeks as either 1 week (with satisfactory self-certification) or 3 weeks in total (with satisfactory evidence) in duration. A request for an extension beyond 3 weeks (either singular or cumulatively, including self-certified week) will not be granted, but if there are grounds for approval, the assessment will be deferred to the next assessment period.
  - f) For late claims (within 24 hours of the assessment or reassessment deadline) students must provide an explanation and evidence to support why they had good reason for not submitting their claim at the correct time.
- 13.8.2 Students who submit exceptional circumstances claims should not assume their claim will be approved and should continue to undertake study and prepare for/do assessments whenever possible until they are formally advised of the outcome of the claim.
- 13.8.3 A claim for exceptional circumstances, once formally submitted, can only be withdrawn in writing by the student (for example, by email).

### Can someone else complete the claim on the student's behalf?

- 13.8.4 The form must be completed by the student and cannot be completed by someone else on their behalf. For example, a family member or a tutor cannot complete the form on the student's behalf. If a student is unable to complete the form within the designated timeframes for exceptional reasons, for example, being in hospital, they should notify their Academic Tutor and complete the form as soon as possible or contact the [Student Hub](#) who will provide support and advice. The case may need to be referred to Special Cases Panel if they are unable to submit for more than a few days after the designated timeframes.

### Can a student re-apply for a further extension for a particular assessment?

- 13.8.5 A student who has been granted an extension but is unable to meet the requirements to submit due to further exceptional circumstances may submit a further claim form and supply further evidence in support of their additional claim. In most cases this will require additional updated evidence to be provided that relates to the previous extension period.
- 13.8.6 If an extension has previously been granted for 3 weeks (in a single block or cumulatively) a request for additional extension weeks will not be granted, but if there are grounds for approval, the student's assessment will be deferred to the next period of assessment.
- 13.8.7 If the student has a Learner Adjustment Plan extension, there may still be some circumstances where the exceptional circumstances procedure may be used, where the difficulty with meeting the deadline could not have been foreseen. For example, if a student's health suddenly deteriorates or they are affected by new medication or they are affected by exceptional circumstances not related to a long-term condition, for example, bereavement. In cases where students have already had an extension of 3 weeks (either singly or cumulatively) through their Learner Adjustment Plan, the assessment will be deferred to the next assessment period.
- 13.8.8 In all cases the claim must be submitted in accordance with published timescales.
- 13.8.9 Re-applications for exceptional circumstances for the same assessment on the same grounds may normally only be made on 1 successive occasion (2 in total including the first claim) provided that the new evidence continues to support the claim. Claims are considered individually following the standard process, however, not all re-applications are successful, particularly if there is no evidence of further deterioration or additional impact. If at this time a student is still unfit or unable to attempt the assessment, the student's circumstances will be considered on an individual basis. Possible arrangements at this time may include a supportive discussion within a Support to Study meeting or Fitness to Study meeting, or agreement for a period of suspension.

## 13.9 When to claim by

### Deadlines for claiming

Claim type	Deadline
<b>Deadline assessments</b>	Applications to request extensions to submission or resubmission dates should normally be submitted, with satisfactory evidence or with a self-certification statement, <b>before the published or approved deadline</b> . In cases where the evidence is not available, the claim form must normally be received before the assessment deadline, indicating the date the evidence will be submitted. <b>Claims must be submitted within 24 hours of the assessment deadline, or they will be automatically declined.</b>
<b>Scheduled assessments</b>	Applications relating to examinations, vivas, presentations, or other assessments held under timed conditions should normally be submitted, with satisfactory evidence or with a self-certification statement, up to <b>within 24 hours</b> after the assessment date.

- 13.9.1 Timeframes for submitting claims should be reflective of the circumstances and direct impact on the assessment, for example, short-term illnesses would normally have impacted the 24 hours leading up to the assessment deadline.

### Late submission of 'Exceptional Circumstances Claim' forms

- 13.9.2 If the claim form is submitted late (that is, more than 24 hours after the assessment or reassessment deadline), the claim cannot be considered by the Exceptional Circumstances Panel. The student will be directed to the 'Appeals Policy' and procedures (refer to [section 48](#)). Students may seek to appeal a confirmed mark once it has been approved at a School Assessment Board but must provide good reason for failing to use the exceptional circumstances procedure at the time of the assessment.
- 13.9.3 The student must claim as soon as they are able to, and no later than 24 hours after the assessment deadline. Incomplete forms will be returned to the student.

### Illness on the day of an examination or other scheduled assessment

- 13.9.4 Students will need to decide if they are well enough to take the examination or other scheduled assessment.
- A student who is taken ill prior to or during the examination/assessment period must contact their medical practitioner immediately to obtain a medical certificate that relates directly to the examination/assessment period as retrospective evidence is not normally accepted. Students may alternatively use self-certification evidence on 1 occasion during a semester (refer to [section 13.10.10](#)).
  - Where a student is taken ill during an invigilated examination or other scheduled assessment, whether departmentally or centrally administered, the student must contact their medical practitioner immediately to obtain a medical certificate that relates to the examination/assessment date. Students may alternatively use self-certification evidence on 1 occasion during a semester (refer to [section 13.10.10](#)). Invigilators are not able to provide evidence of illness; this must be provided by a medical practitioner.

## 13.10 Evidence to support an application for exceptional circumstances

- 13.10.1 Each application must be accompanied by satisfactory supporting evidence, normally from an independent and relevantly qualified third-party professional. For information regarding self-certification evidence refer to [section 13.10.10](#).

Students must provide **evidence of the impact** that the unforeseen event has had on their ability to study, or submit their assessment, or complete a scheduled assessment.

This must show:	
<b>That the unforeseen event occurred</b>	The evidence must give direct confirmation of the circumstances
<b>Evidence of the impact this has had on the student</b>	The evidence must demonstrate the significant effect on the student's ability to engage with work in general, or the assessment tasks in particular
<b>That the circumstances will affect, or were affecting, the student at the time of the assessment</b>	Evidence must relate to the assessment period – evidence of historic events that occurred before the assessment period is not normally accepted without up-to-date evidence of ongoing impact

- 13.10.2 Evidence from tutors or academic supervisors is not normally accepted as the sole form of evidence. Tutor/supervisor statements would only be accepted in very exceptional circumstances where it is accepted that other evidence is extremely difficult to obtain and with the express consent of the Deputy Head of Registry or Head of Registry.
- 13.10.3 In matters relating to health, evidence provided by a medical practitioner should be evidence created/gathered at the time of the problem and should be provided by the health professional that diagnosed and/or treated the student.
- A doctor, for example, may be willing to report a retrospective account given to them by a student after the event, but this does not carry weight as evidence if the doctor simply notes that a student reports the impact.
  - Similarly, the University's Student Wellbeing, Disability and Inclusion team is only able to provide evidence of attendance when a student has used, or is currently using, the services provided by the team to address the circumstances.
- 13.10.4 Evidence that simply states that the student has been unwell is not sufficient. The evidence must confirm a diagnosis and say how the illness has affected the student's ability to complete their work, and the time period affected.
- 13.10.5 Screenshots of online medical records can be accepted as evidence if they clearly detail the student's name, a diagnosis or treatment, and the record relates to recent contact with the GP or medical practitioner.
- 13.10.6 Even if a student's circumstances are sensitive, the student must still submit evidence. Disclosure to a member of staff is not normally accepted as an alternative to evidence.
- 13.10.7 Supporting evidence must be provided in English. Where the original document is in another language, the student must provide both the original document and a translation into English. This need not be a professional translation – the student may provide their own translation. Students can expect the University to check the accuracy of their translation.
- 13.10.8 The University will only share the evidence with those people who need to make the decision.
- 13.10.9 Photographic or video evidence of circumstances is not normally accepted without other supporting evidence from an independent third-party professional. For example:
- An injury would need to be supported by medical practitioner evidence as a photograph of the injury would not be sufficient on its own.
  - Involvement in a car accident would need to be supported by evidence from an insurance company and potentially from a medical practitioner if injuries or trauma were sustained as a photograph of the car would not be sufficient on its own.
  - Photographs of documents (letters, reports etc.) are accepted if they are fully visible and can be opened in a readable format, and the date of issue and author details must be clear.

## Self-certification evidence (once per semester)

- 13.10.10 Self-certification may be used on **1 occasion during a semester** as evidence to request a short extension for **1 week**. This can cover all assessments within the impacted week. Once a self-certification claim has been approved it cannot be rescinded unless the student wishes to convert it to a 3-week extension with evidence.
- 13.10.11 Students will still need to submit evidence for any circumstances where they wish to apply for an extension of more than 1 week.
- 13.10.12 The reassessment period in April is counted within the Semester 1 allowance. The reassessment period in August is counted within the Semester 2 allowance. For postgraduate taught programmes where there is teaching or dissertation workover the summer period (Semester 3), students will be permitted 1 self-certification within this period, in addition to those permitted in Semesters 1 and 2.
- 13.10.13 The University recognises that it is not always possible to make a GP appointment for a short-term acute physical illness. Self-certification allows students to request a short extension of 1 week through the exceptional circumstances procedure where they are unable to, or it is not necessary to, seek medical attention for a short-term acute physical illness.
- Self-certification may be used in lieu of evidence for an exceptional circumstances' claim when a student is unexpectedly unwell on the day of a scheduled assessment with a self-limiting acute physical illness.
  - Examples of short-term acute physical illnesses include Norovirus, gastroenteritis, acute period pain, food poisoning, migraine, or diarrhoea, and where the student does not seek medical attention.
  - This list is not an exhaustive list, and the University expects students to self-manage minor ailments (refer to [section 13.4](#)).
- 13.10.14 Self-certification may also be used in lieu of evidence to support claims on non-medical grounds listed in [section 13.4](#).
- 13.10.15 Self-certification cannot be used to support claims on grounds that are not accepted under this policy. Refer to [section 13.5](#).
- 13.10.16 Students must complete the self-certification declaration on the exceptional circumstances claim form to confirm when their circumstances began, the period it covered, and the ways in which it has impacted their studies.
- 13.10.17 Self-certification for a recent bereavement is not limited to 1 occasion during a semester.
- 13.10.18 Students must complete the self-certification declaration on the exceptional circumstances claim form to confirm when their circumstances began, the period it covered, and the ways in which it has impacted their studies.
- 13.10.19 Students who have an approved 1-week self-certification extension may not apply for a further extension on the same assessment using self-certification for a second time. Students can apply for a further extension but would need to provide satisfactory evidence that supports the need for additional time (refer to the table in [section 13.10.21](#)).
- 13.10.20 Important considerations for self-certification:
- Self-certification should only be used where absolutely necessary.
  - The University would expect that most students will never need to self-certify during their studies. If a student does need to self-certify, it is on the understanding that it is a one-off situation, and the University will record that the student has self-certified. Self-certification evidence may normally **be used 1 occasion in a semester**, although it is accepted that the 1-week period may be associated with more than 1 assessment.
  - Students should always consult their GP if their illness is severe, persists or if they are in any doubt about their health.
  - Retrospective self-certification will not be accepted.

## Summary of evidence

13.10.21 A summary of examples of evidence is provided below:

Grounds	Evidence
<p><b>Unforeseen medical circumstances</b></p> <p>For example, significant acute illness or mental health crisis, or incapacitation through accident or injury.</p>	<p>A signed and dated medical certificate or GP/healthcare professional letter that confirms a diagnosis, the dates when the illness / crisis / accident/injury impacted on the student, and a professional opinion regarding the impact of the circumstances will have on the student's ability to prepare for, submit or attend an assessment.</p> <p>The written evidence must include the professional's position and their contact details.</p> <p>Photos of injuries / prescriptions / medication do not confirm a professional opinion of impact and therefore on their own are unlikely to be accepted.</p> <p>Referral letters for appointments for significant illness/injuries would normally only be accepted for durations of up to 3 weeks unless they confirm a diagnosis and professional opinion regarding impact.</p> <p>Screenshots from the NHS app may be used as evidence, but must show the student's name, dates, and refer to a diagnosis and/or treatment.</p> <p>Self-certification may be used on 1 occasion during a semester for extensions up to 1 week of absence from a scheduled assessment, for full details and limitations refer to the section above).</p>
<p><b>Unforeseen illness of dependents or immediate family</b></p>	<p>Medical certificate or GP/healthcare professional letter relating to dependent/family member that confirms the recent sudden or severe nature of the illness.</p> <p>And/or GP or other independent professional third-party evidence confirming how these circumstances are impacting upon the student.</p> <p>If a student provides evidence relating to a third-party, they are responsible for ensuring that the person concerned consents to this use of their information. This evidence will be deleted at the end of each semester.</p>
<p><b>Bereavement due to the death of a close family member or friend</b></p> <p>A close family member is defined as a partner, child, sibling, parent, grandparent, grandchild.</p>	<p>Self-certification may be used during an academic year for extensions up to 1 week of absence from a scheduled assessment in instances of bereavement and this would not be counted as the 1 use <b>per semester</b> normally permitted for ill-health self-certification.</p> <p>Students who have an approved 1-week self-certification extension based on health-related grounds may apply for a further 1-week extension for the same assessment on bereavement grounds using self-certification.</p> <p>Students requiring more than a 1 week extension due to bereavement can submit a claim for a 3 week extension. Evidence will not be required however within the claim the student must state how they are related to the deceased.</p> <p>For bereavements that occurred more than 6 months before the assessment period evidence may be required in order to support students longer term, for example, evidence from a grief counsellor or other health professional.</p>
<p><b>A delay in support for a disability or long-term condition</b></p> <p>For example, a new diagnosis or a change to a disability requiring the student's LAP to be updated.</p>	<p>Extensions for disabilities or long-term conditions are normally managed through a Learner Adjustment Plan (LAP) – refer to the Disability Support and Inclusion team. However, claims can be submitted on grounds of disability where there has been a delay in making arrangements that is beyond a student's control.</p> <p>Letter/email from the Disability Support and Inclusion team confirming the delay in support is beyond the control of the student.</p>



<p><b>Deterioration / change in a disability or long-term condition</b></p> <p>For example, A recent change in medication for an existing condition for which an LAP is in place resulting in adverse side effects.</p>	<p>Only applicable for students who have an existing LAP in place for their disability or long-term condition.</p> <p>Recent evidence describing the specific deterioration/change and the period it applies to, for example, medical certificate or GP/health professional letter.</p> <p>Evidence that simply confirms a student's existing disability, long-term condition, or mental health issue itself without confirmation of recent deterioration or a sudden change would not normally be sufficient.</p>
<p><b>Pregnancy</b></p>	<p>Confirmation from a medical professional of the expected delivery date.</p>
<p><b>Parental care of an infant under 12 months</b></p>	<p>A copy of the child's birth certificate.</p>
<p><b>Significant caring responsibilities for a family member or partner with a disability or mental health condition</b></p>	<p>A supporting letter from the Specialist Support team.</p> <p><b>Or one of the following:</b></p> <p>A GP's or Social Services letter confirming the caring role, who this is in relation to and any perceived impact on the student.</p> <p>A local authority carer assessment.</p> <p>DWP correspondence regarding withdrawal of Carer's Allowance due to starting university (full time students).</p> <p>Receipt of Carer's Allowance (part time students only).</p>
<p><b>Victim of serious crime</b></p>	<p>A police crime number, or insurance claim documents (normally only sufficient for 3-week extensions). A crime number on its own does not confirm a professional opinion of impact and therefore is unlikely to be accepted for durations beyond 3 weeks.</p> <p>For deferrals to the next assessment period evidence may include: A sexual assault referral centre confirmation; or GP/healthcare professional letter; or Welfare Adviser letter/email (in certain sexual assault cases); or legal letters.</p> <p>Claims relating to injuries or trauma sustained in a motor vehicle accident would normally be considered under medical grounds, for which medical evidence would be required.</p>
<p><b>Exceptional and unforeseeable transport difficulties</b></p> <p>For example, major transport incidents, this does not include everyday issues or transport strikes that were well publicised in advance.</p>	<p>A letter from the transport company that confirms the date of the delay or a newspaper article that reports the incident.</p>

<b>Legal proceedings requiring attendance</b>  For example, attendance either as a witness, jury member, plaintiff, or defendant.	A letter from the court or a legal professional confirming the date(s) of attendance.  A juror summons – for more information regarding support with applying to defer juror service, please visit our <a href="#">Jury service page</a> .
<b>Unforeseen acute personal circumstances</b>  For example, family crisis directly significantly impacting the student.	Independent professional third-party evidence detailing the circumstances and period impacted upon.
<b>Participation in exceptional and significant events</b>  For example, international sporting events.	Evidence from the official sporting body confirming the dates when the student is required for training and competitions.
<b>Unforeseen changes to the normal working patterns for part time students</b>  For example, significant increased working hours, disruption caused by greater responsibility or a change in location.	Evidence signed and dated from the student's employer that confirms the time period effected, and the unusual and unavoidable nature of the change to working patterns and its impact.  The evidence must state the manager's (or employer's) name and contact details and their relationship to the student.

### Delays in obtaining evidence

13.10.22 Students should submit their claim form by the deadline where possible stating the evidence they will provide and when it will be available. The Programme Administration and Support Service (PASS) team will email the student to set a deadline for the student to provide the evidence by. If the student cannot meet the deadline for evidence the student is responsible for contacting the PASS team to negotiate a longer deadline for providing the evidence. A decision will be made once the evidence is provided. If the student does not provide evidence or contact the PASS team regarding their evidence by the deadline given, then the claim would normally be declined.

Delays in supplying evidence will not lead to additional time being added to the extension duration requested. The extension duration will be assessed based on the evidence provided, which in some cases may result in an extension deadline having already passed at the point the student is notified of the extension date(s).

## 13.11 Processing claims

### Initial claim review

- 13.11.1 On receipt of the claim form and evidence the Programme Administration and Support Service (PASS) team reviews the form and checks it is complete and that appropriate evidence has been provided. If the PASS team has concerns over the evidence or the evidence has not been provided, or the form is incomplete, they will contact the student asking for deficiencies to be remedied and setting a deadline for submission of further evidence which will normally be **5 working days** from the request for further evidence.

If there is a further delay in obtaining evidence the student is responsible for contacting the PASS team to renegotiate the deadline for providing evidence.

The PASS team's correspondence to the student will confirm that if no further communication or evidence is submitted that the claim will be considered as it stands and that claims without supporting evidence are normally declined.

### Who makes the decision?

- 13.11.2 The principal responsibility for decision-making for extensions of 1 to 3 weeks lies with the Programme Administration and Support Service (PASS) team; the responsibility for decision-making for deferrals lies with the Exceptional Circumstances Panel which is based in Registry. The panel makes decisions on all claims:

- For extensions of longer than 3 weeks in total (classified as a deferral).
- To extend a previous extension beyond 3 weeks (classified as a deferral).
- To defer scheduled assessments.
- To waive a late submission sanction (for a submission made up to 24 hours late).

- 13.11.3 In all cases both Registry and the PASS team will follow the requirements as set out by the 'Exceptional Circumstances Policy'.

- 13.11.4 Academic members of staff are not involved in the decision-making process and do not have the authority to approve any extensions, deferrals, waiving of late sanctions or the setting aside of marks for assessments.

### Process for group assessments

- 13.11.5 Extension requests relating to 'group assessment' will be reviewed on an individual basis and outcomes will depend on the specific practices and practical feasibilities available to that School. Where individual group members request an extension that can be accommodated, the new deadline will either be applied to the last agreed deadline applied to the whole group or a new deadline will be set for the individual group member. This will be agreed with the Module Director/Lead.

### Confidentiality

- 13.11.6 Staff involved in processing claims must always ensure that they use the appropriate level of confidentiality.

- 13.11.7 Evidence relating to third parties, for example, evidence of the illness of a relative, will be deleted at the end of each semester.

## 13.12 Possible outcomes

- 13.12.1 The possible outcomes for an exceptional circumstance claim include:

- Provide an appropriate extended submission deadline (normally 1 or 3 weeks). **Extensions will be granted in whole weeks (for example, 1 week or 3 weeks).** When a student presents a compelling case that is upheld, which required a longer extension than 3 weeks, the assessment will be deferred to the next assessment period. Where an extension would take a student beyond 3 weeks of their current expected completion date the 'Programme Extension Process' should be followed (refer to [section 14](#)).
- To waive a late submission sanction (for a submission made up to 24 hours late).
- Rearrangement of in-class tests – this may require a different test to ensure the integrity of the assessment.
- Rearrangement of scheduled assessments such as practical assessments, practical demonstrations, presentations, performances etc.

- Deferment of an examination to the next opportunity (normally the reassessment period). This may prevent a student from being able to progress to the next level of study of their programme and/or complete their programme within the set time limits.
- Put an 'Exceptional Circumstances Plan' (ECP) in place for a defined period of time (refer to [section 13.15](#)).
- Decline the claim in full.

- 13.12.2 Where a student has a previously approved extension and applies for a further extension for the same assessment, the new submission deadline will be calculated from the original cohort deadline. For example, a student has a 1 week LAP extension and applies for a 1 week extension through the exceptional circumstances process. The new deadline will be 2 weeks from the original cohort deadline.
- 13.12.3 The Exceptional Circumstances Panel or Programme Administration and Support Service (PASS) team do not have the authority to reconsider a provisional mark given for an assessment.
- 13.12.4 Within this policy there is no provision to adjust a student's mark or degree class or to exempt a student from an assessment.
- 13.12.5 The panel or PASS team cannot approve the variation of the assessment method for a student, but this may be a consequence of an approved deferment if for logistical reasons the original assessment cannot be completed. Examples include: the deferment of an individual student's participation in a group performance, or a presentation involving peer review, or participation in fieldwork. Refer to [section 11](#) for 'Alternative Assessments Policy' and procedures for full information on the approval process varying an assessment.

### Why might a claim be declined?

- 13.12.6 A claim is likely to be declined on the grounds that:
- Insufficient or no evidence has been provided.
  - The information required to assess the claim is incomplete.
  - The student has not submitted the claim by the deadline as stated in this policy.
  - The claim is made due to an insubstantial event and is not defined as 'unforeseen' or 'exceptional' as required by this policy.
  - The circumstances and/or evidence do not demonstrate the assessment period was adversely impacted upon.
  - The nature of the circumstances cited is not over and above the normal difficulties experienced in life.
  - Sufficient adjustment has already been made for the same circumstances; the evidence has already been used to support adjustment for the same assessment and no new evidence has been provided.
  - The circumstances in question relate to a disability for which reasonable adjustments have been made but which the student has not engaged with to a sufficient extent.
  - The claim is submitted after the assessment mark(s) have been released by the School.
- 13.12.7 If a student's request is declined, it is important to be aware that, if submitted late, a late sanction will be applied. This applies to first attempts only, late submissions for reassessments are not accepted. For full details of the 'Late Submission Sanction Policy' refer to [section 26.3](#).

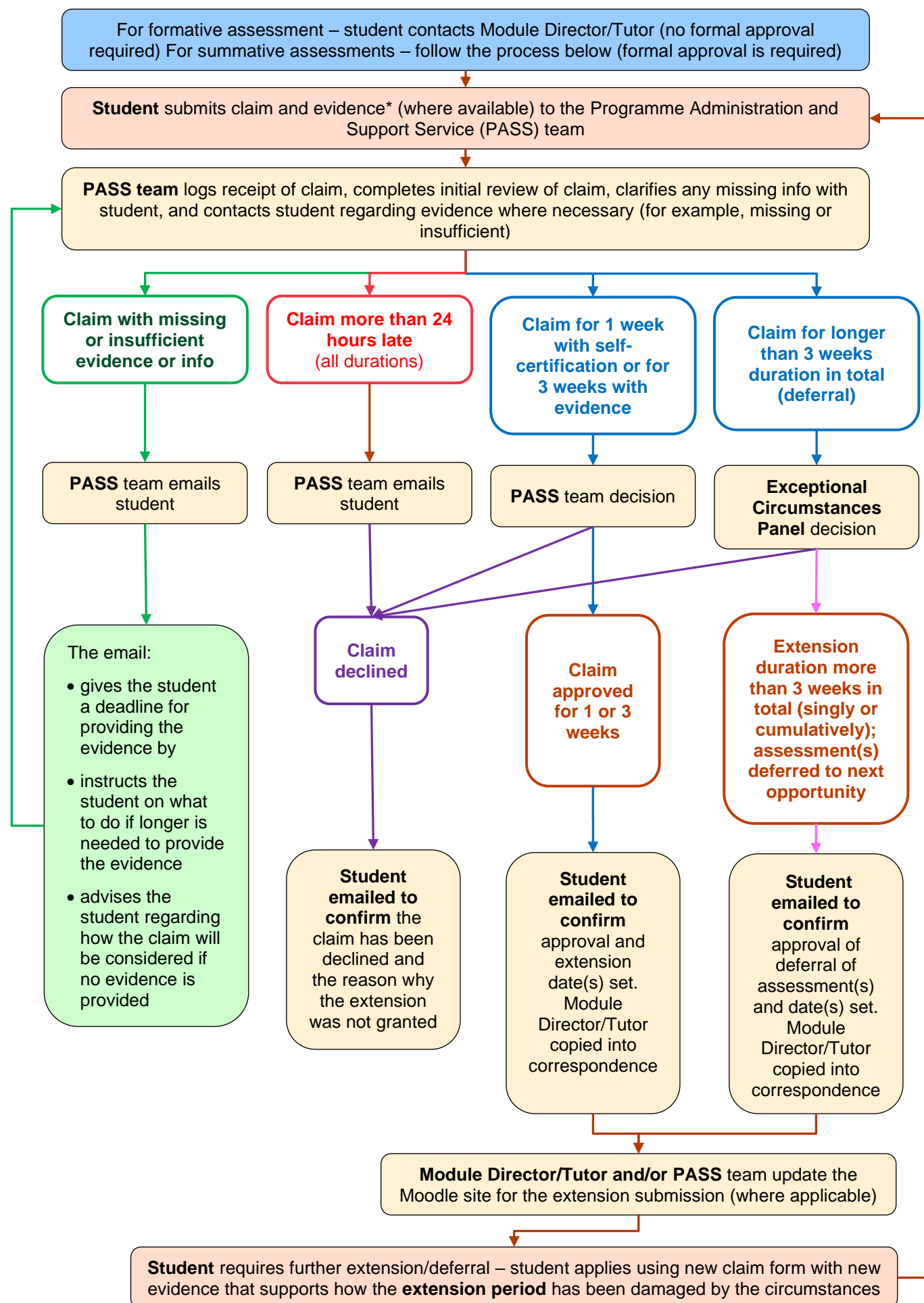
## 13.13 Communicating the decision

- 13.13.1 Once a decision is made an email response will be sent to the student through their University email address **normally within 3 working days** of the date the student submitted their claim and satisfactory self-certification or evidence.
- Claims are not considered without evidence or self-certification and a delay in providing evidence will delay the decision.
  - Students will receive an email outcome that will confirm if their extension request has been approved or declined.
  - If an extension has been granted, the email will include the new assessment deadline or details that the School will confirm the exact date, time and location of a scheduled assessment, for example, a presentation.
  - If the request is declined the email will confirm the reason.

- 13.13.2 When considering the claim, where appropriate, the student may be directed to support that can be accessed through the University. Students are encouraged to consult the relevant student support services, including wellbeing, financial advice, accommodation advice, study skills, disability advice, and international student support.
- 13.13.3 Where a student presents exceptional circumstances based on chronic medical circumstances not previously known to the University or circumstances which have become more severe the Exceptional Circumstances Panel will advise the student to consult with the Student Wellbeing, Disability and Inclusion team, Disability Support and Inclusion team and/or Study Skills Support team regarding future support. If appropriate, the possibility of discussing suspension from the University with the student's Associate Head/Dean of School should be suggested to the student (refer to [section 5](#)). If the circumstances are such that the student may not be fit to study, the University may follow its 'Fitness to Study' procedure (refer to [section 21](#)).
- 13.13.4 The Module Director/Lead and/or the Programme Administration and Support Service (PASS) team are responsible for updating Moodle to accommodate the student's new submission deadline. The PASS team will contact students to confirm submission arrangements if the submission is not to be made through Moodle.

Students may be allocated a specific extension submission Moodle link to use. Students are advised to check that they have access to the relevant submission area and are able to upload files in advance of the extended deadline. Students who are unable to locate the relevant submission link, or have any questions, or decide to submit their work by the original deadline must contact the PASS team.

## 13.14 Exceptional circumstances process flowchart

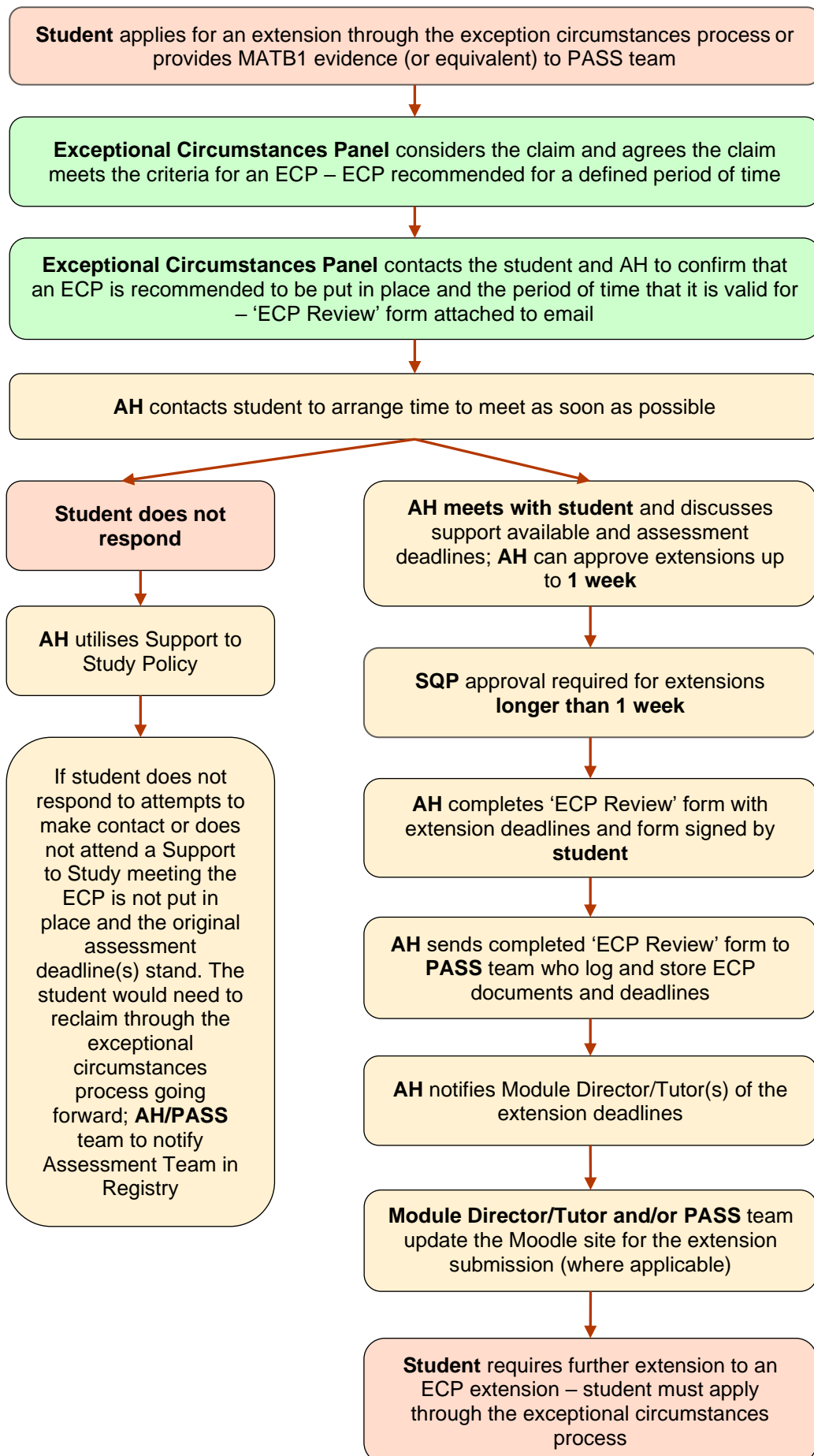




## 13.15 Exceptional Circumstances Plan (ECP) process

- 13.15.1 There may be rare occasions relating to **non-medical circumstances or a protected characteristic** where the student's situation is unlikely to change throughout a defined period of their programme of their studies. For example, students with caring responsibilities for an infant under 12 months and/or have just returned from a period of suspension due to maternity leave, pregnancy, caring responsibilities for a family member or partner with a disability or mental health condition, or during gender reassignment.
- 13.15.2 Approval may be agreed for a more cohesive amendment to assessment submission dates, including the staggering of deadlines, for a defined period of time through an 'Exceptional Circumstances Plan' (ECP).
- 13.15.3 An ECP may not be used to amend the type of assessment, in such cases students will need to seek support from the Disability Support and Inclusion team (refer to [section 10](#)).
- 13.15.4 For an ECP to be put in place, the student must initially submit an exceptional circumstances' claim with satisfactory supporting evidence. For students who are pregnant refer to [section 13.15.5](#).
- a) This claim will be reviewed, and a decision made by the Exceptional Circumstances Panel in Registry.
  - b) The Panel will assess the non-medical circumstances or protected characteristic to determine if the situation is likely to be ongoing and if it is unlikely that any future evidence would provide additional details beyond what the initial evidence confirms.
  - c) **If an ECP is approved by the Exceptional Circumstances Panel**, the Panel will contact the student and the student's Associate Head/Dean of School or nominated representative with a recommendation for an ECP to be put in place for a defined period of time. The introduction of an ECP cannot be approved by the School without Exceptional Circumstances Panel approval.
  - d) An 'ECP Referral' form will be provided to the Associate Head/Dean of School or nominated representative, by the Exceptional Circumstances Panel in Registry. The duration for which the ECP is in place for will be clearly indicated on the 'ECP Referral' form.
  - e) Once the 'ECP Referral' form has been received from the Exceptional Circumstances Panel in Registry, the Associate Head/Dean of School, or nominated representative must arrange a meeting with the student as a matter of urgency to discuss the student's assessment timings and support that is available to the student through the University, for example, study support, time management.
  - f) If a student does not respond to communications to arrange a meeting, then the Support to Study Policy should be used and it is suggested a Stage 3 meeting is called.
  - g) An Associate Head/Dean of School or nominated representative, can authorise extensions of **up to 1 week** only for ECPs. Section 6 of the 'ECP Referral' form must be completed and forward to the PASS team for recording of the extension.
  - h) Should there be several deadlines near to one another then staggering the deadlines is likely to be more helpful to the student. Decisions should be informed by academic judgement, and take account of the Academic Registrar's deadlines, professional body stipulations, simultaneous deadlines, the severity of circumstances, and deadlines associated with the School Assessment Board.
  - i) For extensions **longer than 1 week** (and no more than 3 weeks) the Associate Head/Dean of School or nominated representative specifies the duration and submits the ECP with the recommendation to the School Quality Panel (SQP) for approval. If an extension of longer than 3 weeks is considered advice should be sought from the Assessment team in Registry prior to final approval. This may involve assessments being deferred to the next assessment period.
  - j) Any further request to extend an ECP deadline must be made through the exceptional circumstances process and this request should only be considered for additional circumstances or further changes to circumstances that can be evidenced. For clarity, once an ECP extension deadline has been agreed it **cannot be extended or adjusted again through the ECP process**. For example, an Associate Head/Dean of School or nominated representative cannot approve a 1-week ECP extension for an assessment and then extend the deadline again for the same assessment by a further 2 weeks using the same ECP.
  - k) If the Associate Head/Dean of School or nominated representative, is unable to reach an agreement with the student, they should contact the Assessment team in Registry to help resolve any issues. The final decision should be made by the Associate Head/Dean of School in these cases and the student should be advised about their right to appeal as outlined in [section 48](#).
  - l) The 'ECP Referral' form should normally be completed in consultation with the student and approval given by the Head/Dean of School, or by the School Quality Panel.

- m) Any approved ECP must be reported to School Quality Panel for Schools to monitor and to review the consistency of duration of ECP extensions across the School.
  - n) Once the 'ECP Referral' form has been approved, the PASS team will confirm the approved deadlines with the student via the student's university email account.
  - o) The PASS team is responsible for storing the ECP related documents and correspondence on the student's file, and for updating any changes relating to deadline dates, including the extension tracking database, Moodle, etc.
- 13.15.5 For students who are pregnant, a MATB1 form can be submitted to the PASS team in place of an exceptional circumstances claim. The PASS team will review the evidence and will then liaise with the Exceptional Circumstances Panel in Registry on the student's behalf to arrange for an ECP to be put in place.
- 13.15.6 For non-UK residents who are pregnant, evidence from a medical professional confirming the expected delivery date can be submitted to the PASS team in place of a MATB1 form.
- 13.15.7 For students returning from a period of maternity leave an ECP can be put in place to support them through the first semester after their return to their programme, whilst they are adjusting to managing their studies alongside caring for a young child.
- 13.15.8 An ECP cannot be used to retrospectively extend a deadline or to further extend a deadline previously approved through the exceptional circumstances process for the same grounds (for example, if a student has a 3 week extension approved due to pregnancy grounds and has an ECP put in place due to these grounds, the ECP cannot be used to further extend the deadline).
- 13.15.9 Once the agreed deadlines have been confirmed on the ECP form, the student is expected to meet those deadlines. If a student asks for additional extensions, they must do so through the exceptional circumstances process and must evidence a change to their circumstances or additional circumstances (for example, illness).



## **13.16 Appeals relating to exceptional circumstances claims**

- 13.16.1 If an exceptional circumstances claim is declined, the student can appeal after the publication of the final module mark by the School Assessment Board. An appeal will only be accepted if the student can show that they had a good reason for not raising their exceptional circumstances at the time of the assessment, or else that they did raise their exceptional circumstances earlier, but the University did not follow the procedure for exceptional circumstances correctly. Details regarding grounds for appeal and the procedures to follow can be found in the 'Appeals Policy' (refer to [section 48](#)).

## **13.17 Records relating to exceptional circumstances**

- 13.17.1 The University will keep and dispose of all correspondence relating to exceptional circumstances in accordance with the appropriate principles on data protection. For more information refer to our [Data Protection page](#).

## Section 14 Programme extension policy

### 14.1 Purpose

- 14.1.1 This policy details the criteria and procedures for applying to extend a student's period of study. This applies to students who have completed all teaching requirements but have been unable to complete the programme's final assessments in the normal timescale due to exceptional circumstances.

### 14.2 Scope

- 14.2.1 The procedure to be followed for extensions within 24 months of the standard period of study in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.
- 14.2.2 Validated programme students who require a programme extension beyond the maximum period of study must follow the University procedures set out below in [section 14.7](#).

### 14.3 Standard periods of study

- 14.3.1 The standard periods of study for York St John University awards are defined in the [University Regulations](#). Where specified in a [programme specification](#), the duration of a programme of study may vary from the standard period.
- 14.3.2 Students must complete all study and submit all assessments/reassessments required for completion of the programme **within 24 months** following the standard period of study set out in the [University Regulations](#) or in the programme specification. This 24-month period includes any extensions granted for exceptional circumstances or as a reasonable adjustment, any period of suspension of studies (with the exception of that for maternity/paternity reasons) and any reassessments. This is the normal maximum period allowed for completion of studies and all assessments. Extensions to this maximum period will only be agreed in accordance with the procedure set out below in [section 14.7](#).

### 14.4 Programme extension durations

- 14.4.1 Programme extensions are normally out of residence – students are not enrolled, do not paying fee and are not entitled to further academic support.

Duration	Process
<b>Programme extensions of 3 weeks or less</b>	Students follow the exceptional circumstances procedures explained in <a href="#">section 13</a> .
<b>Programme extensions of more than 3 weeks but within the maximum period of study</b>	Students and Programme/Course Lead, or nominated representative, follow the programme extension procedure explained in <a href="#">section 14.6</a> .
<b>Programme extensions beyond the maximum period of study (as defined in <a href="#">section 14.3</a>)</b>	Students and Programme/Course Lead, or nominated representative, follow the procedure explained in <a href="#">section 14.7</a> .

### 14.5 Evidence to support programme extensions

- 14.5.1 Each application must be accompanied by satisfactory supporting evidence, normally from an independent and relevantly qualified independent professional.
- 14.5.2 Students must provide **evidence of the impact** that the circumstances have had, or will have, on their ability to study, submit their assessment, or complete a scheduled assessment.
- 14.5.3 The nature of the evidence required follows the principles set out for evidence in the 'Exceptional Circumstances Policy' (refer to [section 13](#)).

## 14.6 Programme extension procedure

- 14.6.1 As soon as it is known by the student that their circumstances will impact upon their ability to complete their programme of studies within their standard period of study, the student must contact their Programme/Course Lead, or nominated representative, to discuss their circumstances and whether a programme extension is necessary. The request should normally be made at least **2 weeks prior** to the end of the period of study.
- 14.6.2 Students cannot suspend their studies if they have completed all the teaching for the final year of studies. Students who have been unable to complete their programme's final assessments in the normal timescale due to exceptional circumstances should apply for a programme extension. Examples where a suspension of studies is not permitted, and a programme extension should be applied for if extra time is required include:
- Students completing reassessments for their final assessments.
  - Postgraduate students within 6 weeks prior to their programme expected end date.
  - Student whose expected end date has passed.
- 14.6.3 Grounds for a programme extension must be exceptional and significant. They may include but are not limited to serious and persistent health problems; pregnancy; significant bereavement; significant caring responsibilities for family member or partner with a disability or mental health condition; serious financial problems; difficulties accessing clients required for assessments or where a part time student's employment pattern has significantly changed.
- 14.6.4 Students should be made aware that a programme extension may delay their graduation.
- 14.6.5 International students with Student Visas must contact the Visa and Compliance team by submitting a case via the [Student Hub](#) before applying to discuss the implications of extending their programme of study. The University cannot guarantee that the student will receive a visa extension.
- 14.6.6 For a request to extend the standard period of study **by 3 weeks or more**, or for a request to prolong an existing programme extension, the Programme/Course Lead, or nominated representative, and student must complete the online 'Programme Extension' form. A separate 'Programme Extension' form is required for each new extension.
- 14.6.7 The Programme/Course Lead, or nominated representative, must include written support for the extension and certify that the student has made satisfactory progress so far. An action plan must also be completed.
- 14.6.8 In exceptional circumstances, and dependent upon the circumstances and appropriate evidence, extensions can be granted for a maximum of 1 academic year at a time provided this does not exceed the maximum period of study (refer to [section 14.3](#)).
- 14.6.9 Relevant supporting evidence must be submitted with the application form. The claim cannot be considered until satisfactory evidence has been received by the Exceptional Circumstances Panel. The nature of the evidence required follows the principles set out for evidence in the 'Exceptional Circumstances Policy' (refer to [section 13](#)).
- 14.6.10 The Exceptional Circumstances Panel will inform the student and the relevant teams, including the Library and the student's School, of the student's new expected completion date once an extension has been approved and processed.



## 14.7 Extensions beyond the maximum period of study

- 14.7.1 It is rarely appropriate to extend beyond the maximum period of study (that is, beyond 24 months of the maximum period of study for the programme specified in the [University Regulations](#) and programme specification).
- 14.7.2 Extension beyond this period may only be granted for a **maximum of 3 months**, where it will allow the student to submit **1** assessment or reassessment leading to eligibility for a particular award.
- 14.7.3 If a programme extension beyond the maximum period of study is required the Programme/Course Lead, or nominated representative, and the student must complete the 'Programme Extension' form and submit this, with accompanying supporting evidence, for consideration by the Special Cases Panel. The Special Cases Panel will make a decision on behalf of the University Assessment Board. It may only be granted where the student has provided appropriate evidence of serious extenuating circumstances, and the School has confirmed that there is a realistic prospect of the student submitting an assessment conferring eligibility for an intended or exit award.
- 14.7.4 The Special Cases Panel will inform the student and relevant teams, including the Library and the student's School, of the student's new expected completion date once an extension has been approved and processed.

## Section 15 Module repeats policy

### 15.1 Purpose

- 15.1.1 This policy outlines the principles, processes, general rules, and conventions relating to repeating teaching of a module.
- 15.1.2 The procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

### 15.2 Policy

- 15.2.1 Where a student studying at Level 4 or Level 5 has failed up to 40 credits, they will normally be given the opportunity to study those modules in full as a part time student the following year (refer to [section 31.9](#)). Any ability to study part time must be in accordance with an external requirement placed on the student by bodies other than the University.
- 15.2.2 Except for [section 15.2.1](#) there is no automatic right to repeat a module. Any other recommendation to repeat a module(s) will normally be related to:
  - a) Approval of a suspension of studies.
  - b) Approval from the Special Cases Panel or Appeals and Conduct Committee or School Assessment Board for a student to restart their programme at either Level 3 or Level 4 (refer to [section 31.10](#)).
  - c) Approval from the Special Cases Panel or Appeals and Conduct Committee for a student to repeat some or all of a level of their programme.
  - d) A study abroad (exchange) student returning from their host institution, where the student has multiple resits to complete to meet level progression requirements.
- 15.2.3 Where approval has been granted for a student to restart their programme at either Level 3 or Level 4, or to repeat a higher level, the student is given the opportunity to change their optional module choices in the normal way at the start of the academic year.
- 15.2.4 Repeating a module involves attending classes and tutorials and receiving the full range of academic guidance as well as resubmitting assessments. For more information regarding attendance/engagement monitoring and requirements, please refer to our [Programme Engagement Regulation](#), our [Report an Absence page](#) and our 'Student Engagement Policy' (refer to [section 18](#)).
- 15.2.5 There is a cost to repeating a module. For more information on repeat module fees, please refer to our [Reassessment page](#). Students repeating a full level (100 to 120 credits) will be charged the annual year's fees.
- 15.2.6 It may not be possible to repeat the same module due to programme changes. Where this is the case, a suitable alternative module will be proposed by the Associate Head/Dean of School or nominated representative.
- 15.2.7 It may not be possible to repeat the same module at the same period it was initially studied in due to programme changes. Where this is the case, the repeat module will be undertaken in the new period or, if the programme allows, a suitable alternative module will be proposed. For example, a module originally studied in semester 1 may have moved delivery to semester 2. Students would need to repeat the module in semester 2, or if the module is optional undertake an alternative module in semester 1.
- 15.2.8 Repeating students should note that they may use their previously submitted work for their own learning and reference, in the same way they would use third-party information, but students **may not rework and/or resubmit their previous work for assessment when repeating a module**. This would be treated as academic misconduct and considered as self-plagiarism (refer to [section 27](#)).

## Section 16 Incoming study abroad and exchange students

### 16.1 Definition

- 16.1.1 Incoming study abroad and exchange students are defined as students from another overseas university who are admitted for up to 1 year to take modules at York St John University which are normally recognised for credits as part of the degree programme at their home institution.

### 16.2 Module enrolment

- 16.2.1 Incoming students will have submitted the modules they wish to take while at York St John University prior to their arrival. Timetables are confirmed to students by the end of Welcome Week. Should a student wish to change modules once they arrive at the University, they can do so up to the **end of week 2** by contacting the Study Abroad team via the [Student Hub](#). Any changes after the end of week 2 are not normally permitted (refer to [section 4](#)).
- 16.2.2 There is an approved list of modules for each academic year which will be offered to incoming students. Schools are responsible for providing the Study Abroad team with the list of their available modules. The Study Abroad team is responsible for maintaining the list with this information. For more information, please refer to the Study Abroad [information page](#).
- 16.2.3 All incoming students are classed as full time and are expected to take 60 credits for each semester or 120 credits a year.
- a) Students cannot register for or audit additional modules.
  - b) Students studying for a year must maintain a full time credit load throughout their studies due to visa rules. Students cannot change modules or cease attending modules without formal approval from the University. Students studying for 1 semester may, as an exception, study 40 credits per semester, on approval by their home institution.
  - c) Students are not permitted to withdraw from a module after the end of week 2 to avoid completion of the module's assessment.
- 16.2.4 Once enrolled for modules, incoming students will be required to submit all components of the module and attend examinations (or other timed assessments, for example, presentations etc.) as necessary for the completion of the modules on which they are enrolled. Should students not submit for any component of a module, they will receive a mark of zero and a non-submission grade.
- 16.2.5 It is not the University's expectation that an incoming exchange student studying on-campus can be taught remotely.
- 16.2.6 If a student has taken the decision to withdraw, for whatever reason, it is for their home institution to make arrangements for any subsequently missed credit that would have been taken at the University. The University would issue a transcript showing any completed York St John credit in these cases.

### 16.3 Assessment

- 16.3.1 Incoming exchange students will study alongside university degree students and will usually complete the same assessments.
- 16.3.2 Should incoming students experience a short-term unforeseen circumstance that prevents them from submitting their work by the published deadline, the exceptional circumstances process should be followed (refer to [section 13](#)).
- 16.3.3 In exceptional cases, it may be necessary for incoming students to return home. If this is necessary students must notify their home university and all relevant teams at York St John University (Study Abroad team, Programme Administration and Support Service (PASS) team, Registry, Visa and Compliance team) before leaving so appropriate processes can be followed to report any amendments required for visas, attendance monitoring, assessment changes etc.

## 16.4 Alternative assessments for examinations

- 16.4.1 For incoming students who attend the University for Semester 1 in the academic year (September to January), there may be written agreements in place that permit a return prior to the end of the semester. Where this is the case for a module involving an examination, alternative assessments for incoming exchange students must be approved by the School Quality Panel (refer to [section 11](#)). In all other cases it is usually expected that the incoming exchange students will complete all assessments within the same timeframes as other students.
- 16.4.2 The Study Abroad team will email academic tutors and PASS teams and will highlight those students who will be leaving early and may require an alternative assessment. The Assessment team in Registry is notified of the students and will identify any examinations that require alternative assessments. A collated list of students will then be sent by the Study Abroad team to the academic advisors and Module Directors/Leads to confirm that an alternative assessment needs to be put in place.
- 16.4.3 The alternative assessment can be internally approved by the School Quality Panel, and the Independent Learning Unit (ILU) process does not need to be followed for this. The Schools are required to send confirmation to the Assessment team in Registry once an alternative assessment is in place for examinations; these exchange students are then exempted from being included for any examinations in January.
- 16.4.4 Students who request to leave their study at the University early, with whom the Study Abroad team does not have an agreement in place with their home institution, should contact the Study Abroad team. Students cannot submit a request to their Module Director/Lead to request an alternative assessment. Only those students confirmed by the Study Abroad team and the Assessment team in Registry should have an alternative assessment put in place.

## 16.5 Notification of results

- 16.5.1 Incoming students will receive notification of their results, following the last School Assessment Board by email to their university email account and through e:Vision.
- 16.5.2 Those students who have passed all modules will have their records completed and a full and complete transcript of results will be produced. The Study Abroad team will pass the transcripts onto the partner institution if there is no current debt to the University. Should a student require additional copies, they can request these from the Student Records team in Registry by submitting a case via the [Student Hub](#).
- 16.5.3 The University transcript includes the York St John University and ECTS credit values for each module but does not provide a conversion to other institutions' credit schemes. The home institution is responsible for the conversion of the marks/grades to their institution's mark scheme.

## 16.6 Reassessment

- 16.6.1 If incoming students have a resit opportunity, their record will be left open and they will be notified, via their York St John University email account, of their failure and directed to where to find resit information on Moodle.
- 16.6.2 If the student takes the decision not to complete the reassessment(s) and therefore fail the module overall, they will not gain the credit for that module(s).
- 16.6.3 If the reassessment opportunity is for an examination component or a practical assessment that poses logistical difficulties if completed at distance and the student has returned to their home institution, an alternative reassessment will need to be organised by the School. The Study Abroad team will confirm with Module Directors/Leads which students have resit examinations once results have been communicated to students.

## Section 17 Outgoing exchange (study abroad)

### 17.1 Definition

- 17.1.1 Outgoing exchange students (study abroad students) are defined as York St John University students who are admitted to study for up to 1 year to an approved overseas host university. Students take modules at the host university which may be recognised for credit or non-credit as part of their degree programme at York St John University.

### 17.2 Eligibility to access study abroad

- 17.2.1 Students are eligible to study abroad if their programme permits them to do so; where this is permitted this will be stated within the [programme specification](#). Further information is available on the application process on our [Study Abroad pages](#).
- 17.2.2 To study abroad, eligible **non-language programme** students must:
- Obtain academic support from their Study Abroad Academic Advisor.
  - Obtain a minimum credit-weighted level mark of 50 across the level (after reassessment where applicable) prior to the student going abroad for an exchange programme.
  - Pass all modules (this may be after reassessment where applicable).
  - Have no outstanding debt to the University.
  - [Adhere to the Student Charter](#).
  - Have no breaches of, or actions being taken, under the [Student Behaviour and Disciplinary Policy](#).
- 17.2.3 For **language programmes** study abroad is an integral part of some programmes at Level 5. Students enrolled for language programmes of study must meet the progression criteria stated in the [programme specification](#).
- 17.2.4 Non-language programme students going abroad on an exchange programme must normally identify in advance the modules to be taken at the exchange institution in an Outgoing Study Plan (OSP). All modules to be taken while abroad should be mapped to ensure they meet the same learning outcomes that the student would have met on their programme of study at York St John University. Language programme students complete an Outgoing Study Agreement (OSA).

### 17.3 Selection of modules

- 17.3.1 Unless absolutely necessary, students should not be allowed to take modules that are graded on a pass/fail basis. The student's Outgoing Study Plan should identify whether the modules are marked using a full marking scale or are marked on a pass/fail basis.
- 17.3.2 Undergraduate students may only choose undergraduate modules, and postgraduate students may only choose postgraduate modules.

### 17.4 Early return from study abroad

- 17.4.1 A Support to Study Stage 4 meeting must be called for students who return early after week 2 of the semester. The meeting will ascertain if the student is able to re-join the programme in the current academic year, or if the student needs to suspend their studies considering the amount of teaching that has been missed. The student's Study Abroad Advisor would normally attend the meeting. If necessary, additional support should be discussed. Refer to [section 19](#) for information regarding Support to Study.

### 17.5 Treatment of marks following return from study abroad

- 17.5.1 The Study Abroad team are required to ensure that students going on an exchange have been informed of how their marks will be treated on returning to the University before the student departs.
- 17.5.2 Marks for modules are converted to York St John University marks through a conversion process defined below.

## 17.6 Principles of mark conversion for study abroad: outgoing students

### General principle of equity

- 17.6.1 The principles listed below form the basis of the conversion of international exchange marks and module selection for outgoing students to ensure equity of treatment.
- 17.6.2 If a student is studying a language, the expectation from the University is that the student is of the appropriate level to undertake study in that language. The University does not adjust marks due to the language of study.
- 17.6.3 The student's best credits will count towards their York St John University grades when calculating the mark conversions.

### Specific provision

- 17.6.4 To reflect the importance of the GPA in the American grading scale any student who achieves an overall GPA of 4.0 will have a discretionary 5 marks added to all their mark conversions.

### Approval and monitoring of conversion tables

- 17.6.5 The Assessment team in Registry will monitor international exchange marks and will make recommendations to the Quality and Standards Committee to exchange programmes and updates to the Conversion Table Scales to make sure it continues to be fit for purpose. For further information, please visit our [Study Abroad conversion page](#).
- 17.6.6 When any new exchange programme is being proposed the institutional marking system and conventions should be passed to Registry so they can be approved by Quality and Standards Committee and the work of adding them into the Conversion Table Scales can be completed before the students apply for this exchange. An example of a conversion shows the stages of the conversion from overseas marks onto the University scale (refer to [section 17.7](#)).

## 17.7 Mark conversion process when taken for credit

- 17.7.1 All host institutions have a grade conversion scheme approved by the Quality and Standards Committee when the host institution is approved for study abroad. For more information on the grade conversion schemes, please visit our [Study Abroad mark conversion website](#).
- 17.7.2 If it is necessary for a module to be taken at the host institution which uses an approved pass/fail marking scheme, then the average mark for the level for York St John students over the last two years will be used in the mark conversion.
- 17.7.3 The grade conversion scheme includes the number of host institution credits that map onto 20 York St John credits.
- 17.7.4 The University receives the student's official transcript directly from the host institution which provides the marks/grades achieved while on study abroad.
- 17.7.5 Marks/grades are converted by the Assessment team in Registry following receipt of the official final transcript.
- 17.7.6 The marks/grades are converted onto the University scale using the conversion scale for the host institution.
- 17.7.7 The results are sorted by value, listing the highest mark/grade first.
- 17.7.8 The host institution credits are split to make 'batches' of credits equivalent to 20 York St John credits. The University does not convert each individual host university module into a separate York St John module.
- 17.7.9 The average mark for each 'batch' is calculated by credit-weighting the contributing marks.
- 17.7.10 The student record will show a single credit-weighted mark for each York St John module, calculated from the host institution credits and marks/grades.
- 17.7.11 This method ensures students' highest marks/grades are used in the conversion, to ensure students receive the best mark conversion possible.
- 17.7.12 Mark conversions are approved by the Academic Registrar or Head of Registry on behalf of the University Assessment Board.
- 17.7.13 The converted marks are entered onto the student's record and are available to view through e:Vision.
- 17.7.14 The student is notified by the Assessment team in Registry that the marks are available, and the mark conversion calculation is made available to the student for information.



- 17.7.15 Students should raise any questions in relation to the conversion with their Study Abroad Advisor as soon as possible following receipt of their converted marks.
- 17.7.16 The converted marks are used when calculating progression and award.
- 17.7.17 Refer to [section 31.6](#) for details on how conditional progression is managed for returning study abroad students if the transcript from the host institution is delayed.
- 17.7.18 Refer to [section 17.9](#) for details on how reassessment is managed for study abroad students returning with module failure.
- 17.7.19 A worked example is given below.

## 17.8 Conversion example

Step 1 – grades received and converted to York St John University scale.

Example module titles	Host grades	Host credits	YSJU conversion
History of Country	6	6	45
Language (Intermediate)	6.5	6	52
International study skills	7.5	6	66
Language (Advanced)	6	6	45
Literature in Country	6.5	6	52

Step 2 – the results are sorted listing the highest mark first.

Example module titles	Host grades	Host credits	YSJU conversion
International study skills	7.5	6	66
Language (Intermediate)	6.5	6	52
Literature in Country	6.5	6	52
History of Country	6	6	45
Language (Advanced)	6	6	45

Step 3 – the results are split into batches of 8 host credits (European conversion each equivalent of 20 YSJ credits, other credit values apply to non-European conversions – refer to conversion scales for more information).

Example module titles	Host grades	Host credits	YSJU conversion	Credit split batch
International study skills	7.5	6	66	6
Language (Intermediate)	6.5	6	52	2 + 4
Literature in Country	6.5	6	52	4 + 2
History of Country	6	6	45	6
Language (Advanced)	6	6	45	Not required

Step 4 – credit-weighted marks calculated.

	Module 1		Module 2		Module 3	
	Weight	Mark	Weight	Mark	Weight	Mark
	6	66	4	52	2	52
	2	52	4	52	6	45
<b>Totals</b>	<b>8</b>	<b>63</b>	<b>8</b>	<b>52</b>	<b>8</b>	<b>47</b>

$$((6 \times 66) + (2 \times 52)) \div 8 = 63$$

$$396 + 104 = 500$$

$$500 \div 8 = 63$$

Step 5 – final York St John marks entered onto student record.

YSJU module	Credits	Mark
Exchange module 1	20	63
Exchange module 2	20	52
Exchange module 3	20	47

## 17.9 Module failures

- 17.9.1 A student who has failed one 20-credit module may be eligible to compensate this failure if the converted mark is 30 or above, provided they meet the other university progression requirements (refer to [section 31.1](#) for more details on compensation).
- 17.9.2 A student who meets the University conditional progression requirement following module failure must undertake one or more suitable alternative reassessments which will be capped at 40; the student must be offered alternative reassessments for all failed University converted modules.
- 17.9.3 A student who does not meet the University conditional progression requirement must be offered external resits for all module failures, where reassessment opportunities allow. The student will need to undertake either suitable alternative reassessments externally and/or internally resit suitable university modules. Students may not progress to the next level until they have successfully met the progression outcomes, and this may involve suspending studies for a whole or part year in order to complete reassessments. Once the student has successfully met the level progression requirements, they return to the next level of the programme at the start of the following academic year.
- 17.9.4 Refer to [section 11](#) for details on the process for approval of an alternative reassessment.

## Section 18 Student engagement policy

### 18.1 Scope

- 18.1.1 This policy applies to students as set out in [section 1](#). The procedure for engagement for research students in any research stages is set out in the [Code of Practice for Research Degrees](#).

### 18.2 Definitions

18.2.1 **Engagement:** a student

- participating in scheduled teaching and learning sessions on campus and online;
- participating in mandatory field and other trips;
- participating in group work activities;
- using the virtual learning environment, study, and library resources;
- submitting assessments and attending examinations as required; and
- participating in other compulsory course-related activities.

18.2.2 **Attendance:** is a specific type of engagement and requires a student

- attending all scheduled teaching and learning sessions on campus and online;
- attending compulsory field and other trips;
- attending group work activities;
- attending regular meetings with an academic member of staff (Academic Tutor or dissertation supervisor) during dissertation or capstone-related independent study.

- 18.2.3 Attending support meetings with professional services, including wellbeing, disability and specialist support does not count as engagement for the purpose of this policy.

### 18.3 Background to the policy

- 18.3.1 The University recognises that non-engagement can be a signal that a student is experiencing difficulties. The University also has responsibilities to a number of bodies to ensure that students engage with the programmes on which they are enrolled. This includes but is not limited to:

- Public authorities who finance programmes of study.
- The professional, statutory and regulatory bodies (PSRBs) that accredit or approve a number of our awards or allow exemptions from professional examinations upon completion of an award.
- The UK government, to monitor the engagement of international students whose presence in the UK depends on the University's continued sponsoring of their visa.

- 18.3.2 The policy supports the [Programme Engagement Regulation](#) and [Immigration Compliance Regulation](#). It should also be read in conjunction with the Support to Study Policy.

- 18.3.3 This policy concerns the University's minimum requirements for student attendance. Where additional engagement requirements are in place, these will be set out in the relevant [programme specification](#).

### 18.4 Engagement monitoring

- 18.4.1 The University monitors engagement through a system called Engage. This includes attendance data.

- 18.4.2 The University monitors attendance through a system called Check-In.

- 18.4.3 The University will monitor a student's engagement with their programme.

- 18.4.4 If a student's engagement becomes a cause for concern, the student will be informed, and the Support to Study Policy (refer to [section 19](#)) will be initiated and followed as necessary. This will include:

- Where engagement levels have fallen below the acceptable threshold within Engage.
- Where attendance levels have fallen below 60%. This is measured through a review of attendance data at sample weeks within each semester.
- Where programmes have higher attendance requirements, documented within the [programme specification](#), that a student breaches.

- 18.4.5 It should be noted that one possible sanction arising from persistent non-engagement could be enforced withdrawal from the University. For sponsored international students this will lead to sponsorship being withdrawn and a report made to the Home Office.
- 18.4.6 If there is reason to believe a student has withdrawn from their studies and not informed the University, then the presumed withdrawal process should be followed (refer to [section 23.5](#)).
- 18.4.7 Attendance will be recorded using the approved University systems. Paper registers will be taken in circumstances where it is not possible to use the approved University system and transferred to the system no later than four days after the session has taken place.
- 18.4.8 Students must only register their attendance at scheduled sessions if they attend at that session. Any false representation at registered sessions may result in actions being taken under the [Student Behaviour and Disciplinary Policy](#).
- 18.4.9 Where a student misses a scheduled teaching and learning session, they will be recorded as absent.
  - a) For international sponsored students, any absences from scheduled sessions must be authorised through the Authorised Absence Process. For further information refer to the [Visa and Immigration website](#).
  - b) A student who is absent may wish to discuss any steps they need to take to catch up on missed work with their Module Lead/Director, Course/Programme Lead or Academic Tutor.
  - c) A student who is absent for an extended period of time may need to consider exceptional circumstances and/or suspension of study. For more information refer to [section 13](#) and [section 5](#).
- 18.4.10 Where a student has been advised of concern about their engagement, they will be required to engage with any recommended support in order to seek to address this concern.
- 18.4.11 Any appeals against action taken as a result of engagement monitoring will be managed in accordance with the policy under which that action was taken (for example, Support to Study, Fitness to Study, Fitness to Practise).

## **18.5 Attendance monitoring procedure for sponsored international (Student Visa) students**

- 18.5.1 Where a sponsored international (Student Visa) student is undertaking an official role as a Students' Union sabbatical officer, the University expects that engagement with University or Students' Union staff will take place at least once every 21 days, though the duties of the role will require this to be more frequent.

## **18.6 Roles and responsibilities**

### **Module Leads/Directors**

- 18.6.1 Facilitate the recording of attendance data, in accordance with university-wide systems.

### **Academic Tutors**

- 18.6.2 Review attendance and engagement data, and take action in accordance with the Academic Tutoring Policy and Support to Study Policy ensuring actions are appropriately recorded.

### **Students**

- 18.6.3 Cooperate with any arrangements made by the University for monitoring engagement.
- 18.6.4 Attend all timetabled sessions. The University deems this as a vital component of engagement at all levels of study.
- 18.6.5 Have an appropriate device at all scheduled academic sessions to register their attendance through the MyYSJ Application. If students do not have an appropriate device, they should ensure the Module Lead can register their attendance for them.
- 18.6.6 In addition, sponsored international students must request authorisation for any absence.

### **Visa and Compliance Team**

- 18.6.7 Recommend sponsored international students for enforced withdrawal on the grounds of non-engagement.
- 18.6.8 Work with Academic Tutors to review attendance and engagement data for sponsored international students, and to take action in accordance with the Support to Study Policy.
- 18.6.9 Report sponsored international students withdrawn due to non-engagement to the Home Office.

**Student and Academic Administration**

- 18.6.10 Provide support for engagement monitoring processes, including running reports on attendance during sample weeks.

## Section 19 Support to Study policy

### 19.1 Purpose

- 19.1.1 Support to Study is, in the first instance, a supportive process used by academic staff to identify and implement measures to support a student when concerns about the student's performance or engagement have been identified through the University's systems for monitoring attendance and engagement. At later stages of the policy, it may be used to determine action in cases of persistent low or non-engagement or performance.
- 19.1.2 It is also used by the Visa and Compliance Team to manage issues related to low or non-engagement or performance by sponsored international students.
- 19.1.3 If the emerging concern is a behavioural issue, and there are no performance or engagement concerns, the [Student Behaviour and Disciplinary Policy](#) should be followed.
- 19.1.4 Outstanding debt to the University is not dealt with under the Study to Support Policy. For further information on this matter refer to the [Student Financial Regulations](#).
- 19.1.5 If a student is on a programme of study leading to a professional and/or registrable award and the concern is related to the student's suitability for professional registration and practise with the public, the Fitness to Practise Policy should be followed (refer to [section 22](#)).
- 19.1.6 At any point through the Support to Study process it may be deemed necessary to implement the Fitness to Study Policy (refer to [section 21](#)). This is normally only after other support services have been used and where the behaviour, disruption or risk presented by a student is perceived to be of a serious or potentially serious nature or where there are serious ongoing health concerns.

### 19.2 Scope

- 19.2.1 This policy applies to students enrolled as set out in [section 1](#).
- 19.2.2 The equivalent procedure to be followed in relation to programmes delivered by a franchise partner institution (franchise provision) or by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the partner.

### 19.3 Stages of support to study

- 19.3.1 Support to Study consists of 4 stages of interventions designed to address concerns around student performance or engagement on their programmes. The stages are outlined below:

#### Stage 1: Emerging and/or moderate concern

- 19.3.2 This stage is managed by the student's Academic Tutor and/or their Module Director/Lead or Programme/Course Lead.
- 19.3.3 This is an informal, supportive stage to address emerging concerns around a student's performance and/or engagement in their programme of study following review of attendance or engagement data. As a minimum this stage of intervention should be enacted when a student's attendance falls below 60% during an attendance sample week.
- 19.3.4 Contact will be made with the student and noted on Engage, along with any further information on the concerns. The student will be signposted to available support services as relevant.

#### Stage 2: Continuing and significant concern

- 19.3.5 This stage is again managed by the student's Academic Tutor and/or Module Director/Lead or Programme/Course Lead.
- 19.3.6 This remains an informal supportive process which builds on contact made at Stage 1.
- 19.3.7 Contact will be made with the student again, reiterating The University's ongoing concerns and inviting the student to make contact with them. The student should be reassured of the supportive nature of this request but also made aware of the next steps should they not make contact (refer to [section 19.3.11](#)).
- 19.3.8 Notes will be made in Engage. Any agreed actions should be noted along with timeframes.



- 19.3.9 The following recommendations may be made and documented in Engage:
- Opportunities for the student to access support (signposting).
  - Close and regular monitoring of the student's work, engagement, or participation.
  - An action plan, noting specific actions to be taken by specific dates. This might include completion of work and the staggering of deadlines leading up to the published deadline.
  - Other measures that the Academic Tutor and/or Module Director/Lead or Programme/Course Lead deems appropriate.
- 19.3.10 Students should be made aware that if they do not engage with this Stage and if the concerns about their engagement and/or performance continue, they will be invited to a formal meeting and they could be at risk of enforced withdrawal from their programme.

### **Stage 3: Persistent concern not meeting the threshold for Stage 4**

- 19.3.11 This formal stage should be used where a Stage 4 meeting and any potential outcomes (refer to [section 19.3.28](#)) are not yet warranted. If it is considered that the concerns cannot be resolved through use of the Stage 3 process, Stage 4 (other) should be used. Examples of a Stage 3 might include:
- Where there are ongoing concerns around a student's ability to continue the programme due to engagement and/or performance issues and where Stages 1 and 2 have not resulted in improvements.
  - Where a student can no longer succeed on their programme without formally considering options available.
  - Where the academic member of staff considers a more formal action plan needs to be agreed for monitoring with the student.
  - Where concerns around exceptional circumstances have been raised.
- 19.3.12 This stage is not suitable for sponsored international students – instead Stage 4 (sponsored international students) should be used.
- 19.3.13 This stage is not suitable in cases where a student has not engaged with their programme for 4 consecutive weeks and has not responded to or engaged with Stage 2 interventions – instead Stage 4 (presumed withdrawal) should be used.
- 19.3.14 This stage is again managed by a student's Academic Tutor and/or their Module Director/Lead or Programme/Course Lead.
- 19.3.15 The student must be given at least **3 working days' notice** of a Stage 3 meeting. This should be given in writing. The student must be informed of the reasons for the meeting at that time.
- 19.3.16 It is expected that Stage 3 meetings will take place on teams unless there is a reason for holding these in person. Attendance at a Stage 3 meeting may include:
- One Academic (Programme/Course Lead).
  - Academic Tutor/a second academic if felt necessary.
  - Student.
  - Staff from professional services where appropriate.
  - Staff from the Student Wellbeing, Disability and Inclusion teams if the student has previously engaged with one of these support services.
- 19.3.17 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#).
- 19.3.18 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.
- 19.3.19 If a student does not attend the meeting, Stage 4 (Presumed withdrawal) meeting should be instigated.
- 19.3.20 Actions arising from a Stage 3 meeting will be confirmed at the meeting where possible. Where this is not possible, they should be conveyed to the student as soon as practicable. A summary of the recommendations and actions agreed will be noted in Engage.
- 19.3.21 Monitoring of outcomes from Stage 3 meetings should be undertaken by the Academic Tutor and/or Module Director/Lead or Programme/Course Lead. Should sufficient progress against actions not be made, the Academic Tutor and/or Module Director/Lead or Programme/Course Lead may instigate Stage 4.

#### Stage 4: Presumed withdrawal

19.3.22 Where the following apply:

- A student has not engaged with their programme for 4 consecutive weeks; and
- Has not responded to or engaged with Stage 2 or Stage 3 interventions; and
- Is not a sponsored international student.

The School should follow the Presumed Withdrawal process (refer to [section 23.5](#)).

#### Stage 4: Standard: persistent and/or serious concerns not suitable for Stage 3 or not resolved at Stage 3

*NB for sponsored international students please refer to Stage 4 – sponsored international students*

19.3.23 The purpose of Stage 4 is to consider serious and persistent concerns around student performance or engagement that have not been resolved at previous stages, or where the extent of the concern means Stage 3 is not deemed to be appropriate. Examples include:

- A student who has been 'presumed withdrawn' has contacted the University to say they wish to continue their programme.
- Student performance and/or engagement is of serious and sustained concern and the student has failed to fulfil actions previously agreed in Stage 3 interventions.
- There are ongoing academic concerns around a student's ability to continue their programme that have been unable to be addressed via engagement with their Academic Tutor, Module Director/Lead or Programme/Course Lead and do not meet requirements for a Fitness to Study or Fitness to Practise meeting.

19.3.24 An Associate Head/Dean of School or other appropriate staff member may convene a Stage 4 meeting. The student must be given at least **3 working days' notice** of a Stage 4 meeting. This should be given in writing. The student must be provided in writing with all the relevant information covering the reasons for the meeting at the time.

19.3.25 Attendance at the meeting is as follows:

- Associate Head/Dean of School or nominated representative.
- Other academic staff relevant to the case.
- Registry representative.
- Administrative support (PASS team).
- Staff from professional services, where appropriate.
- Staff from the Student Wellbeing, Disability and Inclusion teams where appropriate and if the student has previously engaged with one of these support services.
- External stakeholders as relevant (Employers for Degree Apprenticeships/School Direct Partners).

19.3.26 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#).

19.3.27 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.

19.3.28 Outcomes may be (but are not limited to):

- Enforced external resit.
- Enforced suspension of studies.
- Enforced withdrawal of enrolment.
- Referral to another process, for example, Fitness to Study.

19.3.29 If it is subsequently considered a Stage 4 meeting should not have been held, recommendations or actions from previous stages can be used as an outcome to the meeting.

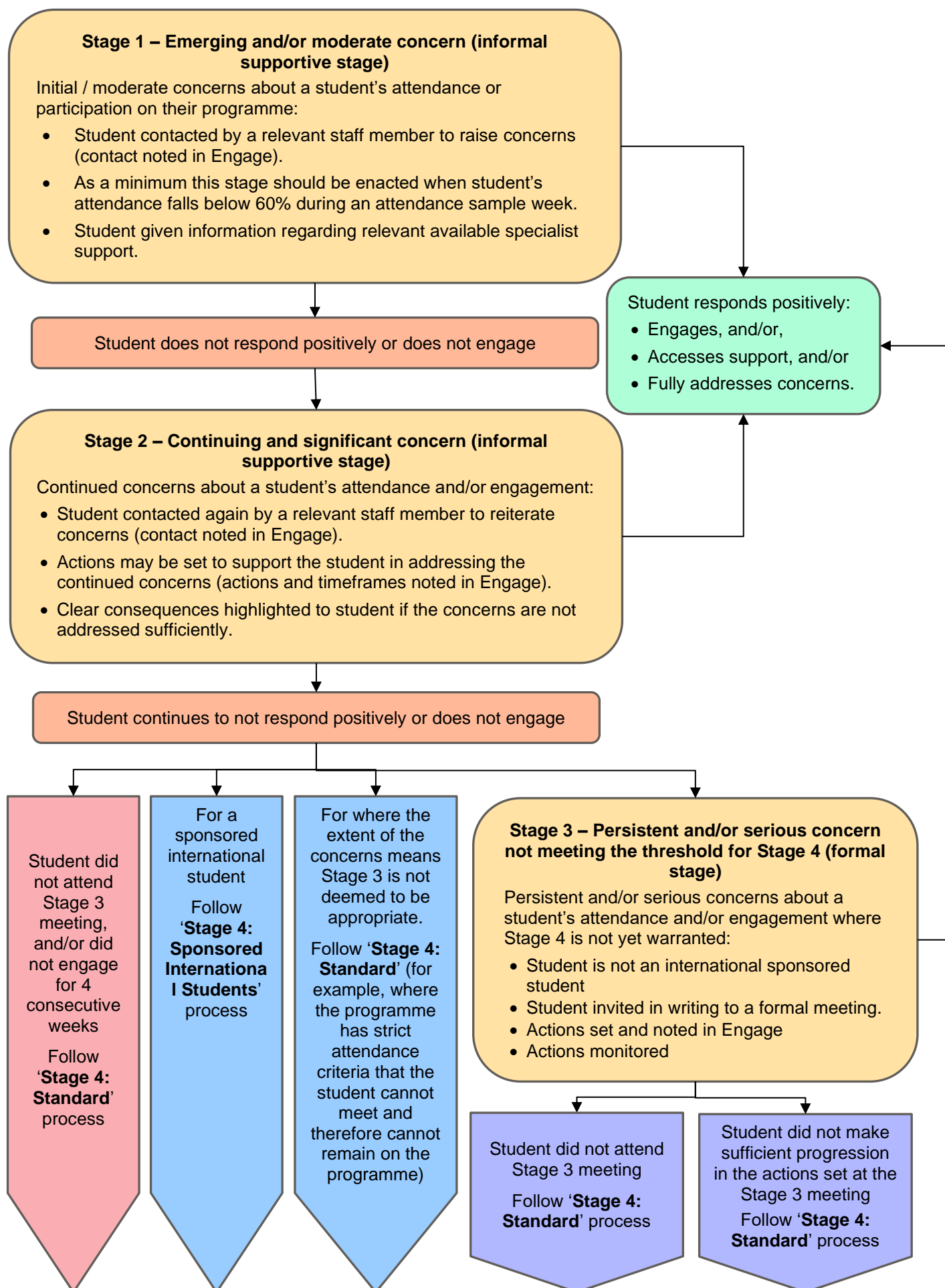
19.3.30 If the student is a degree apprentice and the Stage 4 meeting is being convened as the student has not gone through Gateway approval one year after their planned practical end date, please refer to [section 38.6.2](#) for additional information.

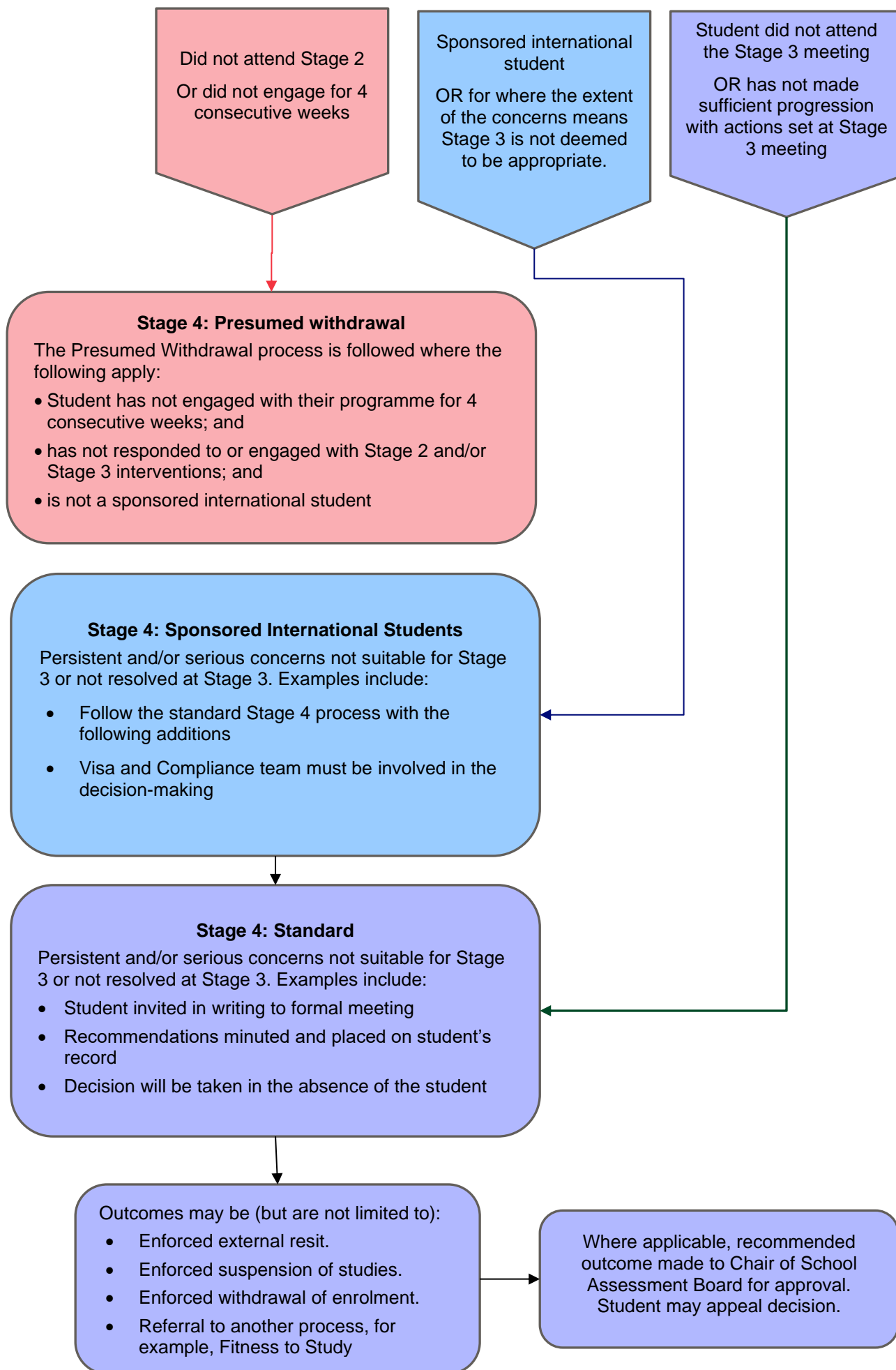
- 19.3.31 Recommendations arising from a Stage 4 meeting will be confirmed at the meeting where possible. Where this is not possible, they should be conveyed to the student as soon as practicable. It should be noted that recommendations are subject to approval by the Chair of the School Assessment Board. If there is a conflict of interest due to the SAB Chair attending the meeting where the recommendation was made, the recommendation would be subject to approval by the Academic Registrar.
- 19.3.32 The Stage 4 meeting and resulting recommendations will be minuted by the Panel member providing administrative support; draft minutes are typically approved **within 3 working days**, and normally shared **within 5 working days**. The student will receive a copy of the minutes of the meeting, which will be emailed to their university email address; the minutes will also be placed on the student's record.
- 19.3.33 If the student does not attend a meeting to which they have been invited, decisions will be taken by the Panel in their absence.
- 19.3.34 Students may appeal against a decision of the School Assessment Board arising from recommendation from a Stage 4 meeting within **10 working days**. The Appeals and Conduct Committee will hear the appeal. Full information about the appeals procedure is available in [section 48](#).

#### **Stage 4 – sponsored international students**

- 19.3.35 The Stage 4 - sponsored international students process mirrors the Stage 4 – standard process with the following additions:
- The Visa and Compliance Team must be involved in any decision-making.
  - The Stage 4 – presumed withdrawal process should not be used. Instead, this Stage 4 process should be used.

## 19.4 Support to study procedure flowchart





## 19.5 Return to Study meeting and Return to Study Plan

- 19.5.1 Following a successful appeal, the Appeals and Conduct Committee may approve the immediate resumption of a student's enrolment on their programme. In exceptional cases this may mean that a student resumes study having missed a significant period of teaching. In cases such as this the Appeals and Conduct Committee may request that a Return to Study (RtS) meeting is arranged to put a Return to Study Plan in place for the student.
- 19.5.2 Attendance at the meeting is as follows:
- Associate Head/Dean of School or nominated representative.
  - Other academic staff relevant to the case.
  - Registry representative.
  - Administrative support (PASS).
  - Staff from professional services where appropriate.
  - Staff from the Student Wellbeing, Disability and Inclusion teams, if the student has previously engaged with one of these support services.
  - External stakeholders as relevant (Employers for Degree Apprenticeships/School Direct Partners).
- 19.5.3 At least **3 working days** before the meeting, the student will receive an email to their university email address setting out the reasons for the meeting being convened, and specifying the date, time, and venue for the meeting. The student should be provided with a copy of any evidence the Panel deems relevant and appropriate to the meeting before the meeting takes place.
- 19.5.4 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#).
- 19.5.5 Audio or video recording of the meeting must not be made. AI notetaking software must not be used during the meeting.
- 19.5.6 The purpose of the Return to Study meeting is to put in place a Return to Study Plan to support the student due to the missed period of teaching. Support may include, but is not limited to:
- Confirmation of any teaching that is to be repeated in the forthcoming semester or tutorial sessions that will be offered.
  - Directing the student to materials/information to read to assist with catching up on missed teaching.
  - If applicable, the following additional support measures may be implemented:
    - Extensions to submission deadlines.
    - The rearrangement of in-class tests, scheduled assessments, or the deferment of an examination to the next opportunity (normally the reassessment period).
    - The arrangement of an alternative assessment where the original assessment cannot be completed due to the period of missed teaching (for example, due to group work).
- 19.5.7 The Assessment team in Registry has the delegated authority on behalf of the Special Cases Panel to approve extensions to deadlines and repeat teaching as part of a Return to Study Plan.
- 19.5.8 The Return to Study meeting and the resulting Return to Study Plan will be minuted by the Panel member providing administrative support; draft minutes are typically approved within **3 working days**, and normally shared within **5 working days**. In some cases, the Visa and Compliance team will need to be consulted post-meeting and minutes will not be released until any such consultation has taken place. The student will receive a copy of the minutes of the meeting, which will be emailed to their university email address; the minutes will also be placed on the student's record.
- 19.5.9 All approved extensions to deadlines and/or repeat teaching will be documented on the Return to Study Plan; a copy of which will be sent to the student's university email address and to the Module Directors/Leads.
- 19.5.10 Once the Return to Study Plan has been finalised and sent to the student any further requests for extensions to deadlines must be made through the exceptional circumstances process and this request should only be considered for additional circumstances (that is, something other than the student's return to study).



- 19.5.11 The Return to Study Plan is designed to put in place arrangements to mitigate against the student being disadvantaged due to their immediate return to study and therefore the missed teaching cannot then be used as grounds for further extensions through exceptional circumstances for these or other assessments, or as the basis for any subsequent appeal. This does not affect the student's right to appeal on other grounds (refer to [section 48](#)).

## **19.6 Professional Statutory and Regulatory Body Requirements (PSRB)**

- 19.6.1 It is recognised that some professional programmes will be required to hold formal meetings with students to address concerns outside of the Support to Study Policy (refer to [section 19](#)) and Fitness to Practise Policy (refer to [section 22](#)) to meet PSRB requirements. It is up to the School to determine the requirements of those meetings. Involvement in any such process and outcomes and/or decisions should be clearly noted in Engage.

## Section 20 Visa compliance review for visa breaches

- 20.1.1 Students who are sponsored by the University under the Student Visa Route must adhere to their visa obligations and to all other immigration-based requirements. These obligations include the requirement to comply with the University's policies, including its disciplinary procedures. Specific codes of conduct may also apply, such as that of international partners.
- 20.1.2 Where there is an academic or attendance and/or engagement concern related to a visa-holding student, the Support to Study process should be followed. A Visa Compliance Review is to be called only when there is a breach of visa conditions which is not related to normal university functions (for example, if a student is working illegally, or a student has started their own business). This will relate to something which contravenes UK Visas and Immigration (UKVI) guidance but is not part of academic studies).
- 20.1.3 Further information can be found on our [Visa and Compliance website](#).
- 20.1.4 Where concerns arise that any of these obligations have been breached, the student will be invited to a Visa Compliance Review. The Support to Study Stage 4 meeting procedure will be followed, with the following specific arrangements:
- a) The Visa Compliance Review will normally be convened and chaired by a Visa and Compliance team member. The Associate Head/Dean of School or other appropriate academic staff member will normally also attend, alongside a representative from Registry and the Progress Administration and Support Service (PASS) team.
  - b) The student will be given information about the alleged breach of visa obligations in advance of the meeting and will have the opportunity to respond to these concerns.
  - c) In serious cases, including cases where the visa breach may place the University in default of its own obligations as a sponsor, the Panel may recommend withdrawal of sponsorship. The consequence of this visa withdrawal is that the student's enrolment will also be withdrawn (enforced), as the student will no longer be able to meet participation requirements.
  - d) The timing of any visa withdrawal will reflect the University's obligations as a sponsor. In deciding on the timing of the enforced withdrawal of enrolment, consideration will be given to the student's current academic status, including whether the student should, for example, be allowed to complete any assessment opportunities from abroad. Assessment from abroad will normally only be permitted where the student has attended teaching for the relevant modules and the assessment is imminent at time of the visa withdrawal.
  - e) When the Panel recommends a visa withdrawal, the Assessment team in Registry will put forward the recommendation to the University's Authorising Officer (or delegate), who approves the final decision to enforce withdrawal of the student's enrolment.
- 20.1.5 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#).
- 20.1.6 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.
- 20.1.7 The student may appeal **within 10 working days** of the decision on the basis that:
- a) There has been a procedural irregularity.
  - b) New evidence material to the case is available, and the student can demonstrate a good reason why it was not previously available.
  - c) The decision is unreasonable and/or disproportionate.
  - d) The University will follow its standard appeal procedures for such appeals. If the Appeals and Conduct Committee upholds the appeal, the case will be referred back to a new Visa Compliance Review to be considered afresh (refer to [section 48](#)).

## Section 21 Fitness to Study policy

### 21.1 Purpose

- 21.1.1 The University is committed to supporting its students and recognises the importance of students' health and wellbeing in relation to their academic progression. It has a responsibility to respond appropriately to situations where a student's illness, disability or psychological or emotional state may have a profoundly challenging impact on the individual student and/or the wellbeing of the wider University community.
- 21.1.2 The purpose of the 'Fitness to Study Policy' is to investigate risk to the health, safety and wellbeing of a student or other students, or to the activities of the University. The policy is used to coordinate relevant departments and services to manage risk.

### 21.2 Scope

- 21.2.1 This policy applies to students as set out in [section 1](#).
- 21.2.2 The equivalent procedure to be followed in relation to programmes delivered by a franchise partner institution (franchise provision), or by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the partner.

### 21.3 Policy

- 21.3.1 A student's behaviour may also breach the [Student Behaviour and Disciplinary Policy](#). Other procedures, such as 'Fitness to Practise' (refer to [section 22](#)), may also be relevant. The University reserves the right to decide the appropriate procedure to use in any given student case.
- 21.3.2 This policy is only intended for use in cases in which the behaviour, disruption or risk presented by the student is perceived to be of a serious or potentially serious nature or where there are serious ongoing health concerns. Where possible, the support services available to students should be used as the first port of call prior to taking any formal action. It should be remembered that mental health conditions may meet the legal definition of disabilities under the Equality Act 2010. The University is committed to avoiding discrimination on the grounds of disability. Therefore, before initiating this policy it should be considered if the student has reasonable adjustments in place, if these have been fully implemented, and if these are effective for the student. Referral back to the Disability Support and Inclusion team for review may be appropriate.
- 21.3.3 Stage 2 of this policy should only be invoked after consultation with either the Academic Registrar, Head of Governance and Compliance, Head of Student Wellbeing, Disability and Inclusion or the Complex Student Case Lead.
- 21.3.4 Fitness to study can relate to the entire student experience, encompassing ability to engage with studying, to live independently and harmoniously with others and not to have an adverse impact on others.
- 21.3.5 A student's fitness to study may be questioned if any of the following arise:
- Health problems or behaviour disrupt the student's own study.
  - Health problems or behaviour affect the study of other students.
  - Health problems or behaviour place unreasonable demands on staff or other students.
- 21.3.6 The 'Fitness to Study' procedure detailed below has 3 stages. Depending upon the perceived severity of the situation and seriousness of any perceived risks, action may be initiated at any of the 3 stages. If the student is unwilling or unable to engage with the University, or disengages from the process at any point in the procedure, efforts will be made to re-engage the student, and reasonable adjustments to the process may be considered, such as alternative meeting formats (remotely, for example). If the student is still unwilling or unable to engage, the University may continue the process in their absence.
- 21.3.7 If concerns are raised while a student is on placement, where the University's ability to engage with the student may be limited, the University will discuss with the placement provider alternative arrangements that might address any concerns. If concerns that are raised are of a serious nature, the University may remove the student from the placement.
- 21.3.8 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#). Consent to representation will not be unreasonably withheld or withdrawn. They will also be provided with copies of the relevant documentation.
- 21.3.9 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.

- 21.3.10 In cases where the University requires a specialist opinion/medical assessment of the student, a student may be asked to submit themselves for a medical examination by a doctor/specialist nominated by the University. The University will bear the cost of such an assessment where it is requested by the University and will be limited to an immediate assessment. A medical assessment will seek to establish the following:
- The nature and extent of any medical condition that the student is experiencing.
  - Prognosis of their medical condition.
  - The extent to which it affects their ability to study and live within the University community independently.
  - Impact or risk it may have on others.
  - The level and type of support a student requires to enable them to continue to study effectively.
- 21.3.11 If a student refuses to undergo a medical assessment the University will progress with information already held on record.
- 21.3.12 The University may enact the following outcomes:
- a) In the informal stages a student may be kept under review and expected to access the support provided.
  - b) In the formal stage of the procedure, the University may:
    - Require the student to suspend their studies (enforced suspension), **or**
    - Require the student to externally resit, **or**
    - Enforce the withdrawal of the student where the risk posed by the student to themselves or others is considered serious enough, **or**
    - Take other action the University deems appropriate to the circumstances.
- 21.3.13 Enforced suspension or enforced external resits may only be recommended if the student can still complete all study and assessments within 24 months following the standard period of study for their programme (refer to [General Regulation 1.15](#)).
- 21.3.14 If the student does not attend a meeting to which they have been invited, decisions will be taken by the Panel in their absence.
- 21.3.15 A student will have the right of appeal against any decision to enforce suspension or withdraw them from the University, using the standard university 'Appeals Policy' and procedure (refer to [section 48](#)).
- 21.3.16 When an action plan or other measure taken under this procedure has come to an end, the University will decide whether further steps should be taken or whether the 'Fitness to Study' procedure is no longer required in respect of the student. The procedure may be re-invoked if concerns arise again.

### **Return to study**

- 21.3.17 Return to study after a period of enforced or voluntary suspension of studies will be subject to satisfactory outcome from a Return to Study Case Review meeting.

## **21.4 Fitness to study procedures**

### **Stage 1 – Emerging concerns**

- 21.4.1 At this stage, concerns have been raised about an individual student's health, safety, or wellbeing. Examples of this could include but are not limited to the following:
- A member of staff notices signs of an individual student's behaviour changing in the academic situation.
  - Students or third parties may have approached university staff to raise concerns about a student's behaviour.
  - A student's academic performance has deteriorated suddenly and significantly.
  - Problems arise within student accommodation and are noticed by accommodation staff.
  - A placement provider notices signs of an individual student's behaviour changing in the placement situation.
  - Concerns raised by the Exceptional Circumstances Panel following multiple exceptional circumstances claims on the same or similar health grounds.

- 21.4.2 At this stage, the emphasis should be on a meeting with the student in a supportive manner. It is preferable that a member of staff with knowledge of the individual student should contact them. The nature of the concerns should be clearly identified to the student and the student should be encouraged to discuss the issues. Information regarding sources of support, both internal and external to the University, may be discussed and the student encouraged to access appropriate support. The member of staff will record any notes in either Engage or the CRM system (Customer Relationship Management system) and appropriate staff will be informed of any Stage 1 process and outcomes.
- 21.4.3 The member of staff leading the initial meeting should informally review the case within a specified timeframe, to be agreed in the meeting, and monitor the student's response to the intervention. If the student responds positively and there are no further concerns, the staff member may decide not to proceed any further under the 'Fitness to Study' procedure.
- 21.4.4 If the student does not respond positively, or if concerns remain, the staff member leading the initial meeting will discuss the situation with the Head of Student Wellbeing, Disability and Inclusion (if not already involved) and/or other senior members of staff to determine if it is appropriate to invoke Stage 2 of the procedure.
- 21.4.5 At this initial stage, if a student's behaviour gives cause for concern within a School and relates to poor engagement and unsatisfactory academic performance, the 'Support to Study' procedure (refer to [section 19](#)) may be used.

## **Stage 2 – Formal / continuing concerns**

- 21.4.6 At this stage, continuing concerns about the student's health, safety or mental wellbeing will be considered more formally.
- 21.4.7 The student will be asked to meet formally with some or all of the following staff members (or their nominees):
- Associate Head/Dean of School.
  - Programme/Course Lead.
  - Head of Student Wellbeing, Disability and Inclusion.
  - Complex Student Case Lead, where appropriate.
  - Head of Disability Support and Inclusion or nominated representative, where appropriate.
  - Other academic staff relevant to the case, where appropriate.
  - Staff from professional services, where appropriate.
  - Registry representative, where appropriate.

Other panel members may include:

- Administrative support.
  - If appropriate, a representative from the employer for degree apprenticeship students.
- 21.4.8 A minimum of two staff members (excluding administrative support) must be in attendance.
- 21.4.9 An action plan will be put in place to address the situation. This will be embedded in a support agreement and will specify actions, dates for review and consequences for non-engagement with the agreement. It will include expectations for future behaviour. This will not affect the rights of the School to determine appropriate standards for the academic performance of the individual student and if necessary, call a [Support to Study](#) Stage 4 meeting.
- 21.4.10 A record of this meeting and the agreed action plan will be made with copies provided to the student and the staff members concerned. The action plan will state who is responsible for ensuring that the plan is followed; if it is not followed, or if the student does not respond positively to the action plan or if difficulties continue, this person or their nominee will hold a Case Review meeting as set out in Stage 3.

## **Stage 3 – Formal Case Review**

- 21.4.11 If significant or persistent concerns are raised about an individual student's actions or behaviours that put the student's own health, safety wellbeing or academic progress or those of other members of the University community at significant risk, the Associate Head/Dean of School or Head of Student Wellbeing, Disability and Inclusion or other appropriate staff member will convene a 'Fitness to Study Case Review' meeting. The Case Review will assess the student's fitness to study.

21.4.12 The panel will consist of some or all of the following (or their nominees):

- Associate Head/Dean of School.
- Programme/Course Lead.
- Complex Student Case Lead.
- Head of Disability Support and Inclusion.
- Head of Student Wellbeing, Disability and Inclusion.
- Administrative support.
- Representative from Registry.
- Other relevant staff members (for example, tutor).
- If appropriate, a representative from the employer for degree apprenticeship students.

This panel may request medical evidence from the student that they are fit to study. The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#). Consent to representation will not be unreasonably withheld or withdrawn.

21.4.13 The Fitness to Study Case Review Panel will determine the following:

- Whether to agree an enhanced action plan to support the student with agreed review dates.
- Whether to recommend an enforced suspension of the student's studies.
- Whether to recommend enforced withdrawal.
- That no further action is required.

21.4.14 Enforced suspension may only be recommended if the student can still complete all study and assessments within 24 months following the standard period of study for their programme (refer to [General Regulation 1.15](#)).

21.4.15 After the review, the student may be invited to meet with the Associate Head/Dean of School or Head of Student Wellbeing, Disability and Inclusion, or other appropriate person to discuss the recommended actions from the 'Fitness to Study Case Review' meeting.

21.4.16 Stage 3 meetings and the resulting recommendations will always be minuted; draft minutes are normally approved **within 3 working days**, and minutes are normally published within **5 working days**. In some cases, the Visa and Compliance team will be consulted post-meeting and minutes cannot be released until this consultation has taken place. The student will receive a copy of the minutes of the meeting, which will be emailed to their university email address; the minutes will be placed on the student's e:Vision record.

21.4.17 Where there is a recommendation to enforce suspension or action an enforced withdrawal due to programme failure the student's enrolment, this recommendation is reported to the Chair of the School Assessment Board, or nominated representative, for a decision to be made. Following approval, the student will be informed in writing of the decision.

### Return to study

21.4.18 Any enforced or voluntary suspension of studies will be subject to periodic review in the light of further developments or improvements in the student's situation and their ability to undertake academic study again.

21.4.19 When the student confirms their intention to return from a period of suspension of studies, a meeting will be convened to determine whether or not the student is fit to return to study. The panel membership will be on the same basis as that set out for the Case Review, above. Sufficient medical evidence will be required to verify that the student is fit to return to study. Appropriate support mechanisms will be discussed and shared with the student when they return.

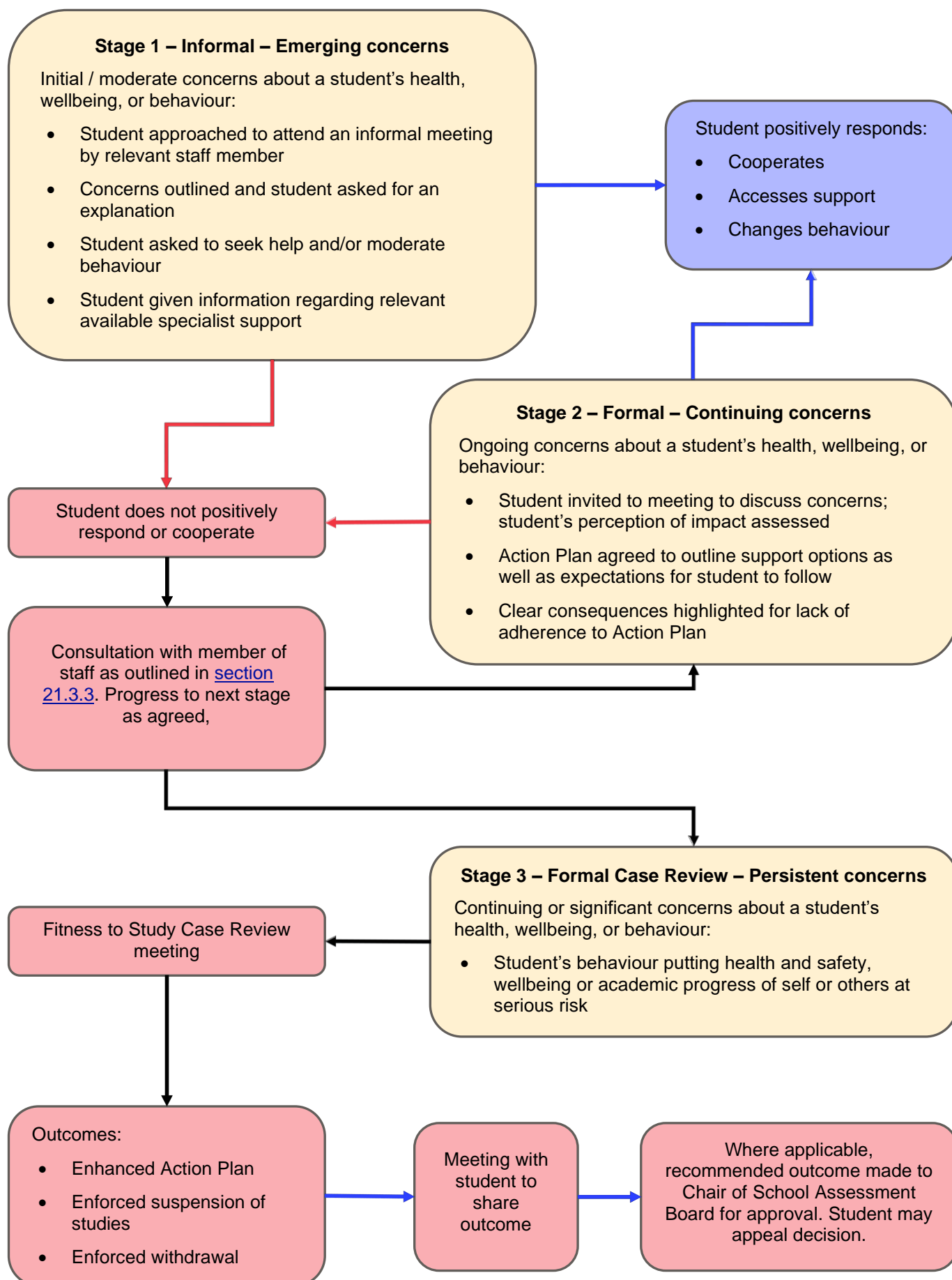
21.4.20 Should the panel decide the student is not fit to return to study, this recommendation will be referred to the Chair of the School Assessment Board for a decision.

### Appeal

21.4.21 Students may appeal any decision taken following a Formal Case Review (Stage 3) through the standard university 'Appeals Policy' and procedure (refer to [section 48](#)). The deadline for appeals is **10 working days** from the time the student is notified of the decision.



## 21.5 Fitness to study procedure flowchart



## Section 22 Fitness to Practise policy

### 22.1 Purpose

- 22.1.1 This policy and procedure set out how the University deals with cases where concerns arise relating to a student's suitability for professional registration and practice. The University has a particular responsibility in respect of students who will graduate with academic awards which also confer the right to apply for professional qualifications and registration with a professional body.
- 22.1.2 The University will be guided by the professional standards and guidance provided by relevant professional bodies where applicable and by its statutory duties under the Equality Act 2010.

### 22.2 Scope

- 22.2.1 This policy applies to students as set out in [section 1](#).
- 22.2.2 This policy applies to programmes of study leading to professional and/or registrable awards.
- 22.2.3 This policy does not apply to registered health professionals or teachers who may be following continuing professional development (CPD) programmes of study. Such students are subject to the fitness to practise procedures of their professional bodies and/or employing organisations.
- 22.2.4 The University may also use this procedure to address concerns relating to students following programmes that require students to engage in interpersonal practice or demonstrate interpersonal skills, where issues of health and fitness to engage in such practice are relevant and where the University has a particular duty of care towards other participating students or where for other ethical reasons it believes that concerns need to be addressed.
- 22.2.5 Issues of unacceptable behaviour which occur within a taught element of the programme, or on School experience or professional practice experience modules, may lead to the failure of such programme elements. Where the professional practice is a compulsory element of the programme, failure of this component may lead to overall failure of the programme. Where appropriate, the student may use the standard university 'Appeals Policy' and procedure to raise an objection to the outcome (refer to [section 48](#)).
- 22.2.6 As well as, or in addition to, this procedure, the University may use other policies, including the [Student Behaviour and Disciplinary Policy](#), the Support to Study procedure (refer to [section 19](#)), or the Fitness to Study Policy (refer to [section 21](#)). The University reserves the right to decide the most appropriate procedure based on the facts of each case; more than one procedure may be invoked.

### 22.3 Policy

- 22.3.1 It is the University's policy that students whose behaviour and conduct does not align with professional body requirements and documented expectations should not be permitted to proceed and/or graduate with a registrable degree or award.
- 22.3.2 The University is committed to fulfilling its obligations under the Equality Act 2010, including considering whether reasonable adjustments can be made to support students in completing their studies and engaging in practice with the public. While the duty to make reasonable adjustments does not extend to the application of a competence standard, the University will ensure that all competence standards applied are proportionate, legitimate, and non-discriminatory. Additionally, the University will explore adjustments to teaching, resources, and assessment methods to enable students to demonstrate their abilities without compromising competence standards.
- 22.3.3 The following (as examples) may call a student's suitability into question:
- Alcohol, drug, or substance abuse.
  - Inappropriate behaviour including harassment, abuse of others, violence or threats of violence, indecency, drug-dealing and unprofessional behaviour.
  - Conviction for a criminal offence where the offence is such as to render the student unfit to practise and/or would be unacceptable to a professional body. Such offences would include offences of violence against a person.
  - Concerns about a student's fitness to work which in the opinion of an occupational health practitioner would raise doubts about suitability for the intended profession or calling.
  - Ethical or behavioural misdemeanours.

- 22.3.4 This list is not exhaustive. Subject areas, drawing on the advice offered by their professional bodies, may draw up additional guidance notes for students, providing more details on the range of behavioural, conduct and health matters which relate to the profession in question.
- 22.3.5 Behaviour or conduct which may give cause for concern includes behaviour both within and beyond the University.
- 22.3.6 A student's enrolment will be withdrawn (enforced withdrawal) if the professional body which accredits a registrable programme declines to admit a student to student-membership of the professional body (where applicable).
- 22.3.7 A student on one of the relevant programmes has a duty to disclose to the Academic Tutor or another member of the programme team any issue of health, conduct, behaviour, or any unspent or pending criminal convictions (refer to the [Students with Criminal Convictions Policy](#)) that may impact on fitness to practise.
- 22.3.8 Matters relating to a student's fitness to practise may be revealed by the student concerned to a member of staff, a colleague overseeing professional placements or another student. Even where this has been done on a confidential basis, disclosure of the situation may be necessary in the public interest and where the failure to disclose will increase risk to the public. Members of staff and students have a responsibility to disclose such information promptly to the Head/Dean of School or nominated representative or designated School Fitness to Practise Officer.
- 22.3.9 Any matter of conduct or behaviour which may impact on fitness to practise should be identified as soon as possible in the interests of the student concerned. The University will seek to provide support to the student and, if enforced withdrawal of enrolment is necessary, will provide, where possible, transfer to a suitable alternative, non-registrable programme of study. For transfers to an alternative programme of study the receiving Head/Dean of School, or nominated representative, working with the Academic Registrar or nominated representative, will be provided with the necessary information to make an informed decision as to whether transfer to the proposed programme of study is appropriate.
- 22.3.10 A student who is required to have their enrolment withdrawn (enforced withdrawal) for reasons of unsuitability to practise may be eligible to leave the University with a non-professional exit award according to the progress made through the programme of study, as set out in the [programme specification regulations](#) for that programme.

## 22.4 Procedures

- 22.4.1 The Head/Dean of School, or nominated representative, may designate an officer responsible for dealing with matters of fitness to practise. All references to a specific role in these procedures should be understood to include the nominee of those persons.
- 22.4.2 A student who is aware of any reason which may render themselves unfit to practise should report the matter to the Head/Dean of School, or nominated representative, or the designated officer. Any member of staff who believes that a student has an issue which may raise questions of fitness to practise should also inform the Head/Dean of School, or nominated representative, or the designated officer.
- 22.4.3 Where concerns about a student's fitness to practise have been raised, the Head/Dean of School will determine next steps, taking account of the nature of the concerns, the available evidence and the context in which those concerns were raised. The outcomes of this initial consideration will be one of the following:
- To instigate a preliminary review into the case, with the most likely outcome being conclusion at Level 1.
  - To instigate a preliminary review into the case, with the possibility that the case may be referred to Level 2.
  - To discuss with the Head of Governance and Compliance the possibility of referring the student to another policy
  - That no action be taken against the student and the student be allowed to recommence their studies and/or practice placement.

### Preliminary review

- 22.4.4 Except in circumstances as set out in [section 22.4.12](#) the Head/Dean of School will appoint a senior member of School staff, not previously involved in the matter and appropriately trained, in handling Fitness to Practise matters, unconscious bias and inclusive practice, to undertake a preliminary review. This will consider both the initial reasons for the instigation of the Fitness to Practise procedure and the student's broader conduct across the whole of their student journey. As appropriate it will consider health matters, any reasonable adjustments recommended for the student and how these have been

implemented and the extent to which the student has taken responsibility for their professional practice. The ways in which the student has alleged to have breached the code(s) of conduct under which they are working and studying, and the extent of such alleged breaches, will be considered. Extenuating circumstances will be considered and further explored if considered appropriate and pertinent to the incident.

- 22.4.5 The student must be informed in writing, at the earliest possible stage, of the concerns raised, the nature of the preliminary review, the potential outcomes, and their rights throughout the process. This includes access to the relevant information being considered.
- 22.4.6 The student must be given an opportunity to respond to the concerns (in writing and/or in person) with the reviewer, before the report is finalised.
- 22.4.7 The student should be reminded that they can access support from the Wellbeing Team and/or their academic tutor throughout the process.
- 22.4.8 At the conclusion of the preliminary review, the reviewer will report to the Head/Dean of School. The findings and recommendations will be based on the balance of probabilities and supported by documented evidence. The report will include:
- Identification of those involved and their respective roles.
  - Information on the professional standards that are suspected of being breached and the evidence to support or otherwise these suspicions.
  - Core evidence and outcomes from each of the meetings/conversations held and their importance to the final recommendation.
  - Summary of the case, with links to the appropriate evidence.
  - A recommendation of one of the following courses of action:
    - There is no evidence to support further action.
    - The matter should be concluded at Level 1.
    - The matter should be referred to Level 2.
    - The matter should be referred to another policy.
- 22.4.9 The Head / Dean of School will make a decision on how to proceed. If the decision is to refer to Level 2 then this should only be invoked after consultation with either the Academic Registrar, Head of Governance and Compliance, Head of Student Wellbeing, Disability and Inclusion or the Complex Student Case Lead.
- 22.4.10 A formal record of the preliminary review process, including notes of meetings and all evidence considered, will be stored securely in line with YSJ data retention principles. All personal data will be handled in compliance with General Data Protection Regulation (GDPR) to ensure the privacy and rights of the individuals involved.

### Conclusion at Level 1

- 22.4.11 If a case is concluded at level 1, the reviewer will normally meet formally with the student to ensure that there is an appropriate level of understanding of the nature of the offence and an intention to learn from it. Additionally, one of the following may also be recommended and instigated:
- The student is given appropriate specialist advice and guidance.
  - Conditions are placed on the student's continuation with their programme of study.

### Referral to Level 2

- 22.4.12 Level 2 is likely to be appropriate in cases that involve a serious breach of professional standards that put a student's fitness to practise in doubt. It may also be used in cases where there have been repeated similar issues or patterns of behaviour. Where such concerns have already been addressed through interventions such as Support to Study or disciplinary processes, the matter may proceed directly to Level 2 without a formal preliminary review stage and the notes from those other interventions will be used as the basis for that referral.
- 22.4.13 Level 2 involves a Fitness to Practise Panel. A student will be given **3 working days'** notice of any Panel meeting. The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#). If the student's supporter behaves inappropriately at any stage while the hearing is being dealt with, this person will be asked to withdraw involvement.
- 22.4.14 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.

## 22.5 Membership of a Fitness to Practise Level 2 Panel

22.5.1 The membership of the Level 2 Panel would normally be as follows:

- Head/Dean of School or nominated representative (Chair).
- The designated officer responsible for dealing with matters of fitness to practise (if applicable).
- An external representative of the relevant profession.
- An internal member of staff from another subject area with experience of professional body requirements.
- Registry representative.
- Administrative support.

22.5.2 The following staff may also be in attendance:

- Head of Disability Support and Inclusion team.
- Head of Student Wellbeing, Disability and Inclusion.
- Complex Case Lead.

22.5.3 Where a member of staff cannot attend the meeting, a written report may be submitted. The Fitness to Practise Panel may include other written evidence it deems relevant. This will be shared with the student before the meeting.

## 22.6 Recommendations by Fitness to Practise Level 2 Panel

22.6.1 A Fitness to Practise Level 2 Panel may decide:

- No further action is required.
- A minor problem exists which may be addressed through appropriate support and the progress of the student will be kept under review. The Associate Head/Dean of School or nominated representative or designated officer will ensure that the student is referred for help as necessary and will keep the situation under review.
- A potentially serious problem exists which may raise concerns about fitness to practise and a student's ability to proceed with the programme.
- To enforce suspension of studies.
- To withdraw the student's enrolment (enforced withdrawal), where appropriate recommending transfer to a non-registrable programme.

22.6.2 The student must receive written notice of the Panel hearing at least **5 working days** in advance, including the date, time, format (for example, in person or online), names and roles of the Panel members, and the full evidence bundle that the Panel will consider.

22.6.3 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#).

22.6.4 Decisions will be based on the balance of probabilities and linked clearly to relevant professional standards and expected competencies. The rationale for each decision will be clearly documented in the Panel's record.

22.6.5 Enforced suspension may only be recommended if the student can still complete all study and assessments within 24 months following the standard period of study for their programme (refer to [General Regulation 1.15](#)).

22.6.6 If a potentially serious concern is identified, the Head/Dean of School or nominated representative together with the relevant subject staff will:

- Recommend that the student seeks appropriate support.
- Determine whether the student should be recommended for enforced suspension from the programme pending seeking reports from occupational health, a professional body, or other experts.

- 22.6.7 If reports from occupational health, a professional body or other experts suggest that a student remain on suspension for a period until the situation has been addressed and remedied, the Associate Head/Dean of School, or nominated representative, will be empowered to make a recommendation to the Chair of the School Assessment Board that the student is required to suspend studies (enforced suspension). Conditions for return from the suspension of studies, such as a satisfactory report from a relevant expert, may be set. The Chair of the School Assessment Board will decide whether the recommendation should be upheld.
- 22.6.8 If reports from occupational health, a professional body or other experts suggest that the situation is not likely to be remedied within reasonable time or if the cause for concern is such that it cannot be readily remedied or that behaviour will be unacceptable to a professional body, the Associate Head/Dean of School or nominated representative may make a recommendation to the Chair of the School Assessment Board that the student's enrolment should be withdrawn (enforced withdrawal) on the grounds of the student being unfit to practise. The Head/Dean of School or nominated representative will make the recommendation in the form of a written report on the case, accompanied by supporting evidence.
- 22.6.9 The Chair of the School Assessment Board will either:
- a) Support the recommendation for withdrawal of enrolment (enforced withdrawal). **Or**
  - b) Propose that the student remain on programme with appropriate monitoring by the designated officer and/or treatment or period of enforced suspension of studies.
- 22.6.10 If the student does not attend a meeting to which they have been invited without reasonable explanation, the Panel will proceed in their absence. Reasonable efforts will be made to contact the student before proceeding, and reasons for non-attendance will be taken into consideration and documented.
- 22.6.11 The decision of the Chair of the School Assessment Board will be communicated to the student in writing and will be accompanied by the written report and supporting evidence. The letter will include reasons for the decision and how the Panel reached its conclusions as well as a clear outline of the right to appeal and how to do so.
- 22.6.12 In the case of enforced withdrawal enrolment, a student will be informed of the possibilities for career counselling, alternative programmes of study and possible exit qualifications.

## **22.7 Appeal against a decision of the School Assessment Board a case of a student being deemed unfit for practice**

- 22.7.1 If a student wishes to challenge the decision of the School Assessment Board regarding the enforced suspension of studies from the programme or enforced withdrawal of enrolment, the student may follow the standard university 'Appeals Policy' and procedure (refer to [section 48](#)). The deadline for appeals is **10 working days** from the time the student is notified of the decision.
- 22.7.2 The appeal will be heard by a panel of members from the Appeals and Conduct Committee who have had no prior involvement with the case. The Committee will normally co-opt a person external to the University who has professional experience or background which may usefully inform the deliberations of the Committee in respect of professional matters.



## Section 23 Withdrawal from the University: policy and procedure

### 23.1 Purpose

- 23.1.1 The purpose of this section is to confirm the definitions of the different types of withdrawal from the University, when each is used, and the processes associated with them.

### 23.2 Definitions

- 23.2.1 **Voluntary withdrawal:** Where a student initiates their own withdrawal from studies/enrolment at the University.
- 23.2.2 **Presumed withdrawal:** Where a School initiates a student's withdrawal from studies/enrolment at the University, where there is reason to believe the student has not been in attendance and/or engaging with their programme.
- 23.2.3 **Enforced withdrawal:** Where the student's enrolment at the University is withdrawn by the School's Assessment Board. For example, due to programme failure or due to low attendance and/or engagement. Or outside of School Assessment Boards, where a student fails to comply with University Terms and Conditions of enrolment.

### 23.3 End date

- 23.3.1 When a voluntary or presumed withdrawal of enrolment is processed for a student the end date used is considered as the last date the student:
- attended a teaching session; or
  - attended an examination/timed assessment; or
  - submitted an assessment (excluding resits).
- 23.3.2 The date of a meeting with the School, for example, a Support to Study meeting, is not used for the end date for voluntary or presumed withdrawals.
- 23.3.3 When an enforced withdrawal of enrolment due to programme failure is processed the student's end date is recorded as the date the enforced withdrawal was approved

### 23.4 Voluntary withdrawal procedure

- 23.4.1 Students considering withdrawing should first discuss the matter with their personal or Academic Tutor. Students at collaborative partner institutions should discuss this with their Academic Tutor at their institution.
- 23.4.2 Deciding to withdraw from the University has implications for future financial support for students. Further guidance can be found in the factsheets in the [Student Hub](#).
- 23.4.3 The discussion may highlight that support may be available that means the student feels in a better position to continue with their studies. Alternatively, suspension of studies may be considered rather than withdrawing from the University permanently (refer to [section 5](#)).
- 23.4.4 Sponsored students on a Student Visa must contact the Visa and Compliance team by submitting a case via the [Student Hub](#) before applying to discuss the implications of withdrawing from the University.
- 23.4.5 Following these discussions, if the student decides voluntarily withdrawing from the University is the best option for their circumstances, they should complete the 'Withdrawal' online form in e:Vision.
- 23.4.6 Registry will process the withdrawal from studies from the University and notify Student Loans Company or other funding body in writing, confirming the last know date of attendance.
- 23.4.7 The Visa and Compliance team is notified of the withdrawal from studies from the University for a sponsored student on a Student Visa, and the student's visa will be curtailed.



## 23.5 Presumed withdrawal procedure

- 23.5.1 If the University has reason to believe that a student has not been attending, the Associate Head/Dean of School and/or the Programme Administration and Support Service (PASS) team may recommend to Registry that the student is withdrawn using the 'Notification of Presumed Withdrawal' form. Normally 4 consecutive weeks of non-attendance or non-engagement should result in the presumed withdrawal procedure being initiated.
- 23.5.2 The presumed withdrawal procedure cannot be initiated once the student has completed all teaching for the academic year. Instead, enforced withdrawal may be recommended by the School Assessment Board if the student cannot continue due to programme failure (refer to [section 23.6.1](#)).
- 23.5.3 Registry will contact the student to ascertain their intentions giving a deadline by which to respond (normally **10 days** from the date of the email).
- 23.5.4 If the student does not reply within the specified time period, the student will be deemed to have withdrawn and the student's enrolment will end.
- 23.5.5 Registry will process the withdrawal from studies from the University and notify the Student Loans Company or other funding body in writing, confirming the last known date of engagement.
- 23.5.6 For sponsored students on a Student Visa the presumed withdrawal procedure cannot be followed. Sponsored Visa holding students will be withdrawn from their studies following the 'Withdrawal Procedure' where consecutive non-engagement has been raised as a concern as a result of the 'Student Engagement Policy' (refer to [section 18](#)).
- 23.5.7 If the student responds to confirm that they do intend to carry on with their studies, the School must invite the student to attend a Support to Study Stage 4 meeting to discuss their lack of engagement (refer to [section 19](#)).

## 23.6 Enforced withdrawal procedure

- 23.6.1 Enforced withdrawal may be recommended:
- By the School Assessment Board (SAB) due to programme failure. These decisions are taken either at a scheduled SAB meeting or by Chair's Action when a module result means the student has failed their programme and cannot continue.
  - To the School Assessment Board (SAB) at a Support to Study meeting if there are concerns about a student's attendance and/or engagement with their programme of study (refer to [section 19](#)).
  - To the School Assessment Board (SAB) at a Fitness to Study or Fitness to Practise meeting (refer to [section 21](#) and [22](#)).
  - By Registry following failure to comply to the University Terms and Conditions of enrolment.
- 23.6.2 Enforced withdrawal due to programme failure is confirmed in writing in the progression statement sent by the Assessment team in Registry following the SAB approval.
- 23.6.3 Registry will process the enforced withdrawal from the University and notify Student Loans Company or other funding body in writing.
- 23.6.4 The Visa and Compliance team is notified of the enforced withdrawal from studies from the University for sponsored Student Visa holding students, and the student's visa will be curtailed.

## Section 24 Marking and moderation policy and procedures

### 24.1 Marking principles

- 24.1.1 Assessments will be marked according to the assessment criteria agreed for the subject-area or programme which are communicated to the student via publication on Moodle.
- 24.1.2 Assessments will be marked using the University marking fixed scale and conventions, including the Generic Assessment Descriptors.
- 24.1.3 Staff should not use AI tools to generate marks on student assessments and must not submit students' assessments to AI tools.
- 24.1.4 The University's policy is that marking should be completed within **15 working days of the assessment submission or examination date for taught modules**. This includes completion of all internal marking and moderation processes. The 15 days begins the working day after the assessment or examination date. Schools have discretion to set a longer deadline for returning feedback for dissertations and research projects; the expectation is that this would be 20 working days and not exceed 30 days.
- 24.1.5 Any exceptions to the marking turnaround times must be approved by School Quality Panels and Quality and Standards Committee and be communicated clearly to students.
- 24.1.6 In cases where a student submits work late and is eligible to receive a capped mark, the 15 days would begin the working day after the student submits their work.
- 24.1.7 Marking will not be adjusted as part of a Learner Adjustment Plan or approved exceptional circumstances.
- 24.1.8 Module Directors/Leads or markers are expected to undertake the marking of the assignments electronically if the work is submitted electronically. Where assignments are submitted electronically, feedback is expected to be returned to students through the same system, for example, Moodle or Turnitin (refer to [section 8.6](#)).
- 24.1.9 Assessment results provided within the VLE (Moodle) are indicative until ratified by the School Assessment Board. All final assessment results must be entered into e:Vision via SITS (refer to [section 46](#)). Students must be made aware that any assessment results given via the VLE are provisional, until ratified by the School Assessment Board.
- 24.1.10 If academic misconduct is suspected during the marking process, then refer to the 'Academic Misconduct Policy' (refer to [section 27](#)).
- 24.1.11 Poor academic practice should be managed through normal marking and feedback procedures.

### 24.2 Sanctions when marking

- 24.2.1 Details for overlength work sanctions and for late submission sanctions are found in [section 26](#). Marking must be completed in the normal way.
- 24.2.2 In cases where a student submits work late that incurs a sanction mark of zero (for example, a first attempt submitted after 5 working days from the submission date, or a late reassessment attempt), the work should not be marked (for more information refer to Agreed Sanctions [section 26.3](#)).
- 24.2.3 Where students have not followed the instructions as expected in an examination, for example, they have answered too many questions or they have not answered compulsory questions, refer to [section 9.17](#) for the protocol for marking.
- 24.2.4 Where a handwritten examination script is unreadable, the marker should refer to [section 9.18](#) for the protocol for marking.
- 24.2.5 If a student is asked to submit a new piece of work for their reassessment, and then submits exactly the same piece of original work without changes for reassessment, this would be classed as self-plagiarism and would be academic misconduct (refer to [section 27](#)).
- 24.2.6 If the student is asked to improve on the original submission for their reassessment and they submit the same piece of work, the same mark would stand as it would be of no greater or lesser quality than the work, they submitted the first time. This would therefore receive the same failure mark as the original.
- 24.2.7 Refer to [section 8.6.10](#) for information on the treatment of errors made during the submission process, for example, submitting an incorrect file, or to the wrong Moodle site.

## 24.3 Calibration exercise

24.3.1 A calibration exercise **must** take place where:

- a) A marker is newly appointed to the institution.
- b) A team of markers is involved in first marking on a module (except where all assignments are double marked).

24.3.2 The preferred process of calibration is as follows:

- a) The Module Director/Lead selects at least 2 pieces of work at random from the module assignments submitted. These 2 scripts are independently marked by all tutors involved in the marking of the assignment.
- b) For practical and any live exams or performances one of the two following methods can be used:
  - One or two students are assessed (random selection) by one marker. All markers involved in the marking of this module are present during the exam, as soon as the assessment is complete each marker independently marks each assessment.
  - One or two students are assessed (random selection) by one marker. The exam is video/audio recorded. As soon as the assessment is complete all markers review the assessment and then independently mark each assessment.
- c) All the markers meet to calibrate the marking and agree marks for each marked script, referencing the marking criteria and/or scheme. A brief rationale for the final agreed mark is clearly identified on the calibration sheet or equivalent. Agreeing the approach to feedback consistency is also good practice at this stage (refer to [section 29](#)).

## 24.4 Double marking (also known as second marking)

24.4.1 This is where work for an assignment is marked by more than one marker. It includes one of the following approaches:

- Double marking where the first marker's mark and comments are known to the second marker (sometimes referred to as 'seen double marking'), **or**
- Double marking where the first marker's mark and comments are not known to the second marker (sometimes referred to as 'blind double marking').

24.4.2 Double marking can be undertaken on all items of assessed work for an assignment.

24.4.3 It is at the discretion of the School to determine which modules should be double marked. Where double marking takes place, individual marks can be amended after discussion between all markers, with a brief rationale recorded for any change.

24.4.4 Where performance-based assessments are double marked:

- The assessment is joint marked simultaneously by at least 2 markers; **or**
- The assessment is recorded in a way that facilitates double marking afterwards.

24.4.5 A first marker may also request that a particular assessment script is double marked where they have some uncertainty or concerns.

## 24.5 Resolution of disagreements between first and second marker

24.5.1 The Module Director/Lead will seek to make a judgement based on the evidence, drawing in additional marking or specialist expertise as necessary.

24.5.2 If the Module Director/Lead is one of the markers involved in the original dispute, then an additional marker identified by the relevant Chair of the School Assessment Board, or nominated representative, must be used.

24.5.3 If the disagreement cannot be resolved at module level, the Chair of the School Assessment Board (SAB), or nominated representative, will make a recommendation to the Board based on the evidence. The Chair of the SAB's decision will be final.

## 24.6 Internal moderation process

- 24.6.1 Where double marking does not take place, a process of internal moderation will be undertaken, on a sampling basis, to ensure first marking reflects the appropriate standard for the assessment and for the level of study. Internal moderators will be from within the subject discipline. Normally, the internal moderator will not have been a first marker for the assessment under scrutiny. However, where a group (2 or more) of markers is involved in the assessment, internal moderators may be drawn from that group to consider a sample first marked by others.
- 24.6.2 **Internal moderation is not a marking process:** internal moderators are neither marking the work nor providing additional feedback – they are providing a check that, in their judgement, the proposed assessment decisions are fair and equitable across the sample.
- 24.6.3 First marker(s) complete the marking and provide the internal moderator with access to all the student work.
- 24.6.4 Internal moderators review a sample as follows:

Modules	Sample
<b>For modules where calibration has taken place</b>	<p>For assessment that does not contribute to the final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> </ul> <p>For assessment contributing to the final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> <li>A selection across the classifications/bands based on 5% of the module cohort and with no less than 1 at each classification/band</li> </ul> <p>For cohorts with 10 students or fewer:</p> <ul style="list-style-type: none"> <li>All assessments</li> </ul>
<b>For modules where calibration has not taken place</b>	<p>For assessment that does not contribute to final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> </ul> <p>For assessment contributing to the final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> <li>A selection across the classifications/bands based on 10% or the square root of the module cohort and with a minimum of 5 and no less than 1 at each classification/band</li> </ul> <p>For cohorts with 10 students or fewer:</p> <ul style="list-style-type: none"> <li>All assessments</li> </ul>
<b>Reassessments</b>	<p>For assessment that does not contribute to final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> </ul> <p>For assessment contributing to the final award:</p> <ul style="list-style-type: none"> <li>All academic fails</li> </ul> <p>If the original cohort went through the internal moderation process, then it is not necessary to internally moderate reassessments of passing standard provided the marker is the same.</p>

- 24.6.5 If the internal moderator(s) consider that marks are fair and equitable then no further action is required, all first marks stand, and standards are deemed internally assured. This will be recorded for internal and external purposes, with evidence of the process (including identification of student work sampled) provided to the external moderator(s) for the programme.

24.6.6 If the internal moderator(s) considers that there are clear patterns of difference between their judgement and the first marker's judgement, then one of the following options should be followed:

**Either:**

- a) Agree a further sample to be internally moderated which, if it supports the trend, may lead to an agreed moderation of **all** marks in line with the findings of the internal moderator(s). If the review of the further sample does not support the trend, then **all** the first marks stand.

Only changing marks for the sample is unfair and inequitable for those within and out with the sample and should not be done.

**Or:**

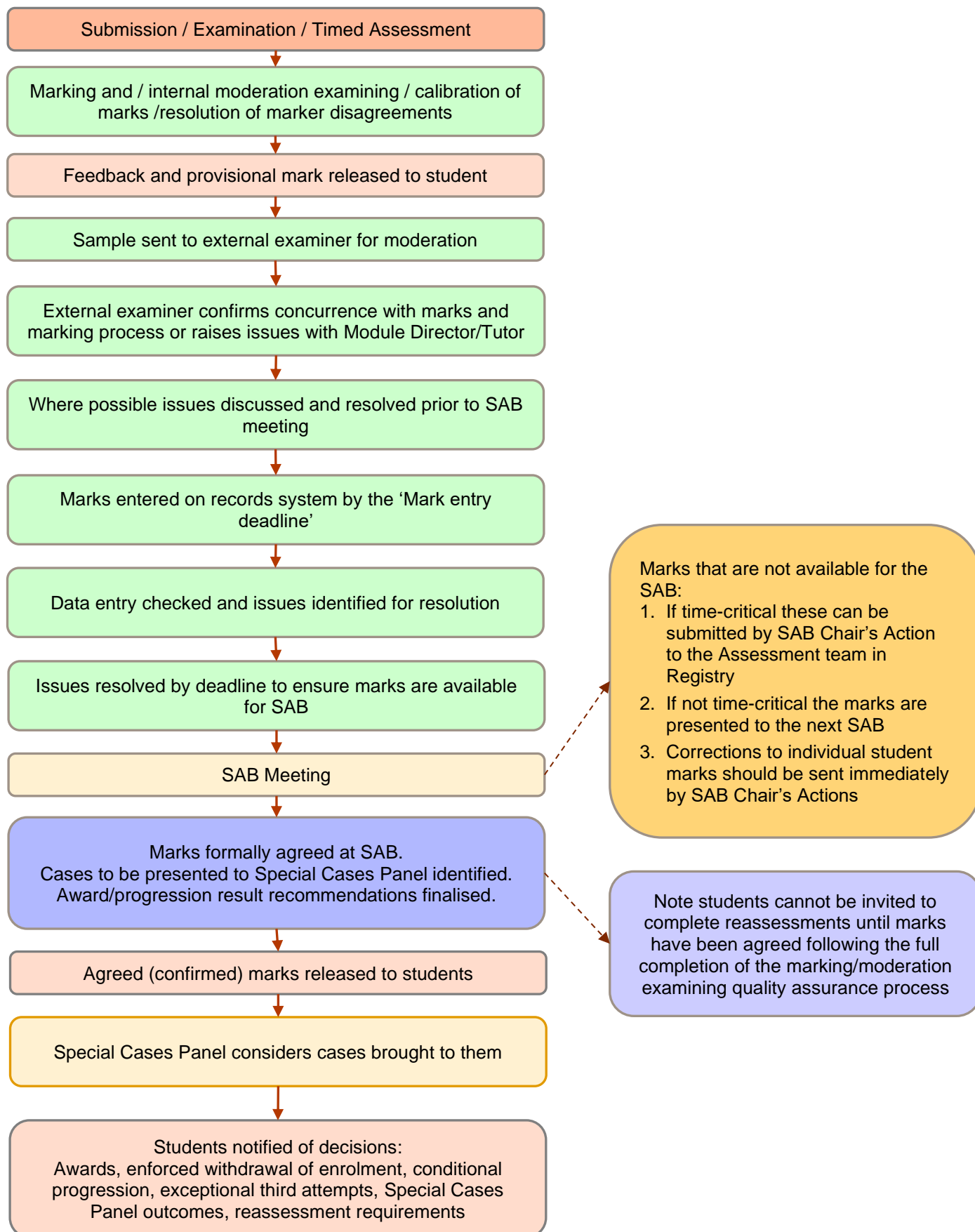
- b) Agree that all work for that assignment be double marked and individual marks agreed between markers.

At each stage where changes are made, a brief rationale for the change should be evident on the relevant paperwork. In addition, the final agreed mark should be clearly identified.

## 24.7 External examiners

24.7.1 For information relating to external examiners refer to [section 39](#).

## 24.8 Process flowchart for marking, moderation, agreeing and releasing marks



## Section 25 Anonymous marking policy

### 25.1 Definitions

- 25.1.1 **Anonymous marking:** Student assessments are marked without the student's name or identity being made known to the marker or moderator of the work at the time of marking.

### 25.2 Principles

- 25.2.1 The University is committed to anonymous marking in summative assessments where possible. This is one approach within the University's commitment to fair assessment.
- 25.2.2 Anonymity provides reassurance against the perception of discrimination and bias entering the assessment process and aims to ensure that all students are treated equally.
- 25.2.3 Anonymous marking should not be a barrier to feedback to students on their assessments within the timescales as specified in the Code of Practice for Assessment and Academic-Related Matters, or in relation to their engagement in relevant formative activities.
- 25.2.4 All written assessments should be submitted through university systems (for example, Moodle, Turnitin) where possible to enable anonymous marking.

### 25.3 Scope

- 25.3.1 Anonymous marking will apply to all summative assessment at all levels, except where it is recognised that it is not practical due to the assessment involving direct contact between the student and their assessor(s).
- 25.3.2 Formative assessment is not required to be marked anonymously and is out of the scope of this policy.

### 25.4 Policy

- 25.4.1 All summative assessments should be marked without the student's name or identity being made known to the marker or moderator, except where the assessment involves direct contact between the student and their assessor(s).
- 25.4.2 There may be occasions where a student can be identified by the marker, for example, where the student's work can be identified through style, where they identify themselves within the body of the assessment, or where the work can be recognised. Where anonymity is compromised in this way, the assessor will make all reasonable efforts not to allow the identity of the student to influence their academic judgement and marking.
- 25.4.3 Anonymity will be retained throughout the marking process until after moderation. Anonymity from the marks will be lifted for entry into the student record system.
- 25.4.4 School Assessment Boards should be notified of assessments that have not been able to be marked anonymously, where anonymous marking would have been expected.

### 25.5 Exemptions

- 25.5.1 There are University-wide exemptions to the Anonymous Marking Policy, namely for tasks where it would prove impractical to conceal the student's identity. There is no requirement for approval from Quality and Standards Committee for these types of assessments not to be marked anonymously.
- 25.5.2 The following is an indicative but not exhaustive list of the types of assessments that may be exempt from anonymous marking:
- **Spoken or signed communication-based assessments**, for example, presentations, vivas, speeches, debates, advocacy tasks, teaching, poster presentations.
  - **Practical competency tests**, for example, laboratory skills, OSCEs.
  - **Subject-specific skills exercises or product creation**, for example, artwork, product design, video production, performances.
  - **Extended projects, dissertations and theses.**
  - **Professional or practice-based assessments**, for example, where the assessment requires the student to relate academic work to professional situations, clinical practice, placements or work-based learning.
  - **Collaboratively produced or peer-marked assessments**, for example, group work.



- **Fieldwork.**
- **Reflective essays/reports.**

- 25.5.3 Additional exemptions may be agreed on a case-by-case basis. These will be granted by Quality and Standards Committee and can be agreed as part of module approval at validation.
- 25.5.4 Where assessments are exempt from anonymous marking, this should be made clear on the assessment brief for students.

## Section 26 Agreed sanctions policy

### 26.1 Sanctions for overlength work

- 26.1.1 Limits are specified for some assessed work to maintain equity between all students doing the same assessment. Module Directors/Leads must clearly communicate this information to students in the assessment brief.
- 26.1.2 Assessed work should not exceed the prescribed word limit or time limit. Students may be subject to a sanction if they exceed that limit.
- 26.1.3 The sanctions are:

Amount over the limit	Sanction
Less than 10%	Deduct no marks, but note in feedback
Between 10-24%	Deduct 5 marks*
Between 25-49%	Deduct 10 marks*
More than 50%	Eligible only for the capped pass mark

\* Or given a capped pass mark, whichever is greater, for example, a raw mark of 42 would be capped at a mark of 40 for an undergraduate student if the work was 20% over the word limit or time limit

- 26.1.4 Students should also be made aware through feedback what the original mark was and the sanction that has been applied.
- 26.1.5 If a failure mark is given for the raw assessment mark (undergraduate between 1-39 or postgraduate 1-49) then the overlength sanction does not need to be applied.
- 26.1.6 For written work, the student must provide an accurate word count for each piece of work they submit. This will normally rely on the word count system within Microsoft Word.
- 26.1.7 The word limit specified for written assessments excludes:
- Assessment title.
  - Tables (tables may not include large amounts of text).
  - Graphs.
  - Equations.
  - Footnotes.
  - Bibliography.
  - Appendices – Appendices may contain diagrams, tables or visual images but not large amounts of text.
- 26.1.8 If it is suspected that the student has not declared the word count honestly, and that the work is longer than declared, the word count may be checked, and a sanction applied in accordance with the table above. The School Assessment Board may also refer a student for consideration under the University's 'Academic Misconduct Policy' (refer to [section 27](#)).
- 26.1.9 Work is marked normally, and the overlength sanction is applied to the raw provisional mark for the assessment. This applies when marking first attempt work or reassessment work.

### 26.2 Sanctions for under length work

- 26.2.1 There is **no sanction** for under length work providing there is sufficient suitable content. Writing significantly less than the word count or time limit set increases the risk that the work will not adequately address the assignment brief and learning outcomes. Work is assessed on its academic merits, and this will be reflected in the mark awarded and the feedback provided for the piece of work.

## 26.3 Sanctions for late work and non-submissions

- 26.3.1 The University has a uniform policy for the late submission sanction for a piece of summative assessed work.
- 26.3.2 The deadline for work is **on the hour**. Where the deadline is 12:00 noon, work submitted at 12:01 is considered late. Receipts with a submission recorded as 12:00 will not incur a late sanction.
- 26.3.3 Students are advised to submit their work **at least 1 hour before the deadline** (refer to [section 8.5.8](#)).
- 26.3.4 Late submission sanctions are **applied to the raw assessment mark** not the module mark.
- 26.3.5 The application of late submission sanctions may mean that the final mark awarded for the assessment does not fall within the University's fixed marking scale.
- 26.3.6 If the student incurs both an overlength sanction and a late submission sanction, then the overlength sanction is applied first, and the late submission sanction is applied to the overlength adjusted mark.
- 26.3.7 If a failure mark is given for the raw assessment mark (undergraduate between 1-39 or postgraduate 1-49), then a late submission sanction is not applied. This only applies to work submitted within 5 working days. Students who submit after 5 working days receive a sanction mark of zero.
- 26.3.8 The sanction for submitting work late for an assessment marked on a pass/fail basis is a failure. Failures in pass/fail modules cannot be compensated but can normally be reassessed if failed at first attempt.
- 26.3.9 Refer to [section 8.6.11](#) for information on the treatment of errors made during the submission process, for example, submitting an incorrect file, or to the wrong Moodle site, or submitting to the School or a tutor's university email account.
- 26.3.10 In cases where a student submits work late such that it incurs a sanction mark of zero (for example, a first attempt submitted after 5 working days from the submission date, or a late reassessment attempt), the work should not be marked.
- 26.3.11 When a sanction is applied for a first attempt:

Submission	Sanction for assessment component
Work submitted <b>after the assessment deadline</b> (or approved extension deadline) <b>but within:</b>	
1 hour	Deduct 5 marks* *Apply a capped pass if deducting marks reduces a passing mark to a failure mark
1 hour to 24 hours**	Deduct 10 marks* *Apply a capped pass if deducting marks reduces a passing mark to a failure mark
24 hours to 5 working days	Capped pass
<b>Arriving late for a scheduled assessment</b> (without exceptional circumstances), for example, attending a presentation, viva etc. on the same day after the allotted time. This does not apply to examinations. Note: it may not always be possible to reschedule an assessment if a student is late	
1 hour	Deduct 10 marks* *Apply a capped pass if deducting marks reduces a passing mark to a failure mark
1 to 3 hours	Capped pass
Work for a <b>'timed assessment'</b> (refer to <a href="#">section 7.16</a> ) submitted <b>after the published assessment deadline</b> (or approved extension deadline) <b>but within:</b>	
1 hour	Deduct 10 marks* *Apply a capped pass if deducting marks reduces a passing mark to a failure mark
1 to 3 hours	Capped pass

Submission	Sanction for assessment component
<p>Work submitted after <b>5 working days</b>*** of the published deadline (or approved extension deadline)</p> <p>Work not submitted, or submitted <b>after 3 hours</b> of the published deadline for a '<b>timed assessment</b>' (refer to <a href="#">section 7.16</a>)</p> <p><b>Non-attendance</b> for an examination (without approved exceptional circumstances)</p> <p><b>Non-attendance</b> for a scheduled assessment (without exceptional circumstances), for example, presentation, viva etc.</p>	Receives a mark of zero

\*\* '24 hours' runs for the 24-hour period following the deadline, for example, for a submission on Friday at 12.00 noon the 24-hour period is until 12.00 noon Saturday

\*\*\* A 'working day' runs from 12.00 noon to 12.00 noon excluding weekends, bank holidays, University closure days at Christmas but includes Monday to Friday through vacation periods

26.3.12 When a sanction is applied for a reassessment attempt:

Resubmission	Sanction for reassessment component
Work resubmitted <b>after the published deadline</b> (or approved extended deadline)	Receives a mark of zero – <b>reassessments</b> submitted late are not eligible for capped marks
<p>Work <b>not resubmitted</b> after the published deadline (or approved extended deadline)</p> <p>Work <b>not resubmitted</b> for a '<b>timed assessment</b>' after the published deadline (refer to <a href="#">section 7.16</a>)</p> <p><b>Non-attendance</b> for a resit examination (without approved exceptional circumstances)</p> <p><b>Non-attendance or lateness</b> for a scheduled reassessment (without exceptional circumstances), for example, presentation, viva etc.</p>	Receives a mark of zero

26.3.13 **Examples** – all deadlines are 12:00 noon

- An undergraduate or postgraduate first-attempt submission submitted at 12.45pm on the submission date given a raw mark of 65, would have 5 marks deducted, giving a final mark of 60 for the assessment.
- An undergraduate or postgraduate first-attempt submission submitted at 4.00pm on the submission date given a raw mark of 65, would have 10 marks deducted, giving a final mark of 55 for the assessment.
- An undergraduate first-attempt submission submitted at 4.00pm on the submission date given a raw mark of 42, would have 10 marks deducted, but as the work is of passing standard the sanction applied is a capped final mark of 40 for the assessment (rather than a failure mark of 32).
- A postgraduate first-attempt submission submitted at 4.00pm on the submission date given a raw mark of 58, would have 10 marks deducted, but as the work is of passing standard the sanction applied is a capped final mark of 50 for the assessment (rather than a failure mark of 48).
- An undergraduate first-attempt submission submitted 32 hours after the submission date given a raw mark of 48, would be given a capped pass mark as the work is of passing standard the sanction applied is a capped final mark of 40 for the assessment (rather than a failure mark).
- A resubmission resubmitted at 12.01pm would be given a final mark of zero for the assessment.

## Section 27 Academic misconduct policy

### 27.1 Policy introduction

- 27.1.1 The University is committed to developing a culture of academic integrity and to conducting fair and equitable assessment for all students. Academic integrity involves a commitment to the core values of honesty, trust, fairness, respect, and responsibility in all academic endeavours. Individuals sometimes fail to act with academic integrity to try to gain an unfair advantage in an assessment. This is often termed **academic misconduct**, and it will be dealt with by the University in accordance with the procedure set out below. As explained below, academic misconduct includes unintentional acts, where students have not familiarised themselves with good academic practice.
- 27.1.2 International students may face unique challenges in understanding academic integrity expectations due to differing cultural norms or academic practices. The University supports international students in understanding and adhering to these standards. Engaging with available services and resources proactively is essential to avoid unintentional breaches. Refer to the Study Skills section of the [Student Hub](#) for more information.

### 27.2 Scope

- 27.2.1 This policy applies to students as set out in [section 1](#). There is a separate 'Research Misconduct Policy and Procedures' for staff and the research components undertaken by postgraduate research students.
- 27.2.2 The procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) is set out in [section 27.16](#) and programme documentation provided by the validated partner.

### 27.3 What constitutes academic misconduct?

- 27.3.1 Academic misconduct may take several forms. The following is not an exhaustive list, but academic misconduct includes:

Type	Description
<b>Plagiarism</b>	This happens where a student incorporates the work of others (published or unpublished) in their own work without properly acknowledging it. Students are effectively claiming ownership for work that is not their own. This includes word-for-word borrowing as well as copying with minor changes. It also includes the use of artificial intelligence (AI) which is not properly acknowledged, including the use of AI in the creation of reference lists. 'Work' is not limited to text, but also includes statistics, assembled facts or arguments, figures, photographs, pictures, or diagrams. Students must follow the correct referencing guidelines provided by their programme.
<b>Self-plagiarism</b>	<p>For example, a student using the same work for a new assessment that was submitted for a previous summative assessment. This includes resubmitting previous work when a student is repeating study. It also applies to work submitted during previous study elsewhere.</p> <p>Students may use their previously submitted work for their own learning and reference, in the same way they would use third-party information, but they may not rework and/or resubmit their previous work for assessment when repeating a module. This would be considered as self-plagiarism and will be regarded with the same severity as plagiarism in general in submitted work.</p>
<b>Using an essay-writing service</b>	Buying or otherwise obtaining work which a student then submits for an assessment. Commissioning an essay is fraud and the most severe sanction, enforced withdrawal of enrolment due to programme failure, may apply. It should be noted that the Skills and Post-16 Education Act 2022 has made essay mills in the UK illegal.
<b>Fraudulent or fabricated coursework</b>	For example: reports of practical work that are untrue and/or made up; fabrication of research or dishonest interpretation of data; unethical research practice including failure to obtain the correct ethical approval.
<b>Cheating in examinations</b>	For example: through impersonation; taking into the examination unauthorised materials, mobile phones, or other electronic devices; copying from other students or from notes; not obeying examination regulations.

Type	Description
<b>Collusion</b>	Submitting work produced jointly with another student (except where the terms of the assessment require collaboration). Any intentional or unintentional act of working with other students to produce work that is falsely represented as individual. This includes unauthorised collaboration, sharing answers, or helping others cheat.
<b>Deception</b>	For example, forging a signature relating to a placement or other academic material.
<b>Misuse of translation tools</b>	Inappropriate use of online translation tools to conceal the source of text, or otherwise present work that it not a student's own.
<b>Unintentional acts</b>	Unintentional acts of academic misconduct occur when students fail to follow academic integrity guidelines due to a lack of understanding, rather than deliberate intent. Examples can include: incorrect citation or paraphrasing; accidental sharing of drafts with students who submit similar work; misunderstanding about what constitutes permissible collaboration.

## 27.4 Student responsibilities

- 27.4.1 Poor scholarship does not in itself constitute academic misconduct. Students are responsible for understanding and applying proper scholarly practices to avoid unintentional breaches. Poor scholarship means:
- A genuine lack of understanding of academic integrity.
  - The unintentional, mistaken or insufficient use of referencing and citation.
  - Poor scholarship could look like not knowing how to correctly reference, not showing independent or critical thinking, or not using credible academic sources to support ideas.
- 27.4.2 It is the student's responsibility to develop good academic practice by taking part in sessions provided for students by tutors, and by study skills teams such as librarians, study development tutors and the London Learning and Wellness team. Good academic practice involves students improving their note-making and writing skills, being motivated to direct their own studies, seeking advice if in doubt and acknowledging the sources used by referencing correctly.
- 27.4.3 Students are encouraged to show the results of their reading by referring to, quoting from or paraphrasing works on their subject, but they must make it clear which work is theirs and which has come from elsewhere, through the use of appropriate referencing as well as in-text citations or footnotes/endnotes.
- 27.4.4 When a student submits assessed work, the student will be asked to confirm it is their own.
- 27.4.5 It is the student's responsibility to access the support provided by the University to help them to develop effective study skills. Failure to do so could lead to more severe consequences for misconduct. Some examples of the support the University provides include:
- Access to study support sessions which may be about developing a student's writing skills, correct referencing style for their discipline, etc.
  - Access to online resources by visiting our [Study skills page](#).
  - Access to Turnitin so that the student can test their work.
- 27.4.6 Translation tools are acceptable to use and do not require citation if they only influence the form but not the content of an assessment or other output. They should not be used as a substitute for the application of required thinking and communication skills.

## 27.5 Consequences

- 27.5.1 Committing academic misconduct is a serious offence in the University and has the potential to result in several sanctions depending on the stage a student is at in their studies. It can mean that the student is required to resubmit the work; it may mean that the student is given a capped mark; in the most serious cases, enforced withdrawal of a student from a programme may be required. Information on sanctions can be found in [section 27.15](#).

## 27.6 Monitoring and review

- 27.6.1 The University will keep and dispose of all correspondence relating to case of academic misconduct in accordance with its records management policy.
- 27.6.2 A report on academic misconduct cases and their outcomes will be produced annually and submitted to the University Assessment Board for consideration. A summary report will be considered by Academic Board and the Board of Governors through the Annual Quality Report. This process will ensure appropriate monitoring of all academic misconduct cases and related outcomes.

## 27.7 Other university policies

- 27.7.1 Where relevant, other university policies and procedures (such as those relating to discipline, fitness to practise or research misconduct) may be used as well as or instead of this policy and procedure.

## 27.8 Procedures – What happens if a student is suspected of academic misconduct?

- 27.8.1 It is the University's responsibility to establish that academic misconduct is more likely than not to have taken place. In determining this judgement, the following is considered: the consistency and credibility of evidence with the alleged breach; the plausibility of alternative explanations; patterns of behaviour, such as similarities in submissions.
- 27.8.2 Investigation:

Investigating academic misconduct in	Action
<b>Examinations</b>	<ul style="list-style-type: none"><li>• If a student is suspected of cheating in an examination, the invigilator will make a note on the student's examination script and remove any suspect objects.</li><li>• The student will be allowed to finish the examination.</li><li>• At the end of the examination, the student will be told that an investigation will take place. The matter will be reported to the student's Module Director/Lead and an investigation will take place.</li><li>• If the evidence indicates that the student has committed academic misconduct, the case will be forwarded to the Appeals and Conduct Committee as set out below.</li></ul>
<b>Assessments</b>	<ul style="list-style-type: none"><li>• The matter will be reported to the Module Director/Lead and/or Programme/Course Lead and an investigation will take place.</li><li>• If the evidence indicates that the student has committed academic misconduct, the case will be forwarded to the Appeals and Conduct Committee as set out below.</li></ul>

- 27.8.3 The person who is investigating the allegation will determine the best way of doing this. This may include the use of plagiarism detection software.
- 27.8.4 The student may be required to attend an oral examination to allow the student an opportunity to demonstrate that the work is indeed theirs. This only takes place where it is necessary for the investigation. The purpose of the oral examination is to establish whether the student is likely to be the author of the work submitted. The School will seek the approval of a panel of Appeals and Conduct Committee (ACC) to hold this oral examination before doing so. Language modules do not need individual approval from the ACC due to the nature of the type of module/assessment, an oral exam can be held for these modules without notifying or requesting approval from the ACC.
- 27.8.5 Once approval has been given by ACC, the student will be invited to attend an oral examination. Students will be given at least **3 working days'** notice of the meeting taking place. **At least two members** of academic staff will assess whether the student's responses indicate authorship of the work. This will involve asking the student about specific details of their assessment. If a student does not participate in the oral examination, negative inferences may be made regarding their authorship of the work.
- 27.8.6 The student may choose to be accompanied by a supporter at the oral examination as defined in [section 2.1.11](#). They cannot ask questions, interpret the student's responses, or speak on the student's behalf. If the student's supporter behaves inappropriately at any stage during the meeting, they will be asked to withdraw their involvement.



- 27.8.7 If professionals are holding both the oral examination and the School inquiry on the same day, they must ensure students are notified of this intention and are given the appropriate information in relation to both meetings. It is advised that there is a short break between the oral examination and the School inquiry meeting, if both are held on the same day.

## 27.9 School inquiry

- 27.9.1 Once the investigation described above is complete, and normally within **10 working days** of the concern first arising, the student will be given a copy of all the evidence and the academic misconduct referral form which details why the evidence provided leads to a suspicion of academic misconduct. The student will be invited to a meeting at the School. Students should normally be given at least **3 working days'** notice to attend. **At least two members** of staff with appropriate knowledge and expertise will be present at this meeting. For franchise partners, at least one member from York St John University should be present alongside an academic member of staff from the partnership.
- 27.9.2 The student may choose to be accompanied by a supporter at the meeting as defined in [section 2.1.11](#). This meeting is different to the oral examination described in [section 27.8.4](#), as the purpose is to allow the student the chance to comment on the evidence and respond to the allegation of academic misconduct made against them. As an alternative to the meeting, the School may share the concerns with the student and invite comments from the student through an email exchange or ask the student to provide a written statement.
- 27.9.3 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.
- 27.9.4 When invited to the meeting, or responding to concerns via email, the student may be asked to provide their notes, drafts and any other records relating to their preparatory work for the assessment. Any failure to provide this material is likely to be considered when a decision is made about potential academic misconduct.
- 27.9.5 At this meeting, the School will decide from the following outcomes:

Action	Description
<b>No further action</b>	<ul style="list-style-type: none"><li>• There is insufficient evidence to justify a finding of academic misconduct.</li><li>• If so, no further action will be taken under these procedures.</li></ul>
<b>Poor scholarship</b>	<ul style="list-style-type: none"><li>• The matter should be considered poor scholarship rather than academic misconduct.</li><li>• No further action will take place under these procedures, although the poor scholarship will be considered through the normal marking process which should resume following completion of the investigation.</li><li>• The finding will be noted on the student's record and may be considered in the context of any future allegations that the student has committed academic misconduct.</li></ul>
<b>Academic misconduct</b>	<ul style="list-style-type: none"><li>• There is a case to be answered that academic misconduct has indeed taken place.</li><li>• The student will be informed of this decision, and all the evidence will be forwarded to the Appeals and Conduct Committee, along with a School recommendation about the sanction.</li></ul>

- 27.9.6 Whichever decision is made, the student may be referred to appropriate support and guidance to develop their academic skills. This may include, for example, a referral to the relevant Academic Liaison Librarian, Study Development team or London Learning and Wellness team. If the student fails to take up the support offered, this will be considered negatively should any further allegation of academic misconduct be made.

## 27.10 Consideration by the Appeals and Conduct Committee

- 27.10.1 The Academic Board has delegated to the Appeals and Conduct Committee the power to make decisions in cases of alleged academic misconduct.

## 27.11 Panel hearing

- 27.11.1 Cases will be reviewed by a Panel, normally comprised of two members of the Appeals and Conduct Committee. This Panel will consider:
- Whether the evidence is sufficient to justify the conclusion that the student has committed academic misconduct.
  - Whether the proposed sanction is appropriate considering all the evidence and in accordance with the guidelines set out below.
- 27.11.2 The student will not be present at this panel meeting, and no representative from the student's school will attend. The Panel may dismiss the case on the basis that the evidence does not justify a finding of academic misconduct, or it may ask the School to investigate further and provide additional supporting evidence for its view that academic misconduct has taken place. If it finds the evidence does justify a finding of academic misconduct, it may uphold the sanction recommended by the School or substitute another sanction. It may also decide that the matter would be more appropriately heard by a full hearing of the Appeals and Conduct Committee. The Panel can only agree a sanction that sits within this Policy; if it wishes to recommend an alternative sanction it will need to do so to the Disciplinary Officer.
- 27.11.3 The student will be notified in writing of the outcome **within 5 working days** of the Panel hearing.
- 27.11.4 If the student wishes to dispute either the finding that they have committed academic misconduct or the appropriateness of the sanction, the student may choose to have their case heard at a full hearing of the Appeals and Conduct Committee. The following grounds must be met to request a hearing:
- The decision of the previous Panel members was unreasonable considering the evidence available. **Or**
  - The procedure of the hearing was deficient in a way which materially prejudiced the student's case.
- 27.11.5 If the student chooses a full committee hearing, the student must inform the Student Casework team ([casework@yorks.ac.uk](mailto:casework@yorks.ac.uk)) within **10 working days** from the date on their panel outcome letter. Any requests received **after 10 working days** will not be permitted unless there are exceptional circumstances which can be supported by evidence which delayed the student requesting this (refer to Exceptional Circumstances Policy for details on appropriate evidence [section 13](#)). If the request is not permitted, the University will, if requested by the student, issue the student with a 'completion of procedures' letter to allow the student to have the decision reviewed by the Office of the Independent Adjudicator.

## 27.12 Full hearing of the Appeals and Conduct Committee

- 27.12.1 A full hearing of the Appeals and Conduct Committee will take place if the Panel has referred the matter for a hearing or if the student has chosen to dispute the finding of academic misconduct or the sanction. The student will be notified **at least 5 days in** advance of the time and place of the meeting.
- 27.12.2 At least two committee members will be present at the hearing. The Committee will not include any representatives from the student's programme area to ensure that its decision-making is independent. It will consider:
- Whether the evidence is sufficient to justify the conclusion that the student has committed academic misconduct.
  - Whether the proposed sanction is appropriate considering all the evidence and in accordance with the guidelines set out below.
- 27.12.3 A representative from the student's school will be present to represent the School perspective. The student is also entitled to be present to speak on their own behalf.
- 27.12.4 The student may choose to be accompanied by a supporter at the hearing as defined in [section 2.1.11](#). The student's supporter cannot ask questions, interpret the student's responses, or speak on the student's behalf. If the student's supporter behaves inappropriately at any stage while the hearing is being dealt with, this person will be asked to withdraw involvement. The student will be asked to provide the name and capacity in which the supporter is attending in advance. It is not normally expected that the student will have legal representation, but if the student believes it is justified in the circumstances, the student should make these reasons known to the Head of Governance and Compliance, as Chair of Appeals and Conduct Committee, **at least 3 working days** in advance of the hearing. If the Chair believes the student has established compelling grounds for legal representation, it will be permitted.
- 27.12.5 The meeting may take place physically or via videoconferencing.

- 27.12.6 If it is not possible to make contact with the student or if the student chooses not to attend, the Committee may go ahead in their absence.
- 27.12.7 Whether or not the student attends, the student may submit explanations or evidence about the case in writing **at least 3 working days** in advance of the meeting, and this will be considered by the Committee members.
- 27.12.8 The student will not usually be informed of the outcome on the day of the hearing. The student will receive the outcome in writing, with reasons, as soon as possible after the hearing, and normally **within 10 working days**. The Panel can only agree a sanction that sits within this Policy; if it wishes to recommend an alternative sanction it will need to do so to the Disciplinary Officer.

## 27.13 Right to appeal

- 27.13.1 If the student remains dissatisfied with the outcome, the student has the right to appeal to the Vice Chancellor. The appeal should be submitted **within 10 working days** from the date on the outcome letter. It is recommended that the student uses the 'Appeal to Vice Chancellor' form available on the University [Appeals page](#).
- 27.13.2 Students may also wish to seek guidance and support from the [York St John Students' Union](#).
- 27.13.3 The only grounds on which a student can appeal are as follows:
- The decision of the Committee was unreasonable considering the evidence available.
  - The procedure of the hearing was deficient in a way which materially prejudiced the student's case.
- 27.13.4 A student's appeal will be reviewed by the Vice Chancellor or nominee, and this decision will be final regarding to university procedures. This review will normally limit itself to the written material relating to the case at all previous stages along with the student appeal form.
- 27.13.5 The student will receive the outcome in writing as soon as possible and normally within **10 working days**. At this point, the student will receive a 'Completion of Procedures' letter explaining that the student has come to the end of university procedures. If the student is still dissatisfied, the student may apply for a review by the Office of the Independent Adjudicator for Higher Education.

## 27.14 Office of the Independent Adjudicator for Higher Education

- 27.14.1 The Office of the Independent Adjudicator for Higher Education (OIA) is an independent body which was established by the Higher Education Act 2004 to consider student complaints which had not been resolved through an institution's internal procedures. It became the statutory body for dealing with such student complaints on 1 January 2005. If a student receives a 'Completion of Procedures' letter from the University and the student remains dissatisfied with the outcome, the student may ask the OIA to review their case. The student must normally apply to the OIA **within 12 months** of the date of the 'Completion of Procedures' letter. This service is free to students. More information can be found on the [OIA website](#).
- 27.14.2 Students may also wish to seek guidance and support from the [York St John Students' Union](#).

## 27.15 Sanctions

- 27.15.1 The following is an indicative range of sanctions when academic misconduct is confirmed:

Offence	Sanctions
<b>First Offence</b>	<ul style="list-style-type: none"> <li>• For capped pass for the module (all levels)</li> </ul>
<b>Second Offence</b>	<ul style="list-style-type: none"> <li>• For capped pass for the module (if committed when studying Levels 3 to 5)</li> <li>• Enforced withdrawal of enrolment due to programme failure (if committed when studying Levels 6 to 8)</li> </ul>
<b>Third Offence</b>	<ul style="list-style-type: none"> <li>• Enforced withdrawal of enrolment due to programme failure (all levels)</li> </ul>

- 27.15.2 Where a Panel wishes to implement a sanction that does not align with the list above, it must do so as a recommendation to the Disciplinary Officer. The Disciplinary Officer will then determine whether an alternative sanction is reasonable given the facts of the case and taking account of other cases. Where the Disciplinary Officer determines that an alternative sanction is not justified, the standard sanction will normally be implemented.
- 27.15.3 If a student had an offence(s) at undergraduate level and went on to have an offence at postgraduate level, this would be considered a subsequent offence.

27.15.4 If a student had an offence and then restarts their studies, while marks may be voided, the offence would still be considered as an offence, so any further instances would be considered subsequent offences.

27.15.5 The sanction may be made more or less severe depending on the evidence available.

**Relevant factors may include:**

- The amount of the student's work affected by the academic misconduct.
- The level of the student's studies.
- Whether the student knowingly committed the offence.
- The level of deception involved.
- Previous academic misconduct offences.

The student may ask for other factors to be considered, but personal difficulties are unlikely to be seen as excusing academic misconduct. Where reference to exceptional circumstances is made, evidence will be required and will be shared with the ACC panel reviewing the case. A sanction will not be reduced based on the fact that the student ran out of time to complete their work, or the student mistakenly submitted a draft rather than a final version, or had IT difficulties.

27.15.6 Multiple offences of alleged academic misconduct will be classed as concurrent offences if they occur within 1 month of each other or before the student receives notification, in writing, that they are under investigation for suspected of academic misconduct, for example, where a student submits 2 assignments at the same time. This means that a student is considered to have committed 2 first offences (for example), rather than a first and second offence.

27.15.7 No mark is awarded, for work affected by academic misconduct and this means that the student does not receive any credits for that work.

- Where a sanction is for a module mark to be capped at the pass mark, credits are awarded provided all the module's component marks are sufficient to achieve an overall pass for the module. If successfully passed the module mark will always be capped at the pass mark due to reassessment regulations.
- Credit may be awarded if the final module mark is in the compensable range, where eligible, when applying the compensation rules.
- Where the academic misconduct reassessment is not of passing standard the mark for the component is retained and is used to determine the final module mark, and a grade of AF will be given.

27.15.8 The student will only be permitted to resubmit work where they are entitled to another resubmission attempt in accordance with the [University Regulations](#). If the academic misconduct affects resubmitted work, **students will not normally be entitled to a further attempt.**

27.15.9 Where a student is permitted another resubmission attempt, the resubmission completed will need to be a new assessment as detailed in [section 33.1.1](#). The resubmission attempt cannot be a rework of the original assessment, except in exceptional circumstances where ACC may approve this. In addition to this, the student may be obliged to undertake an alternative assessment as detailed in [section 11](#).

27.15.10 Academic misconduct may be identified after marks have been ratified. Where this happens, the above process should still take place and any mark amendments processed accordingly.

27.15.11 If academic misconduct is identified after the student has graduated with an award, the award may be revoked or otherwise amended, for example, by reducing the degree classification. Where students' studies are withdrawn due to findings of academic misconduct or as a result of not being able to progress, students will exit with the credits that have been through ratification processes at the time of the first communication to the student about the concern that eventually led to the withdrawal decision by the Appeals and Conduct Committee.

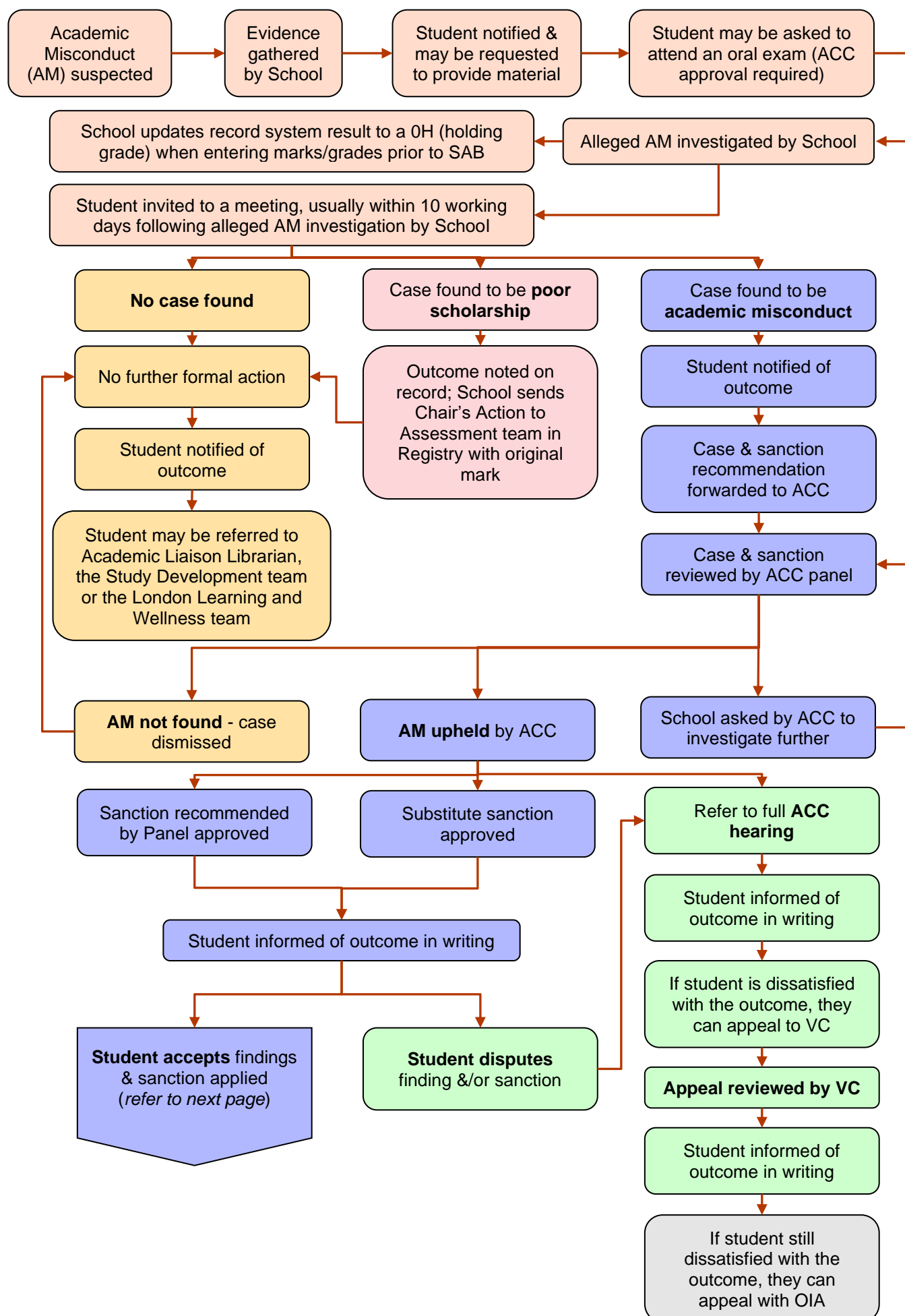
## 27.16 Arrangements for validated partners

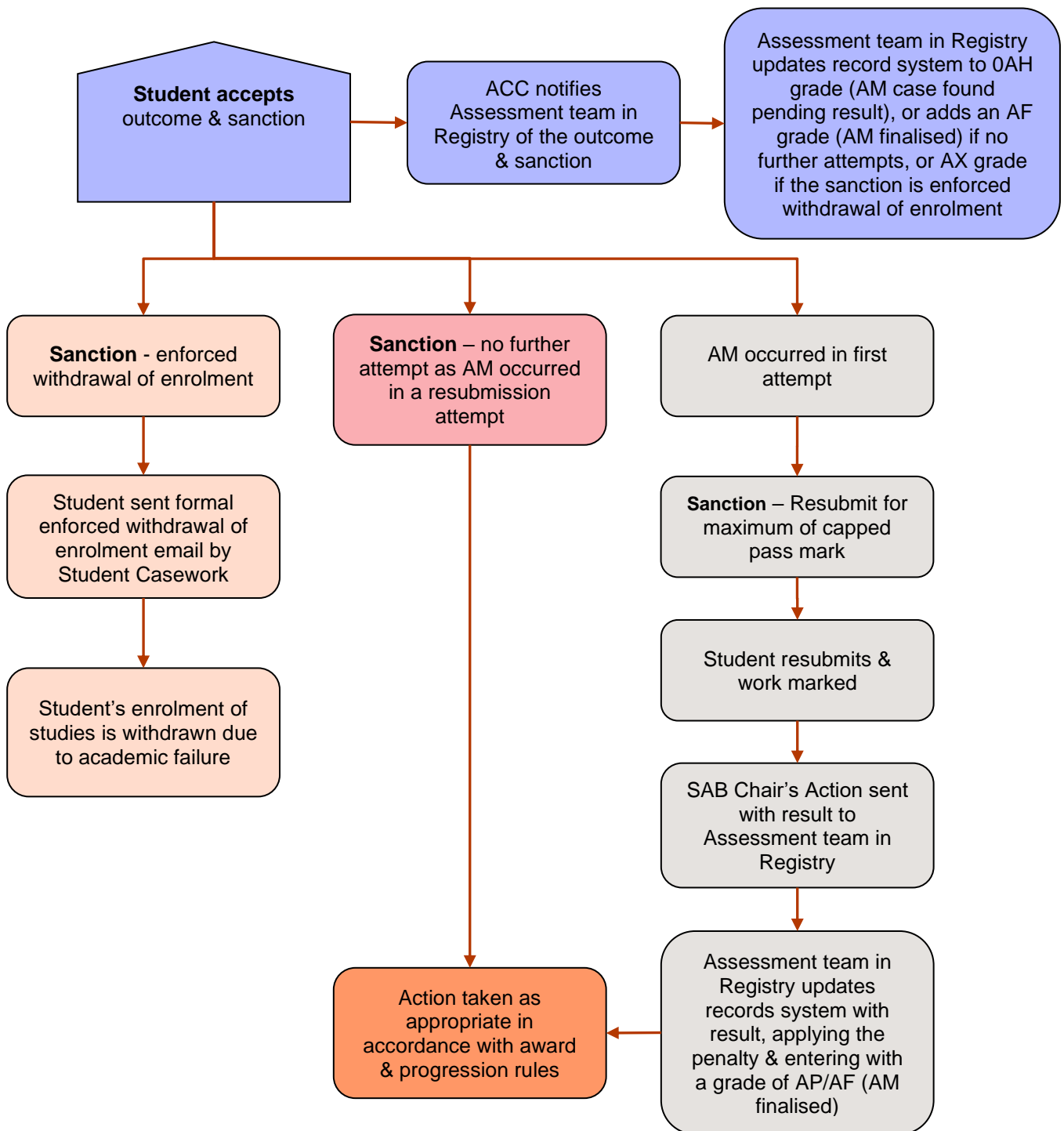
27.16.1 Academic misconduct in programmes of study leading to an award of York St John University delivered by a partner organisation through a validation arrangement will be dealt with as follows:

### Arrangements

- The partner organisation will follow its own procedures for hearing an academic misconduct case.
  - These procedures are approved by York St John University when the programme is validated.
  - Students should be able to access information about these procedures.
  - Students will receive the decision in the writing.
- 
- If a student is dissatisfied with the outcome, the student may submit a request in writing to the Vice Chancellor of York St John University that it be reviewed.
  - The student should do so **within 10 working days** of the date of the outcome letter.
  - The Vice Chancellor or nominee will review the case and will decide upon it. The Vice Chancellor may seek the advice of the Appeals and Conduct Committee.
  - The decision of the Vice Chancellor will be final. A 'Completion of Procedures' letter will be issued following the Vice Chancellor's decision.
  - If the student is still dissatisfied, the student may then refer the matter to the Office of the Independent Adjudicator for Higher Education as set out above.

## 27.17 Academic misconduct procedure flowchart







## Section 28 Turnitin policy

### 28.1 Purpose

- 28.1.1 This policy outlines the principles, processes, general rules and conventions relating to the use of Turnitin.

### 28.2 Policy

- 28.2.1 The University has a licence to use Turnitin with the following purposes:
- To provide students with support for identifying and avoiding possible academic misconduct.
  - To provide tutors with a tool to assist in detecting plagiarised material.
  - To provide a tool for assignment submission, enabling students to receive feedback on their work and provisional marks.
- 28.2.2 Where Turnitin is used as a submission point for electronic marking, assessment and feedback, all students' submitted work is likely to generate an originality report on matched text from other sources.
- 28.2.3 The University will provide a freely and privately accessible method for students to test their own written material through Turnitin. This will be accessed through a course within Moodle. Any material submitted to this self-checking mechanism will not be accessed by tutors unless with the individual student's permission.
- 28.2.4 The University will provide support for students who are concerned about referencing as a result of using Turnitin. Help on referencing is available from the Academic Liaison Librarians and help with submitting to Turnitin for students is available from Digital Training. All are part of Library and Learning Services (Directorate of Student Success and Learning Services).
- [Library guidance on referencing page](#)
  - [Library, Study and Digital Skills support page](#)
  - [Submitting work to Moodle page](#)
- 28.2.5 Tutors using Turnitin in the context of a module section on Moodle will advise students that this process is being undertaken. Turnitin will normally be used formatively in the context of a module and there should, therefore, normally be opportunities for final submission of a revised piece of work.
- 28.2.6 Tutors will not routinely submit all of a group's work for checking and/or run all final submissions through Turnitin for checking.
- 28.2.7 Students will be told (normally at entry to the University through the regulations) that individual pieces of work suspected of plagiarism may be submitted to Turnitin as part of the investigation process.
- 28.2.8 Tutors may use Turnitin to check a student's work for potential plagiarism where this is suspected. If this is done, they will present the originality report and academic misconduct form to the student for comment alongside the original work when they invoke the University's academic misconduct procedures (refer to [section 27](#)).
- 28.2.9 Students will be advised to use only their student ID number when submitting work through Turnitin and to avoid any details which will compromise their privacy. They will be advised that the work may be retained under the University's name in the Turnitin database and may be used for academic misconduct investigations concerning other students after they have left the University.
- 28.2.10 If a tutor is asked by another user of Turnitin (internal or external) to supply a copy of a past or present student's work, they should consult the Academic Registrar. If the user is internal, the Academic Registrar will normally grant permission for the sharing of such data.
- 28.2.11 The Academic Registrar will consider giving permission to an external user if the work is necessary to establish academic misconduct. If permission is given, the recipient will be asked to confirm in writing the purpose for which the paper is required, commit themselves to preserving the confidentiality of the material and the destruction of the material on completion of an investigation.

## Section 29 Feedback policy

### 29.1 Definitions

- 29.1.1 **Feedback:** Feedback is included in summative assessment to explain and justify assessment judgements. It is an indicator of where the work being assessed currently sits in relation to the published assessment criteria or rubric. It should be focused on what is currently being successfully demonstrated to the assessor. The term 'feedback' may also reference such comments provided by the student's peers, external sources, themselves, and other university staff such as academics, library support, technical staff, and postgraduate researchers. The term feedback is frequently used generally to include feedforward as recognised effective practice.
- 29.1.2 **Feedforward:** This should indicate where a student can aim to improve their work, based on the assessment criteria or rubric, with clear and constructive suggestions on how the student can achieve these improvements. It is expected that feedforward should be used in all formative activities to develop learning.

### 29.2 Overview

- 29.2.1 Feedback is information about the merits of and any areas for development in a piece of work. In the case of summative assessment, feedback is also specifically related to the criteria and standards for assessment. Feedback is also intended to be formative – supporting learning, prompting reflection, facilitating improvement, and helping to develop students' evaluative skills. In addition to feedback at the point of summative assessment, formative feedback should be provided by staff and by peers throughout a module.
- 29.2.2 The University provides templates and guidance on feedback but does not insist upon a uniform 'Feedback' form.
- 29.2.3 Feedback given to students should incorporate the outcomes of internal marking and moderation processes but should not be written in a way that identifies the different stages. For example, internal moderators' comments should not be provided separately to students but rather recorded on an agreed template which is then made available to the external examiner.

### 29.3 Principles of feedback

- 29.3.1 The University's feedback principles emphasise:
- A programme-level approach to feedback.
  - Student self-evaluation.
  - Dialogue between students, tutors, and peers.
  - The importance of formative feedback and 'feedforward'.
- 29.3.2 The University's feedback principles are:
- Developing a shared understanding of assessment and feedback within staff teams and students to create a coherent programme-level approach.
  - Supporting students to develop evaluative expertise, self-regulation of their learning and to be able to articulate judgement about their own work and the work of others.
  - Designing formative activities that provide students with feedback which they can act upon within a module.
  - Enabling students to solicit feedback on areas that matter most to them to more specifically direct future learning (for example, through using assignment coversheets, feedback forms, dedicating time in class for assessment discussions).
  - Designing feedback strategies that require students to engage in dialogue with Module Directors/Leads and peers to stimulate reflection on their learning.
  - Supporting students to synthesise feedback from a variety of sources to develop longer term personal and professional development plans.
  - Staff should not use AI tools to generate feedback on student assessments and must not submit students' assessments to AI tools.

## **29.4 Feedback on examination scripts**

- 29.4.1 Examination scripts are the property of the University and will not be released to students. Nevertheless, students are entitled to receive feedback on examination performance in the same way as they are entitled to feedback on other assessed work, while the comments of their examiners on examination scripts are regarded as a student's personal data. Comments on examination scripts must align with the feedback principles. All written comments should be written on a separate document which can be returned to the student.

## **29.5 Disclosure of marks and feedback**

- 29.5.1 Provisional marks will be disclosed to students so that feedback is provided to students as close to the completion of the assessment as possible. All marks must be clearly accompanied by the word 'provisional', and the student made aware that the mark is not ratified until completion of the School Assessment Board.

## **29.6 Feedback and return of marks to students**

- 29.6.1 Where there is more than one marker, to ensure consistency of feedback, the Module Director/Lead should check a sample of feedback prior to feedback being released to students.
- 29.6.2 A record of the processes and outcomes of internal moderation for each module should be kept and provided to the external examiner. Advice on use of Moodle and Turnitin to support the process is provided by the TEL team. For more information, please visit our [Moodle](#) and [Turnitin](#) pages.

## Section 30 Marking scales and assessment conventions

### 30.1 Overview of the assessment scheme

#### Credits

- 30.1.1 Credits awarded or recognised by the University count only once for the purpose of progression and award. Work submitted for 1 module may not be submitted for another module.

#### Reassessment

- 30.1.2 Normally the maximum mark for the module available on re-examination is a capped mark of 40 for undergraduate/graduate level modules, and a capped mark of 50 for postgraduate level modules.
- 30.1.3 If a module is failed after all available reassessment attempts and where the original first attempt module failure mark is higher than the module reassessment mark, the highest failure mark is retained as the final module mark, with the exception for modules with qualifying marks (refer to [section 30.1.17](#)) or where an 'RG' grade was given at first attempt (refer to [section 30.1.21](#))

#### Compensating marks

- 30.1.4 The compensation assessment scheme normally applies to students who started their programme from 1 September 2020.
- 30.1.5 A failure mark may be eligible to be compensated if a student enrolled on a programme leading to an award has attained a failure mark within the compensable range.
- The compensable mark range for undergraduate and graduate levels is 30-39.
  - The compensable mark range for postgraduate levels is 45-49.
- 30.1.6 To be eligible for marks to be compensated the student must have a credit-weighted average for the level of at least 40 for Levels 3-6 and at least 50 for Level 7.
- 30.1.7 Modules stated as non-compensable on the programme specification cannot be compensated and must be passed to remain on the programme.
- 30.1.8 Marks for modules that have been compensated count towards progression requirements and the final degree classification calculation.
- 30.1.9 There is a limit of:
- 20 credits that can be compensated at each level of an undergraduate or within a graduate programme.
  - 30 credits that can be compensated within a postgraduate programme (refer to [section 36.2](#) for exceptions to this).
- 30.1.10 Credit is awarded for the module if a module failure mark is compensated.
- 30.1.11 Compensation is automatically applied to an eligible mark identified after all attempts at the assessment have been completed. However, students may, if they wish to exercise their right to opt-in to compensation at first attempt, not complete the reassessment if eligible. Students eligible to compensate at first attempt will be notified of this through their progression statement. If the compensated module is not reassessed and/or the mark is not improved the compensated mark will stand and be shown on the transcript with a grade PC 'Pass through compensation'.
- 30.1.12 If compensated the module mark remains and is not raised to the pass mark.
- 30.1.13 Worked examples of using compensation can be found in [section 31.3](#) (undergraduate progression) and [section 36.4](#) (postgraduate award).

#### Module failure

- 30.1.14 Failure in a module with a mark at first attempt lower than 30 (undergraduate/graduate) or 45 (postgraduate) cannot be compensated and **must** be reassessed to attempt to meet the progression or award requirements.
- 30.1.15 Normally one reassessment attempt is available for each assessment. There are some circumstances where a third attempt is offered to undergraduate students; this is set out in [section 31.7](#).

- 30.1.16 The sanction for not attempting a resit in such a module, or for not raising the mark to meet the progression or award requirements following resit, may be an enforced withdrawal of enrolment due to academic failure and a bar on progressing to the next level of the programme of study. Normally where this arises students' enrolment is withdrawn due to academic failure at the School Assessment Board. Following failure of a non-compensable module, students are not normally permitted to continue to complete other assessments in an attempt to achieve an exit award by accumulating more credit.

### Modules with assessment component qualifying marks

- 30.1.17 Some modules may require students to reach a specified standard in one or more assessment components within a module. This requires approval by the Quality and Standards Committee and should only be for cases where this is required by a Professional, Statutory and Regulatory Body or where the item(s) of assessment are the only items of assessment which measure a 'Programme Learning Outcome' (PLO). The standard required is referred to as a **qualifying mark**. The qualifying mark required for each component is specified on the module specification. A module is deemed a failure if an assessment component qualifying mark is not achieved even if the overall module mark calculates above the pass mark.
- 30.1.18 A qualifying failure grade (QF) is given at first attempt where a student has achieved the mark of 40 or more for undergraduate/graduate level modules and 50 or more for postgraduate level modules but has not achieved the qualifying mark for one or more components.
- 30.1.19 If at reassessment the student achieves the qualifying mark required on the individual components, they had previously failed, the student will be awarded the overall module mark achieved in their first attempt. Where a student fails to achieve the necessary qualifying mark on one or more of the individual components the overall module mark will be capped at 39 for undergraduate/graduate level modules and 49 for postgraduate modules.
- 30.1.20 Undergraduate example:

#### First attempt

Assessment	Component % Weighting	Qualifying mark for component	Student's component marks at first attempt	Module mark calculation
Examination	30%	20	18	$18 \times 0.3 = 5.4$
Essay	70%	20	66	$66 \times 0.7 = 46.2$
Final module mark				<b>52 QF</b>

In this example there is a qualifying mark of 20 in each component. Although these component marks calculate to a mark of 50QF which is above the pass mark of 40 the student will need to resit the examination as the mark for the examination component is 18 and therefore the student has not met the qualifying mark requirement of a mark of 20 in each component.

#### Reassessment attempt scenarios

Student's action	Effect on raw module mark	Effect on final module mark
Student resits and passes the examination with a mark of 45	The raw module reassessment mark would calculate to 60	The student is not able to improve their mark through reassessment but has successfully met the qualifying mark requirements so can now be awarded the original mark before reassessment, for example, 52. The module mark would become a <b>capped pass at 52P</b> (rather than a reassessment capped at 40).
Student resits and fails the examination with a mark of 25	The raw module reassessment mark would calculate to 54	The student is not able to improve their mark through reassessment but has successfully met the qualifying mark requirements, even though the examination component mark is still a failure so can now be awarded the original mark before reassessment, for example, 52. The module mark would become a <b>capped pass at 52P</b> (rather than a reassessment capped at 40).

Student's action	Effect on raw module mark	Effect on final module mark
Student resits and fails the examination with a mark of 18	The raw module reassessment would calculate to 52	As the student has not met the qualifying mark requirement to raise the examination mark of 18 to 20 or greater, then the student has failed the module overall. The module mark would become <b>a failure capped at 39F</b>
Student does not resit the examination and a mark of zero is given for the non-attendance	The raw module reassessment mark would remain 52 based on the first attempt mark	As the student has not met the qualifying mark requirement to raise the examination mark of 18 to 20 or greater, then the student has failed the module overall. The module mark would become <b>a failure capped at 39F</b>

### Rules for pass/fail assessment components

- 30.1.21 Where a module is assessed by a mixture of a pass/fail assessment component(s) and assessment component(s) given marks there are specific rules about the capping of the final module mark after resit.
- 30.1.22 The final module mark will not be capped after resit where a student, at first attempt, passed the component given a mark but failed the grade only component, and then subsequently passed the reassessment of the grade only component. This will mean that the academic achievement in the module obtained by the mark is retained and will be used in progression and award calculations, thereby not disadvantaging a student by failure of what is often a skills or procedural graded component.
- 30.1.23 Resits required for pass/fail components where the other components have been passed are given an RG grade at first attempt to indicate that a resit of the pass/fail component(s) is required.
- 30.1.24 Where the component given a mark has been failed at first attempt, this rule does not apply and the module mark will be capped at reassessment if the resits are successful.
- 30.1.25 **Example 1**

Assessment component	First attempt mark and grade	Reassessment attempt mark and grade
Essay (100% weighting) Given mark	60 P	-
Practical (0% weighting) Given pass/fail grade only	Fail F	Pass P
Module mark and grade after First attempt	60 RG	
Final module mark and grade after resit		60 Pass

### Example 2

Assessment component	First attempt mark and grade	Reassessment attempt mark and grade
Essay (100% weighting) Given mark	28 F	40 P
Practical (0% weighting) Given pass/fail grade only	Fail F	Pass P
Module mark and grade after First attempt	28 F	
Final module mark and grade after resit		40 Pass

### Example 3

Assessment component	First attempt mark and grade	Reassessment attempt mark and grade
Essay (100% weighting) Given mark	28 F	40 P
Practical (0% weighting) Given pass/fail grade only	Pass P	-
Module mark and grade after First attempt	28 F	
Final module mark and grade after resit		40 Pass

#### Example 4

Assessment component	First attempt mark and grade	Reassessment attempt mark and grade
Essay (100% weighting) Given mark	58 P	-
Practical (0% weighting) Given pass/fail grade only	Fail F	Fail FG
Module mark and grade after First attempt	58 RG	
Final module mark and grade after resit		39 F

## 30.2 Marking schemes

- 30.2.1 Each module must carry one numerical mark **rounded to the nearest whole integer** on the University fixed marking scale unless the module is designated as pass/fail.
- 30.2.2 Assessments exempt from the University fixed marking scale are:
- Those where PSRB requirements prevent fixed scale marking from being used. A clear rationale must be provided.
  - Where an assessment is scored following a numeric calculation, for example, a class test containing short answers or a multiple-choice exam.
  - Where an assessment is only given a pass/fail result.
- 30.2.3 Approval of such assessments by the Quality and Standards Committee is only granted where there is a compelling rationale for the approach.
- 30.2.4 The University fixed marking scale uses a 0-100 judgemental scale.
- 30.2.5 Where a module is made up of several components, the weightings for individual components are specified on the module specification. Pass/fail components do not contribute to the overall module mark but if not passed would result in the overall module mark and grade being recorded as a failure. After failure at reassessment the maximum mark available would be 39F (undergraduate) and 49F (postgraduate).
- 30.2.6 Credit will be awarded upon receiving a pass mark and/or grade for the module, or where a failure mark is compensated provided the failure is not a qualifying failure with a QF grade at first attempt.

### Undergraduate and graduate Levels 4 to 6 and foundation Level 3

- 30.2.7 The fixed marks for assessments at Levels 3 to 6 are set out in the table below:

Mark (%)	Standard
100, 98, 95, 92, 88, 85, 82, 78, 75 72	First class standard
68, 65, 62	2:1 standard
58, 55, 52	2:2 standard
48, 45, 42	Third standard
40	Threshold pass mark
38, 35, 32, 28, 25, 22, 18, 15, 12, 8, 5, 2, 0	Fail

- 30.2.8 The module mark scale for Levels 3 to 6 is set out in the table below:

Mark range	Honours Degree (indicative class)	Non-Honours (indicative result)
70-100	Class I	Pass with distinction
60-69	Class II Division i	Pass with merit
50-59	Class II Division ii	Pass
40-49	Class III	Pass
0-39*	Fail	Fail
Pass mark	40	40

\* A failure mark of 30-39 is potentially eligible to be compensated (refer to [section 30.1](#))



- 30.2.9 The maximum mark available for the module on successful re-examination is 40 for the final module mark (a capped pass), except for modules with qualifying marks (refer to [section 30.1.17](#)).

### **Integrated Master's Level 7**

- 30.2.10 The fixed marks for assessments at integrated master's Level 7 are set out in the table in [section 30.2.12](#) below.
- 30.2.11 The module mark scale for Level 7 modules that form part of an Integrated Master's degree is set out in the table below:

Mark range	Honours Degree (indicative result)
<b>70-100</b>	Class I
<b>60-69</b>	Class II Division i
<b>50-59</b>	Class II Division ii
<b>0-49*</b>	Fail
<b>Pass mark</b>	<b>50</b>

\* Note in Level 7 a failure mark of 45-49 is potentially eligible to be compensated (refer to [section 30.1](#))

- 30.2.12 The maximum mark available for the module on successful re-examination is 50 for the final module mark (a capped pass), except for modules with qualifying marks (refer to [section 30.1.17](#)).

### **Taught postgraduate Level 7 and doctorate Level 8**

- 30.2.13 The fixed marks for assessments at postgraduate Level 7 and 8 are set out in the table below:

Mark	Standard
<b>100, 98, 95, 92, 88, 85, 82, 78, 75 72</b>	Distinction standard
<b>68, 65, 62</b>	Merit standard
<b>58, 55, 52</b>	Pass standard
<b>50</b>	Threshold pass mark
<b>48, 45, 42, 38, 35, 32, 28, 25, 22, 18, 15, 12, 8, 5, 2, 0</b>	Fail

- 30.2.14 The module mark scale for postgraduate Level 7 and 8 modules is set out in the table below:

Mark range	Taught postgraduate (indicative result)
<b>70-100</b>	Pass with distinction
<b>60-69</b>	Pass with merit
<b>50-59</b>	Pass
<b>0-49*</b>	Fail
<b>Pass mark</b>	<b>50</b>

\* A failure mark of 45-49 is potentially eligible to be compensated (refer to [section 30.1](#))

- 30.2.15 In the case of Postgraduate Certificate or Diploma programmes from which transfer to a Master's programme is possible, a student is expected to achieve an overall Master's pass mark in a specified number of modules before recommendation for a transfer may be made.
- 30.2.16 The maximum mark available for the module on successful re-examination is 50 for the final module mark for (a capped pass), except for modules with qualifying marks (refer to [section 30.1.17](#)).

## Section 31 Undergraduate progression

### 31.1 Compensation requirements

- 31.1.1 The University operates a 'compensation' assessment model for progression and award as documented in [section 30](#).
- 31.1.2 This in general terms means allowing marginal failure in up to 20 credits per level to be 'compensated' by achievement in other modules in the same level. If a student is eligible to compensate a failed module(s) the credit is awarded. Compensation can only be applied after 120 credits for the level have been attempted.

### 31.2 Progression requirements

- 31.2.1 A student progresses from one level of the programme to the next level for which they are enrolled, provided they continue to satisfy the University progression requirements for their programme.
- 31.2.2 Students may not normally progress from one level to the next of a programme of study unless they have satisfactorily completed the previous level.
- 31.2.3 A student cannot progress to the next level of study where a module which is designated as non-compensable has been failed. Modules designated as non-compensable for a programme of studies are stated in the programme specification. Students should check with their Programme/Course Lead or Programme Administration and Support Service (PASS) team if they are unsure whether modules are non-compensable.
- 31.2.4 Undergraduate students must successfully achieve 120 credits at each level of their programme of studies for successful progression and award and pass all zero-credit modules that are compulsory for progression.
- 31.2.5 Minimum satisfactory completion of an undergraduate level of a programme of study normally requires a student to:

Minimum undergraduate progression requirements (Levels 3-6)
Pass at least 100 credits in the level.
Obtain a mark between 30-39 for the remaining 20 credits, in order for the credits to be compensated (if eligible to be compensated).
Achieve a credit-weighted level average of at least 40.
Pass all modules that are marked on a pass/fail basis that are compulsory for progression.
Pass all modules indicated as non-compensable as stated on the programme specification.
Satisfy any additional, specific requirements of the programme of study as specified on the programme specification.

### 31.3 Examples of applying compensation rules to undergraduate progression decisions

31.3.1 Refer to [section 35.3.11](#) to view a worked example of how to calculate a credit-weighted average for a level.

31.3.2 **Example 1 – Undergraduate student on a programme where all modules are compensable**

Module	First Attempt Mark	Grade	Credits	Compensable (X) or non-compensable (NC)
Module A	56	P	20	X
Module B	48	P	20	X
Module C	50	P	20	X
Module D	37	R	20	X
Module E	44	P	20	X
Module F	48	P	20	X
CWA =	47	Total passed =	100	

#### Progression decision making process

- 100 credits have been passed.
- Module D is compensable and the failure mark of 37 for Module D is in the undergraduate compensable range (between 30 and 39).
- The credit-weighted average for the level is 47 which is above the minimum undergraduate mark of 40.

**Progression decision:** The student has met the level progression requirements for their programme and can progress without resitting Module D. The grade for Module D will be updated from R (Resit) to PC (Compensated Pass), 37R will become 37PC. Credit is awarded for the compensated pass giving 120 credits for the level.

31.3.3 **Example 2 – Undergraduate student on a programme where some modules are non-compensable**

Module	First Attempt Mark	Grade	Credits	Compensable (X) or non-compensable (NC)
Module A	56	P	20	X
Module B	48	P	20	X
Module C	50	P	20	NC
Module D	37	R	20	NC
Module E	44	P	20	X
Module F	48	P	20	X
CWA =	47	Total passed =	100	

#### Progression decision making process

- 100 credits have been passed.
- Module C is non-compensable and has been passed.
- Module D is non-compensable and has been failed at first attempt – therefore the resit must be taken and passed to meet the programme progression requirements.
- The credit-weighted average for the level is 47 which is above the minimum undergraduate mark of 40.

**Progression decision:** The student must resit Module D. If the student passes the resit, they will receive a capped mark of 40P for the module and can progress to the next level as all the programme progression requirements have been met. This will raise the level credit-weighted average to 48, and credit is awarded for the resit passed giving 120 credits for the level.

If the student fails the resit, they will not meet the progression requirements. The student may be eligible for a third attempt to redeem the failure (refer to [section 31.7](#)).

### 31.3.4 Example 3 – Undergraduate student on a programme where some modules are compensable

Module	First Attempt Mark	Grade	Credits	Compensable (X) or non-compensable (NC)
Module A	40	P	20	X
Module B	44	P	20	X
Module C	35	R	20	NC
Module D	22	R	20	X
Module E	40	P	20	X
Module F	48	P	20	X
CWA =	38	Total passed =	80	

#### Progression decision making process

- Only 80 credits have been passed.
- Module C is non-compensable and has been failed at first attempt – therefore the resit must be taken and passed to meet the programme progression requirements.
- Module D is compensable and has been failed at first attempt – the resit must be taken to raise this to a mark of a minimum mark 30.
- The credit-weighted average for the level is 38 which is below the minimum undergraduate mark of 40.

**Progression decision:** The student must resit Module C and Module D.

- If the student passes both resits, they will receive a capped mark of 40P for each module, this would raise the credit-weighted level mark to 42. Credit is awarded for the resits passed giving 120 credits for the level. The student can progress to the next level as all the programme progression requirements have been met.
- If the student passes the resit for Module C and fails Module D with a mark of 35, they would be able to compensate the module mark for Module D as it is in the compensable range (30-39) and the level credit-weighted average would be raised to 41. Credit is awarded for the resit passed for Module C and for the compensated pass for Module D giving 120 credits for the level. Module D will be given a final mark and grade of 35PC. The student would meet the programme progression requirements and can progress to the next level.
- If the student fails the resit for Module C (with a mark less than 40) they would not meet the progression requirements as this is a non-compensable module and must be passed. This would apply even if the student passed Module D. The student may be eligible for a third attempt to redeem the 20-credit failure for Module C if Module D was passed (refer to [section 31.7](#)).
- If the student passes the resit for Module C and fails Module D with a mark of 29 or lower, they would not have achieved a mark in the compensable range (30-39) for Module D and would not meet the progression requirements. The student may be eligible for a third attempt to redeem the failure (refer to [section 31.7](#)).

## 31.4 Progression from Level 6 to Level 7 on an Integrated Master's Degree

- A student must meet the higher progression threshold, a credit-weighted average of 50 for Level 6, to continue onto Level 7 on the Integrated Master's Degree.
- A student who fails to meet the threshold for progression to the Integrated Master's Degree programme will, if eligible, be awarded the relevant Bachelor's Degree as a lower exit award.

## 31.5 Progressing to study abroad

- Students progressing to a period of study abroad must meet the progression requirements set out in [section 17.2](#) prior to commencing study abroad.

## 31.6 Conditional progression

- 31.6.1 With approval from the School Assessment Board, students may be permitted to conditionally progress to the next level of study with 100 credits. A student progressing with 100 credits must successfully pass all the University progression requirements by an early reassessment deadline in **October**, or within 5 weeks of the progression point for non-standard entry points.
- 31.6.2 In the case of a late result module (designated on the appropriate programme specification, where the result of a first attempt is not known in time for the June SAB or equivalent) students may be permitted to conditionally progress to the next level provided that they have met the conditional progression credit requirements stated above, and successfully pass all the University progression requirements by an early reassessment deadline in October, or within 5 weeks of the progression point for non-standard entry points.
- 31.6.3 If a student fails to meet the progression requirement by the reassessment deadline in October, or within 5 weeks of the progression point for non-standard entry points, and they are eligible for a further attempt at the failed assessment(s), a Stage 4 Support to Study Panel will be convened.
- The Support to Study Panel will determine whether the student is to complete the outstanding assessment(s) externally or whether they should be permitted an exceptional period of conditional progression to January, or within 3 months of the conditional progression reassessment deadline for non-standard entry points.
  - If the student completes the outstanding assessment(s) externally and is successful in doing so, they will recommence the next level of study in the following academic year.
  - If the student is granted an exceptional extended period of conditional progression and subsequently does not meet the progression requirements, they will be required to cease attending the next level. All outstanding assessment(s) will be completed externally, including any resits or deferred first attempts from the next level, where applicable. If successful, the student will then re-join the next level of study in the following academic year at the point they ceased attending.
  - The impact on fees and funding will be discussed as part of the Support to Study meeting.
- 31.6.4 If a student is unsuccessful in meeting the progression requirements for their intended programme following the period of conditional progression but is eligible to transfer to an exit programme, they will be automatically transferred to the exit programme.
- 31.6.5 If a student is unsuccessful in meeting the progression requirements and is subsequently eligible to either restart their programme or repeat modules to redeem failure, they will be required to suspend their studies with the intention of re-joining at the beginning of the next entry point (normally September).
- 31.6.6 A student returning from study abroad may be permitted to progress to the next level of study with credit outstanding where there is a delay in the availability of the marks from a study abroad institution. A student's mark profile and progression decision will be reviewed as soon as all marks are available. Where reassessment is required following the conversion of the marks, returning study abroad students may be given a later reassessment deadline, normally **3 weeks** from approval of an alternative assessment by the School and **5 weeks** from the notification of failure by Registry.
- If a student is required to complete more than 40 credits of reassessment, then the student will be required to complete outstanding reassessments externally before re-joining the next level if successful. This may result in a period of suspension.
- 31.6.7 A student on a degree apprenticeship programme or other non-standard entry programme may be permitted to progress to the next level of study with credit outstanding, with their mark profile and progression decision to be reviewed as soon as all marks are available. This is determined at validation through the programme structure.

## 31.7 Third attempt for progression

- 31.7.1 With approval from the School Assessment Board, undergraduate students in Level 3, Level 4 and Level 5 who fail their progression requirement may be permitted a third attempt for a failed module(s), provided the following criteria are met:
- a) All first and second attempts for all modules for the level have been agreed, and an end of level progression decision can be considered.
  - b) The student has failed no more than 20 credits, where that failure cannot be compensated, and that if compensated would permit progression to the next level.
  - c) For a programme with professional body regulations, that a third attempt is permitted. Exemptions are stated on the [programme specification](#).
  - d) The module is not exempt from third attempts, as stated on the module specification.
- 31.7.2 Third attempts for progression are not available:
- a) To students whose failure is due to academic misconduct.
  - b) To students who have repeated a module(s) part time to redeem progression failure.
  - c) To students studying freestanding modules for credit.
  - d) For placement modules
  - e) Where the level of study is the final level of the award (for example, Level 5 for Diploma of Higher Education students).
- 31.7.3 Third attempts are not permitted in the final year of study for award of the intended or an exit award.
- 31.7.4 The maximum mark for the module available on reassessment is a capped mark of 40.
- 31.7.5 If a student subsequently fails the third attempt the following applies:
- a) Level 3 and Level 4 students cannot be offered a programme restart.
  - b) Level 4 and Level 5 students may be offered the option to repeat the module part time to retrieve failure if the criteria are met (refer to [section 31.9](#)).

### Timing of third attempt

- 31.7.6 Normally students would conditionally progress to the next level of study in September and must pass the University progression requirements by an early reassessment deadline in October (or within 5 weeks of the progression point for non-standard entry points).
- 31.7.7 Students unable to meet the conditional progression point due to a deferral would normally complete the third attempt as an externally resitting student. If students successfully pass the progression requirement, they will re-join the next level at the beginning of the next entry point (normally September).

## 31.8 Transfers to alternative programmes

- 31.8.1 A student who fails a module that is non-compensable but has met the University's standard progression requirements may be eligible to transfer to an alternative programme at the end of Level 3, Level 4 or Level 5. Where transfer arrangements to an alternative programme exist, this is stated within the programme specification.

## 31.9 Repeating modules part time to retrieve failure

- 31.9.1 With approval from the School Assessment Board, undergraduate students in Level 4 and Level 5 who fail their progression requirement may be permitted to repeat the study for failed module(s) as a part time student the following year, provided the following criteria are met:
- a) All first and second attempts for all modules for the level have been agreed, and an end of level progression decision can be considered.
  - b) The student has failed no more than 40 credits, and that if passed would permit progression to the next level.
  - c) Any ability to study part time must be in accordance with any external requirements placed on the student by bodies other than the University.
  - d) The programme, or eligible alternative programme, is available the following year.
  - e) The student will not exceed their maximum period of study (refer to [Regulation 1.15](#)).

- 31.9.2 Part time repeat study is not available:
- Where an academic misconduct sanction was to enforce withdrawal of enrolment.
  - To students studying freestanding modules for credit.
  - To student-visa holders.
  - If the module is a placement.
  - Where a Level 4 student previously restarted Level 4 on the same programme.
  - Students cannot repeat the same level as a part time student on more than one occasion to redeem progression failure.
- 31.9.3 Modules may be repeated if the failure was due to academic misconduct, provided the criteria above are met and the academic misconduct sanction was not enforced withdrawal of enrolment.
- 31.9.4 Students may not repeat a module that has been passed to gain a higher mark.
- 31.9.5 Level 4 students who are eligible to repeat modules may also alternatively be eligible to restart their programme (refer to [section 31.10](#) for eligibility). If a full programme restart option is requested by the student instead of the part time study option, all module results for the level are voided and cannot be reinstated at a later date. Teaching and assessments must be repeated for all modules in the level as part of the programme restart.
- 31.9.6 If a Level 4 student fails the level progression requirement following completion of part time study, they are not then subsequently eligible to restart the programme.
- 31.9.7 Students are eligible for an uncapped mark if they successfully pass the repeated module at first attempt. If unsuccessful at first attempt of a repeated module students are eligible for a capped reassessment opportunity.
- 31.9.8 The original module failure marks will be voided and cannot be reverted to at a later date.
- 31.9.9 A 'Change of programme' form is not required, although the Registry will communicate the change of mode of attendance with the student's funding body, which may impact on the funding available.
- 31.9.10 As the level progression requirement has not been met, failed modules are repeated as a part time internal student and cannot be completed concurrently alongside the next level. Students repeating failed modules(s) as a part time student cannot commence study for the next level's modules until the progression requirements are met, with the exception detailed below in [section 31.9.11](#). The next level will commence the following academic year once the failed modules have been successfully repeated, and progression requirements have been met.
- 31.9.11 For students where part time study is not possible (for example, international students or for students with no extra year's funding remaining), Schools can recommend to the Special Cases Panel that a Level 4 student repeats up to 20 credits alongside completing Level 5. It is expected that this option will only be used where part time study cannot be offered.
- 31.9.12 All teaching and assessment activities must be completed as scheduled while repeating modules as a part time internal student. Attendance and engagement will be monitored as normal. It is not the expectation that alternative assessments would be required.
- 31.9.13 Internal repeat fees for tuition will be charged for the repeated study.
- 31.9.14 Where permissible within the specific regulations for a programme of study, as set out in the programme specification, a student may substitute a failed optional module for an alternative optional module when repeating study part time.
- 31.9.15 It will not normally be permissible to replace a module repeat with an Independent Learning Unit (ILU). In cases where the failed module is not running and there are no suitable alternatives an ILU may only be used if there is teaching attached to it. For example, the student is to attend the teaching for a lower level module as part of the ILU but complete the assessment as the higher level. Refer to [section 12](#) for more information on ILUs.
- 31.9.16 The modules to which a student returns to study part time may be different in some respects from their original module. The University may make changes arising from academic review, staff changes, external requirements, or resource constraints (refer to [section 2.1.10](#)). Where the original module(s) are no longer available the Programme/Course Lead will advise on suitable alternative modules to ensure the level progression requirements are met.



## 31.10 Recommendations to restart a programme

- 31.10.1 A School Assessment Board may recommend that a student in in Level 3 or Level 4 restarts their programme of study if they have failed either Level 3 or Level 4 and would otherwise have their enrolment withdrawn due to academic failure. For this to apply:
- a) Students must still be current (that is, they have not withdrawn); **and**
  - b) Students must have failed no more than 60 credits after reassessment; **and**
  - c) Students who have failed 60 credits at Level 4, or 40 credits at Level 3, must have submitted at least 1 assessment at first attempt in the remaining credits; **and**
  - d) Students must not have failed the level after previously repeating modules on a part time basis as detailed in [section 31.9](#); **and**
  - e) Students must not have failed the level after an unsuccessful third attempt to redeem progression failure as detailed in [section 31.7.5](#); **and**
  - f) The student must not have previously restarted Level 3 or Level 4 at the University; students may only 'restart' their studies once; **and**
  - g) The student must not have had an academic misconduct sanction to enforce withdrawal of enrolment; **and**
  - h) Students who wish to restart on a different programme must seek approval from the new programme team and complete the necessary 'Change of Programme' form; **and**
  - i) The programme does not comprise entirely of one level, for example, Level 3 Foundation Certificate or Level 4 Certificate of Higher Education.
- 31.10.2 [Section 31.10.1 \(c\)](#) above does not apply to students who have received approval for suspension of studies with a restart on resumption, or to students who have received approval for a change of programme with restart, or where a restart has been recommended as part of a Support to Study Stage 4 meeting.
- 31.10.3 Students who successfully progressed to Level 4 from a foundation year (Level 3) and then fail Level 4 can be recommended to restart Level 4 if they have not previously restarted Level 3 and if the criteria above are met.
- 31.10.4 There is no automatic right for undergraduate Degree Apprenticeship students to restart Level 4 of their programme. As their study is tied with their employment, their employer must be consulted and confirm support for a restart of studies. If a Degree Apprenticeship student is failing their first year, the School should discuss this with the employer and apprentice in advance of the School Assessment Board. If the employer supports a restart and the apprentice agrees then a recommendation to restart their studies would be made by the School Assessment Board (SAB). If the employer does not support a restart, then a recommendation will be made by the SAB to enforce withdrawal of enrolment due to academic failure.
- 31.10.5 There is no automatic right for undergraduate students studying professional programmes with professional, statutory, or regulatory body requirements, to restart Level 4 of their programme. Where this applies it is recorded on the [programme specification](#). The School Assessment Board (SAB) may make a recommendation for restart for individual students.
- 31.10.6 Following approval at the School Assessment Board students are notified of this progression decision. Students are given the opportunity to accept this offer to restart their programme and must respond to accept the offer by the deadline provided. Students who do not respond to accept this offer by the deadline, or students who decline this offer, will have their enrolment withdrawn due to academic failure (enforced withdrawal) in line with their original academic performance.
- 31.10.7 Tuition fees are charged for the repeat year/semester following approval to restart a programme. The student should be advised by the School to seek advice on funding implications from the Student Funding Advice team.
- 31.10.8 Where a student suspends studies within the first year.
- If the student is re-joining the programme at the point where the suspension occurred, repeat teaching and assessment is usually not necessary (for example, suspending in January and re-joining the following January).
  - If the suspension occurs early in the first semester (defined as before week 7), it will not involve substantial repeat teaching and so it is not considered a programme restart (for example, suspending in early November 2024 and returning the following September).

- If the suspension occurred in or after week 7 of the student's first semester, it would involve substantial repeat teaching and it will be considered a programme restart (for example, started suspension in January and returning the following September).

- 31.10.9 Where a programme restart is not offered and the student considers they have justification for poor performance, the School may apply to the Special Cases Panel, or the student may appeal via the 'Appeals Policy' (refer to [section 48](#)).
- 31.10.10 Module marks from previous study may still be shown on the student's transcript. These marks would be shown as voided, and these will not be used for progress or award calculations.
- 31.10.11 Information relating to the process for repeating individual modules is detailed in [section 15](#).

## 31.11 Recommendations to repeat study

- 31.11.1 There is no automatic right to repeat a full level of study beyond the programme restart options above. Students may be eligible to repeat individual modules and the criteria for this are detailed in this section.
- 31.11.2 Repeat study may only be recommended where a student is able to complete their studies within the maximum period of study.
- 31.11.3 In appropriate circumstances, the University may grant a student the right to repeat a level. This decision will usually be made where the student provides evidence that the original period of study was affected by serious exceptional circumstances.
- 31.11.4 Decisions on repeating the level are made either by the University Assessment Board through its Special Cases Panel, through the Appeals and Conduct Committee, or by such other mechanism as the University may put in place.
- 31.11.5 The School Assessment Board (SAB) can make a recommendation to the University Assessment Board through the Special Cases Panel to vary a decision it would otherwise take in relation to a student's progression, on the basis that the student was affected by exceptional circumstances at the relevant time. Evidence of exceptional circumstances is required.
- 31.11.6 The SAB completes the 'Application for Special Cases' form and returns the form with the supporting evidence to the Special Cases Panel. The SAB should clearly state if the level is to be repeated for capped or uncapped marks.
- E: [specialcases@yorks.ac.uk](mailto:specialcases@yorks.ac.uk)
- 31.11.7 The deadline for receipt of paperwork by the Special Cases Panel is detailed in [section 44.3](#).
- 31.11.8 A repeat will only be approved if the student is current. That is, the student's record has not been withdrawn, or the student has not voluntarily withdrawn, or the student's enrolment has not been withdrawn due to academic failure (enforced withdrawal). In such cases the student would need to follow the 'Appeals Policy' and procedure (refer to [section 48](#)). The 'Appeals Policy' and procedure requires the student to provide evidence of exceptional circumstances affecting their academic performance up to that point.
- 31.11.9 Tuition fees are charged for the repeat year/semester.
- 31.11.10 Module marks from previous study may still be shown on the student's transcript. These marks would be shown as voided, and these will not be used for progress or award calculations.
- 31.11.11 Information relating to the process for repeating individual modules is detailed in [section 15](#).

## 31.12 Failure to meet progression thresholds

- 31.12.1 A student who is not successful in the final attempt to meet the progression requirements or award requirements of a programme of study after all assessment opportunities have been exhausted, will have their enrolment withdrawn due to academic failure.
- 31.12.2 Subject to the provisions of the relevant programme specifications, students who have not met the progression requirements for an undergraduate award may be deemed to be eligible for an exit award as defined within the programme specification, if they have met the requirements of that award. Students who have transferred credit into a university award may not be eligible for an exit award. Further details of the eligibility to use external credit towards an exit award can be found in [section 34](#). A student who has been granted an exit award in such circumstances and has exhausted all assessment opportunities as specified in the [University Regulations](#) is not normally permitted to progress to a further attempt at the higher award.
- 31.12.3 Students have **10 working days from the publication of results** to submit their appeal. Details of the 'Appeals Procedure' can be found in [section 48](#).

## 31.13 Progression outcome summary

31.13.1 The following table outlines the progression outcomes for undergraduate programmes:

Progression decision	Description
<b>Progress</b>	A student has passed 120 credits at the current level of study and may progress to the next level.
<b>Progress through compensation of failure</b>	A student has passed 100 credits at the current level of study, has met the criteria for compensating the failure in the remaining 20 credits and may progress to the next level without reassessment.
<b>Resit / Reassessment</b>	A student has not satisfied the progression criteria for the level of study due to academic failure and is required to complete reassessment(s) in the resit period.
<b>Sit / Deferral</b>	A student has not satisfied the progression criteria for the level of study due to approved exceptional circumstances for a first attempt and is required to complete the outstanding assessment(s) in the resit period.
<b>External resit (without residence)</b>	A student has not satisfied the progression criteria for the level of study due to academic failure and is required to complete the outstanding assessment(s) externally during the following academic year with the intention of re-joining the next level of study if successful after the following academic year.
<b>Part time repeat module study</b>	A student has failed up to 40 credits of study at Level 4 or Level 5 and is required to study these modules on a part time basis to meet progression requirements. Refer to <a href="#">section 31.9</a> for full details.
<b>Conditional progression</b>	A student has not satisfied the progression criteria for the level of study due to outstanding first attempt assessment(s) or reassessment(s) but has met the conditional progression requirement to provisionally proceed to the next level. Refer to <a href="#">section 31.6</a> for full details.
<b>Third attempt for progression</b>	A student has not satisfied the progression criteria for Level 3, or Level 4, or Level 5 of study due to academic failure and meets the criteria to be offered a third attempt for the failed module(s). The student is required to complete reassessment(s) in the designated resit period. This may also involve conditional progression or external resit (without residence). Refer to <a href="#">section 31.7</a> for full details.
<b>Transfer</b>	A student has not satisfied the programme-specific progression criteria for the level but has met criteria detailed in the programme specification to transfer to an alternative programme, and the student has met the standard university progression level criteria.  Or the student has satisfied the progression criteria for the level of study and is permitted to transfer to another programme at the same level.
<b>Restart programme</b>	A student has failed up to 60 credits in Level 3 or Level 4 of study due to academic failure and meets the criteria to be offered a programme restart. The student may restart the same level on the same, or a different programme (requires change of programme approval). Refer to <a href="#">section 31.10</a> for full details
<b>Hold</b>	A student has not satisfied the progression criteria for the level of study as marks are not available, for example, due to an academic misconduct investigation.
<b>Enforced withdrawal</b>	A student has exhausted all reassessment opportunities and their enrolment on the programme of studies is withdrawn due to academic failure, or they will be unable to progress even if they are given resit opportunities due to early failure in a module.

31.13.2 Progression codes used within the records system can be referred to in [Appendix B](#).

## 31.14 Progression from a Foundation Degree to an Honours Degree

- 31.14.1 A student who has successfully met the requirements for a Foundation Degree or other undergraduate award at York St John University, completing all assessments as prescribed within the regulations, may subsequently be permitted to progress to a higher-level award notwithstanding Undergraduate [Regulation 2.13](#).

## 31.15 Notification of progression results

- 31.15.1 Progression and module results will be confirmed after the meeting of the last School Assessment Board.
- 31.15.2 Where progression is possible through compensation this will be automatically applied and the grade for the module(s) will reflect that it has been passed through compensation by a grade of PC. Students wishing to opt-in to compensate at first attempt and not complete the reassessment for a failure, must contact the Assessment team in Registry by the deadline stated in their communication.
- 31.15.3 Students with module failures will be notified of the requirements for reassessment following the last School Assessment Board. Students who have queries about their reassessment requirements are advised to contact their Programme/Course Lead directly. For more information, please visit the [Student Hub](#).
- 31.15.4 It is the student's responsibility to ensure they check their results through e:Vision to ensure they are aware of reassessment opportunities.
- 31.15.5 Information setting out reassessment requirements for modules will be provided by the School and is normally available on Moodle. For formal centrally organised examinations further information is provided on our [Examination page](#). Students should contact the Programme Administration and Support Service (PASS) team should they need more details and students with resit examinations will receive an email notification about the timetable.
- 31.15.6 The procedure to be followed for notification of results in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

## Section 32 Postgraduate and graduate progression

### 32.1 Progression

- 32.1.1 Postgraduate and graduate programmes are not normally subject to progression requirements. In those cases where a progression requirement has been approved for a programme, the progression rule is stated in the programme specification.
- 32.1.2 As postgraduate and graduate study is completed at a single stage compensation can only be applied, if necessary, once all the modules have been completed for the programme, with the exception of those programmes with additional progression points as stated in the programme specification.
- 32.1.3 Postgraduate students in Level 7 and Level 8 who fail their progression requirement are not permitted a third attempt for a failed module(s), unless approval is granted by the Special Cases Panel or the Appeals and Conduct Committee.

### 32.2 Recommendations to repeat study

- 32.2.1 There is no automatic right to repeat study for postgraduate or graduate programmes of study.
- 32.2.2 Repeat study may only be recommended where a student is able to complete their studies within the maximum period of study.
- 32.2.3 In appropriate circumstances, the University may grant a postgraduate or graduate student the right to repeat study. This decision will usually be made where the student provides evidence that the original period of study was affected by serious exceptional circumstances.
- 32.2.4 Decisions on repeating the study are made either by the University Assessment Board through its Special Cases Panel, through the Appeals and Conduct Committee, or by such other mechanism as the University may put in place.
- 32.2.5 The School Assessment Board (SAB) can make a recommendation to the Special Cases Panel to vary a decision it would otherwise take in relation to a student's record, on the basis that the student was affected by exceptional circumstances at the relevant time. Evidence of exceptional circumstances is required.
- 32.2.6 The SAB completes the 'Application for Special Cases' form and returns the form with the supporting evidence to the Special Cases Panel. The SAB should clearly state if the level is to be repeated for capped or uncapped marks.
  - E: [specialcases@yorks.ac.uk](mailto:specialcases@yorks.ac.uk)
- 32.2.7 The deadline for receipt of paperwork by the Special Cases Panel is detailed in [section 44.3](#).
- 32.2.8 A repeat will only be approved if the student is current. That is, the record has not been voluntarily withdrawn or the student's enrolment has not been withdrawn due to academic failure. In such cases the student would need to follow the 'Appeals Policy' and procedure. The 'Appeals Policy' and procedure requires the student to provide evidence of exceptional circumstances affecting their academic performance up to that point (refer to [section 48](#)).
- 32.2.9 Module marks from previous study may still be shown on the student's transcript. These marks would be shown as voided but these will not be used for progress or award calculations.
- 32.2.10 Information relating to the process for repeating individual modules is detailed in [section 15](#).

## Section 33 Reassessment

### 33.1 Expectations

33.1.1 Reassessments will usually be reworked first assessments rather than new assessments, except where:

- A student has been found culpable of academic misconduct.
- The assessment was an examination.
- The assessment is a multiple-choice assessment.
- A Professional, statutory and regulatory body (PSRB) requires a new assessment to be used.

Students who are unable to rework their first attempt as they did not submit, are usually required to complete the original assessment as their reassessment. A new assessment does not normally need to be set unless it is listed in the exceptions above.

33.1.2 If a student is asked to submit a new piece of work for the reassessment due to the exceptions set out above, and then submits exactly the same piece of original work for reassessment, this would be classed as self-plagiarism and would be academic misconduct (refer to [section 27](#)).

33.1.3 Students may not resit an assessment on a module that has been passed to gain a higher mark.

33.1.4 Students may elect to complete the reassessment for a failed assessment on a module that has received a compensated pass grade at first attempt to gain a capped pass mark. Students wishing to do so must contact the Assessment team in Registry by the deadline communicated to them with their results notification.

33.1.5 Information relating to eligibility for third attempt reassessments is found in [section 31.7](#).

33.1.6 Module reassessment information is published on the relevant Moodle page. Reassessment information for programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

33.1.7 Resits are normally undertaken in the next reassessment period, Or the next available examination period for centrally organised examinations.

33.1.8 Reassessment periods are confirmed in the Examination and Assessment Schedule published on the University's Key Dates [website](#). For non-standard programmes and collaborative partners (franchise and validated) reassessments should be timed in relation to the School Assessment Board (SAB) that the module results are agreed at. The reassessment date should be no earlier than 3 weeks, and no later than 6 months, after the SAB.

33.1.9 Schools have the discretion to schedule resits for programmes that contain placements in a later resit period rather than the next consecutive resit period, due to placement timings.

33.1.10 Students must be available for resit opportunities as scheduled. Students must attend any in-person resits at the designated campus location on the scheduled date and must meet resit deadlines for handing in assessments.

33.1.11 Any assessments or reassessments to be taken to meet conditional progression requirements, including third attempts, are usually scheduled to take place by the conditional progression deadline stated in the [Examination and Assessment Schedule](#) or a deadline will be determined by the University Assessment Board.

33.1.12 If a student's enrolment is withdrawn due to academic failure, outstanding reassessment attempts due to be resubmitted or reassessed after this date are no longer required and will not be processed.

### 33.2 Rules for Level 6 reassessment

33.2.1 The protocol for scheduling Level 6 reassessments for finalists is laid out in the table below.

33.2.2 Students on Integrated Masters programmes with Level 6 reassessments should refer to the conditional progression information in [section 31.6](#). Students who have failed more than 40 credits at first attempt may be offered staggered external resits as laid out in the table below, this will delay progression to Level 7.



Credit failure	Protocol and example
<b>Failure of up to 40 credits</b>	<p>Finalist students with Level 6 first attempt failures of up to 40 credits should be offered a reassessment opportunity in the next resit period.</p> <p>Example: A student fails 40 credits in Semester 1 and resits at Easter, and then fails a further 40 credits in Semester 2 and resits in August.</p>
<b>Failure of 60 credits in first semester</b>	<p>Where a finalist student fails 60 credits in Semester 1, it is acknowledged that completing all resits and the work for Semester 2 at once could be detrimental to the student's chances of success. In such cases, the School Assessment Board (SAB) may identify 40 credits for resubmission in the normal resit period and an extended deadline for 20 credits into the next resit period normally in August (this may differ for non-standard entry programmes).</p> <p>The SAB would make a decision taking account of programme requirements in respect of non-compensable modules; marks that are near the pass mark; the <a href="#">University Regulations</a>; and take a decision at the SAB.</p> <p>Registry will email a progression statement with the details and deadlines of staggered reassessments.</p> <p>Example: A student fails 60 credits in Semester 1 and resits 40 credits at Easter, and the further 20 credits in August</p>
<b>Failure of 60 credits in second semester</b>	<p>Where a finalist student fails 60 credits in Semester 2 or has outstanding resits from Semester 1 and has additional failures in Semester 2 which total more than 60 credits, it is acknowledged that completing all resits at once could be detrimental to the student's chances of success. In such cases, the SAB may identify 40 credits for resubmission in the normal resit period and an extended deadline for credits to the Academic Registrar's deadline in January.</p> <p>The SAB would take account of programme requirements in respect of non-compensable modules, marks that are near the pass mark, the <a href="#">University Regulations</a> and take a decision at the SAB.</p> <p>Example: A student already has 20 credits from Semester 1 to resit in August and fails a further 40 credits in Semester 2 – student completes resits for 40 credits in August, and resits for 20 credits from Semester 2 in January.</p>
<b>External resits</b>	<p>Where the SAB considers that it would not be in the student's best interests to take resits while completing new modules in Semester 2, the SAB may advise the student to suspend their studies at the end of Semester 1 and to take <b>external resits</b>, which will normally be completed by January of the following academic year before recommencing study for Semester 2.</p>
<b>Programmes delivered on a non-standard entry basis</b>	<p>Programmes not delivered in semesters should be discussed with the Assessment team in Registry.</p>

### 33.3 Reassessment fees

- 33.3.1 No charge applies for reassessments, with the exception of the reassessment for a teaching placement.

### 33.4 Student support for reassessments

- 33.4.1 Students resitting assessments will normally have received feedback on their first submission. It is intended that this feedback will provide guidance to students on areas to develop for their resubmission. Students may wish to seek clarification or further guidance on this feedback, but this must be agreed and arranged with tutors in advance.
- 33.4.2 A range of study skills and wellbeing support during resubmissions and resits is available from student support teams. To find out how to access this help, students can search Submit to Succeed in the [Student Hub](#) online portal.

### 33.5 Placement years and years in industry

- 33.5.1 Reassessment opportunities in relation to work placements or years in industry are not normally available.



## Section 34 Implications of recognition of prior learning (RPL) and award

- 34.1.1 The University position on non-standard qualifications, credit transfer and the recognition of prior learning (RPL), certificated and experiential, for admissions purposes is detailed in the Admissions Policy.
- 34.1.2 The University operates a curriculum which is specified in terms of programme learning outcomes detailed within the relevant programme specifications.
- 34.1.3 The University welcomes applications which include requests for advanced standing, and which can be accommodated within the parameters set out by the University Regulations.
- 34.1.4 The maximum amount of prior credit which a student may claim towards a York St John University award is as follows:

Award	Maximum prior credit or accredited prior experiential learning	Credit that must be studied on a York St John University programme
<b>Professional Doctorate / Doctor of Education</b>	90 credits at Level 8	90 credits at Level 8 Stage 1, plus Stage 2 of the programme
<b>Doctorate of Counselling Psychology</b>	180 credits at Level 8	360 credits at Level 8
<b>Master of Fine Arts (School of Arts)</b>	160 credits at Level 7	80 credits at Level 7
<b>Master's Degree</b>	120 credits	60 credits at Level 7 or above
<b>Master's Degree Occupational Therapy (Pre-registration) *</b>  * Royal College of Occupational Therapists (RCOT) requirement	60 credits	120 credits at Level 7 or above
<b>Postgraduate Diploma</b>	80 credits	40 credits at Level 7 or above
<b>Postgraduate Certificate</b>	40 credits	20 credits at Level 7 or above
<b>Postgraduate Certificate in Education</b>	0 credits	Full programme
<b>Integrated Master's Degree</b>	240 credits	240 credits at Level 6 and above
<b>Bachelor's Degree with Honours</b>	240 credits	120 credits at Level 6 or above
<b>Bachelor's Degree with Honours (Pre-registration Nursing) *</b>  * Nursing Midwifery Council (NMC) requirement - only registered nurses can RPL more than 50% of the programme	180 credits (if not a currently registered nurse)	180 credits, including at least 60 credits at Level 5 and 120 credits at Level 6
	240 credits (if currently a registered nurse)	120 credits at Level 6 or above
<b>Ordinary Bachelor's Degree</b>	200 credits	100 credits, including at least 60 at Level 6 and 40 at Level 5
<b>Graduate Diploma</b>	60 credits	60 credits at Level 6 or above
<b>Graduate Certificate</b>	30 credits	30 credits at Level 6 or above
<b>Professional Graduate Certificate in Education</b>	0 credits	Full programme for exit award
<b>Foundation Degree</b>	120 credits	120 credits at Level 5

Award	Maximum prior credit or accredited prior experiential learning	Credit that must be studied on a York St John University programme
<b>Diploma of Higher Education</b>	120 credits	120 credits at Level 5
<b>Certificate of Higher Education</b>	60 credits	60 credits at Level 4
<b>University Diploma</b>	0 credits	Full programme
<b>University Certificate</b>	0 credits	Full programme
<b>Foundation Certificate – International</b>	0 credits	Full programme
<b>Foundation Certificate</b>	0 credits	Full programme

\* This table is provided as a guide, and some programmes with professional body requirements may have limits on the amount of credit that can be transferred into the programme. Please check the programme specification for details

- 34.1.5 Students will need to undertake some study in all the semesters that they are enrolled for to satisfy programme registration and attendance requirements.
- 34.1.6 Where the University has accepted previous credit awarded by another institution to a student, it is not the University's policy to include marks attached to such credit in degree classification. Only results obtained from York St John University will be used to calculate degree classifications. In certain cases, it may be necessary to propose variations on normal degree classification arrangements, for example, classification on the final year of results only.
- 34.1.7 Where the University has accepted previous credit successfully achieved by a student, if that student subsequently has their enrolment withdrawn by the University or voluntarily withdraws without reaching the full credit required for the intended award, only credit achieved at the York St John University will be used to calculate eligibility for an exit award.
- 34.1.8 Where the University has accepted previous credit awarded by York St John University and the student has returned to the same programme of study all results obtained will be used to calculate degree classifications (refer to [sections 35](#) and [36](#) for information relating to the calculation of classifications). Any previously awarded credits or exit awards will be voided and the student asked to return their certificate and transcript. Where a student has returned to a different programme of study marks attached to previously awarded credit will not be used to calculate degree classifications.

## Section 35 Undergraduate, graduate and foundation awards

### 35.1 Eligibility for award

- 35.1.1 The criteria for eligibility for undergraduate, graduate or foundation awards are set out in the [Regulations for Undergraduate Awards](#).

### 35.2 Credit requirements for award

- 35.2.1 Credit requirements for undergraduate, graduate and foundation programmes are set out in the table below. These will be used in conjunction with programme specific rules detailed on the programme specification, for example, where modules must be passed and cannot be compensated. Modules indicated as non-compensable in the programme specification cannot be compensated for a lower exit award. Exit awards may only be awarded where stated on the programme specification.

Further details of the eligibility to use external credit towards an exit award can be found in [section 34](#).

Modules identified as non-compensable on programme specifications cannot be compensated to obtain exit awards.

Award	Credits taken	Credit requirement for award
<b>Integrated Master's Degree with Honours</b>	480	<ul style="list-style-type: none"> <li>Awarded 480 credits</li> <li>Including at least 120 credits at each of Levels 4, 5, 6 and 7</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit at each of Levels 4, 5, and 6 for the failure to be compensated (to a maximum of 20 credits per level)</li> <li>Where eligible, a minimum mark of 45 must be achieved for any failed credit at Level 7 for the failure to be compensated (to a maximum of 20 credits per level)</li> <li>No more than 240 external credits at Levels 4 and 5</li> </ul>
<b>Graduate Diploma</b>	120	<ul style="list-style-type: none"> <li>Awarded 120 credits at Levels 5 and 6</li> <li>Including at least 80 credits at Level 6</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit to be compensated (to a maximum of 20 credits)</li> <li><i>Credits cannot be compensated to contribute to this as an exit award</i></li> <li>No more than 60 external credits at Level 5 and 6</li> </ul>
<b>Professional Graduate Certificate in Education (exit award)</b>	60	<ul style="list-style-type: none"> <li>Awarded 60 credits at Level 6</li> <li>Including passing all placement modules</li> <li><i>Credits cannot be compensated to contribute to this as an exit award</i></li> <li>No external credits can contribute to this as an exit award</li> </ul>
<b>Graduate Certificate</b>	60	<ul style="list-style-type: none"> <li>Awarded 60 credits at Levels 5 and 6</li> <li>Including at least 40 credits at Level 6</li> <li><i>Credits cannot be compensated to contribute to this as an intended or exit award</i></li> <li>No more than 30 external credits at Level 5 and 6</li> </ul>

Award	Credits taken	Credit requirement for award
<b>Bachelor's Degree with Honours</b>	360	<ul style="list-style-type: none"> <li>Awarded 360 credits</li> <li>Including 120 credits at each of Levels 4, 5 and 6</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit at each level for the failure to be compensated (to a maximum of 20 credits per level)</li> <li>No more than 240 external credits at Levels 4 and 5</li> </ul>
<b>Ordinary Degree of Bachelor (exit award)</b>	300	<ul style="list-style-type: none"> <li>Awarded 300 credits</li> <li>Including at least 120 credits at each of Levels 4 and 5 and at least 60 credits at Level 6</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit at Levels 4 and 5 for the failure to be compensated (to a maximum of 20 credits per level)</li> <li><i>Credits cannot be compensated at Level 6 to contribute to this as an exit award</i></li> <li>No more than 200 external credits at Levels 4 and 5. Students entering Level 6 with 240 external credits cannot achieve this as an exit award</li> </ul>
<b>Foundation Degree</b>	240	<ul style="list-style-type: none"> <li>Awarded 240 credits</li> <li>Including 120 credits at each of Levels 4 and 5</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit at each level for the failure to be compensated (up to a maximum of 20 credits per level)</li> <li>No more than 120 external credits at Level 4</li> </ul>
<b>Diploma of Higher Education</b>	240	<ul style="list-style-type: none"> <li>Awarded 240 credits</li> <li>Including 120 credits at each of Levels 4 and 5</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit to be compensated (up to a maximum of 20 credit per level)</li> <li>No more than 120 external credits at Level 4</li> </ul>
<b>Certificate of Higher Education</b>	120	<ul style="list-style-type: none"> <li>Awarded 120 credits at Level 4</li> <li>Where eligible, a minimum mark of 30 must be achieved for any failed credit to be compensated (up to a maximum of 20 credit per level)</li> <li>No more than 60 external credits at Level 4</li> </ul>
<b>University Diploma</b>	60	<ul style="list-style-type: none"> <li>Awarded 60 credits at Levels 4 and 5</li> <li>Including at least 40 credits at Level 5</li> <li><i>Credit cannot be compensated to contribute to this award</i></li> <li>No external credits can contribute to this award</li> </ul>
<b>University Certificate</b>	40	<ul style="list-style-type: none"> <li>Awarded 40 credits at Level 4</li> <li><i>Credit cannot be compensated to contribute to this award</i></li> <li>No external credits can contribute to this award</li> </ul>
<b>Foundation Certificate – International</b>	120	<ul style="list-style-type: none"> <li>Awarded 120 credits at Level 3</li> <li><i>Credit cannot be compensated to contribute to this award</i></li> <li>No external credits can contribute to this award</li> </ul>
<b>Foundation Certificate (exit award)</b>	40	<ul style="list-style-type: none"> <li>Awarded 40 credits at Level 3</li> <li><i>Credit cannot be compensated to contribute to this award</i></li> <li>No external credits can contribute to this award</li> </ul>

\* Additional criteria for award may be specified in the [programme specification](#).

## 35.3 Undergraduate, graduate and foundation award mark calculations

35.3.1 Classification depends on the performance of the student in modules contributing to the award. It is calculated on the basis of a credit-weighted average of marks across an award, unless otherwise specified in the programme specification.

35.3.2 Integrated Master's and Bachelor's Degrees with Honours are classified as follows:

Classification	Overall weighted mark
<b>Class I</b>	70 or above
<b>Class II Division i</b>	60-69
<b>Class II Division ii</b>	50-59
<b>Class III</b>	40-49
<b>Fail</b>	0-39

35.3.3 The **Ordinary degree of Bachelor** is not given a classification and is awarded with a 'pass' based on credit accumulation.

35.3.4 Undergraduate awards other than Honours Degrees, including Foundation Degrees, Foundation Certificates, and graduate awards may be pass/fail awards or may be awarded with merit or distinction\*, as follows:

Award	Overall weighted mark
<b>Distinction</b>	70 or above
<b>Merit</b>	60-69
<b>Pass</b>	40-59
<b>Fail</b>	0-39

\* In exceptional cases where specified in a programme specification, the award classification may vary from the standard classifications

### Classification calculation method

35.3.5 Level 4 (and Level 3 if applicable) marks are excluded from the classification calculation for Integrated Master's and Bachelor's programmes.

35.3.6 Level credit-weighted averages are calculated and rounded to 2 decimal places.

35.3.7 For intended award classifications two award mark calculations are made using different level-weightings except for programmes which are a single level. The student is entitled to the better of the results to determine the class to be awarded.

Programme	Calculation 1	Calculation 2
<b>Integrated Master's</b>	Uses equal weightings of the final 3 levels (Levels 5, 6 and 7)	Uses a double weighting of the final 2 levels (Levels 6 and 7) and a single weighting of the second level (Level 5)
	<i>Direct entrants to Level 6</i> Uses equal weightings of the final 3 levels (Levels 6 and 7)	<i>Direct entrants to Level 6</i> Uses a double weighting of the final 2 levels (Levels 6 and 7)
<b>Bachelor's</b>	Uses equal weightings of the final 2 levels (Levels 5 and 6)	Uses a double weighting of the final level (Level 6) and a single weighting of the second level (Level 5)
<b>Foundation Degree</b>	Uses equal weightings of both levels (Levels 4 and 5)	Uses a double weighting of the final level (Level 5) and a single weighting of the first level (Level 4)

Programme	Calculation 1	Calculation 2
<b>Diploma of Higher Education (intended award) *</b>	Uses equal weightings of both levels (Levels 4 and 5)	Uses a double weighting of the final level (Level 5) and a single weighting of the first level (Level 4)
<b>Certificate of Higher Education</b>	The award mark is calculated using the credit-weighted average for all modules	Not applicable
<b>Foundation Certificate</b>	The award mark is calculated using the credit-weighted average for all modules	Not applicable
<b>Graduate</b>	The award mark is calculated using the credit-weighted average for all modules	Not applicable

\* Classifications for an exit award of a Diploma of Higher Education are calculated based on the Level 5 credit-weighted average only.

- 35.3.8 Only results obtained from York St John University will be used to calculate degree classifications (refer to [section 34](#)).
- 35.3.9 Where an Integrated Master's student is awarded a Bachelor's degree as a lower exit award marks from Level 7 modules are not included in the Bachelor's degree calculation.
- 35.3.10 Exceptions to these arrangements will have been agreed by the Quality and Standards Committee for specific programmes or individuals and normally require classification based on final-level modules only, for example, through direct entry to Level 6 study through recognition of prior learning (RPL) or to a top-up degree.

#### Calculating credit-weighted averages for a level

- 35.3.11 To calculate a credit-weighted average for a level:
- Calculate the credit-weighted average for each level separately.
  - List the final module marks and the module credit values for the level (columns B and C in the Example 1 below).
  - Multiply each module mark by the module's credit value and enter that into column D. This gives the credit-weighted mark for each module.
    - Note that failure marks must also be included in this calculation – the failure mark is multiplied by the credit value for the module in the normal manner.
  - Total the number of credits in column C **excluding the credits for pass/fail modules**.
    - This is normally 120, but in some cases, it may be 100 or 110 if there is a pass/fail module or a module reflecting external credit with no numeric mark – refer to Example 2 below.
  - Total the weighted marks for all modules in the level (column E, Example 1 = 7,740).
  - Then divide total weighted marks by the total number of credits.
  - This gives a credit-weighted average mark **for the level**.
  - In Example 1 below the credit-weighted average for the level is 64.5
  - Weighting the module marks in this way gives greater emphasis to the marks for the larger modules.

### Example 1: Worked example for 120 credits in Level 5

A Modules for Level 5	B Mark	C Credit	Mark x Credit	D Weighted mark
Module A	44	10	44 x 10 =	440
Module B	55	20	55 x 20 =	1,100
Module C	44	10	44 x 10 =	440
Module D	66	40	66 x 40 =	2,640
Module E	78	40	78 x 40 =	3,120
<b>Total</b>		<b>120</b>		<b>7,740</b>

Credit-weighted average calculation for Level 5	
Total weighted mark / Total credits	
7,740 ÷ 120	64.50

### Example 2: Worked example for 120 credits in Level 5 where 10 credits are marked on a pass/fail basis

A Modules for Level 5	B Mark	C Credit	Mark x Credit	D Weighted mark
Module A	44	10	44 x 10 =	440
Module B	55	20	55 x 20 =	1,100
Module C	Pass	(10)	N/A	
Module D	66	40	66 x 40 =	2,640
Module E	78	40	78 x 40 =	3,120
<b>Total</b>		<b>110</b>		<b>7,300</b>

Credit-weighted average calculation for Level 5	
Total weighted mark / Total credits	
7,300 ÷ 110	66.36

### Calculating a credit-weighted average for a Bachelor's Degree classification

35.3.12 To calculate a degree award mark and classification:

- Follow the instructions in the section above to calculate the **Level 5 credit-weighted average**.
- Follow the instructions in the section above to calculate a separate **Level 6 credit-weighted average**.
- 2 further calculations now need to be made to calculate the level-weighted average marks.
- Calculation 1:
  - For the first award calculation (**Award calculation 1**) add the Level 5 and Level 6 credit-weighted averages together.
  - Then divide this total by 2.
  - This calculates an award level-weighted average (**Award calculation 1**) with a ratio of 1:1 (equal weighting for each level).
- Calculation 2:
  - For the second award calculation (**Award calculation 2**) it is necessary to double-weight Level 6 so that this contributes more to the degree classification calculation.
  - To calculate **Award calculation 2** – add the Level 5 credit-weighted average to the Level 6 credit-weighted average, and then add the Level 6 credit-weighted average again to this total.
  - Then divide this total by 3.
  - This calculates an award level-weighted average (**Award calculation 2**) with a ratio of 1:2 (Level 6 is weighted twice as much as Level 5).



**Example 3: Calculating a credit-weighted average for a Bachelor's Degree classification**

Example values – Bachelor's Degree	CWA level mark
Level 5 credit-weighted average (L5 CWA)	55.23
Level 6 credit-weighted average (L6 CWA)	68.66

Calculation method Bachelor's Degree		Example calculation	Award mark
Calculation 1 (level ratio 1:1)	$(L5\ CWA + L6\ CWA) \div 2$	$(55.23 + 68.658) \div 2 =$	61.94
Calculation 2 (level ratio 1:2)	$(L5\ CWA + L6\ CWA + L6\ CWA) \div 3$	$(55.23 + 68.658 + 68.66) \div 3 =$	64.18
The final weighted award mark is the higher result from the 2 calculations			64.18

**Example 4: Calculating a credit-weighted average for an Integrated Master's Degree classification**

35.3.13 Following the method outlined in [section 35.3.11](#) calculate the Level 5, Level 6 and Level 7 credit-weighted averages.

Example values – Integrated Masters	CWA level mark
Level 5 credit-weighted average (L5 CWA)	69.12
Level 6 credit-weighted average (L6 CWA)	75.01
Level 7 credit-weighted average (L7 CWA)	70.25

Calculation method Integrated Masters		Example calculation	Award mark
Calculation 1 (level ratio 1:1:1)	$(L5\ CWA + L6\ CWA + L7\ CWA) \div 3$	$(69.12 + 75.01 + 70.25) \div 3 =$	71.46
Calculation 2 (level ratio 1:2:2)	$(L5\ CWA + L6\ CWA + L6\ CWA + L7\ CWA + L7\ CWA) \div 5$	$(69.12 + 75.01 + 75.01 + 70.25 + 70.25) \div 5 =$	71.93
The final weighted award mark is the higher result from the 2 calculations			71.93

**Example 5: Calculating a credit-weighted average for a Foundation Degree classification**

35.3.14 Following the method outlined in [section 35.3.11](#) above calculate the Level 4 and Level 5 credit-weighted averages.

Example values – Foundation Degree	CWA level mark
Level 4 credit-weighted average (L4 CWA)	59.52
Level 5 credit-weighted average (L5 CWA)	65.37

Calculation method Foundation Degree		Example calculation	Award mark
Calculation 1 (level ratio 1:1)	$(L4\ CWA + L5\ CWA) \div 2$	$(59.52 + 65.37) \div 2 =$	62.45
Calculation 2 (level ratio 1:2)	$(L4\ CWA + L5\ CWA + L5\ CWA) \div 3$	$(59.52 + 65.37 + 65.37) \div 3 =$	63.42
The final weighted award mark is the higher result from the 2 calculations			63.42

## 35.4 Undergraduate classifications thresholds

- 35.4.1 Classification credit and level weighted average marks are rounded to 2 decimal places. If a student's overall credit and level weighted average falls above the **classification threshold**, the higher classification will be awarded. The thresholds for Integrated Masters' and Bachelors' Degrees with Honours are as follows:

Classification	Overall weighted mark classification threshold
Class I	69.50
Class II Division i	59.50
Class II Division ii	49.50
Class III*	39.50

- 35.4.2 The thresholds for graduate awards, Foundation Degrees, Foundation Certificates and other non-Honours undergraduate awards are as follows:

Award	Overall weighted mark classification threshold
Distinction	69.50
Merit	59.50
Pass	39.50

## Section 36 Postgraduate taught award

### 36.1 Eligibility for award

- 36.1.1 The criteria for eligibility for a postgraduate taught award when are set out in the [Regulations for Taught Postgraduate Awards](#).
- 36.1.2 A student enrolled on a programme that confers professional status who does not meet the requirements of the intended award may nonetheless be eligible for a non-professional award. This would be detailed in the programme specification.
- 36.1.3 Students who have not achieved sufficient credit or the necessary standard for the award may be considered for the exit award as detailed on the relevant programme specification.

### 36.2 Credit requirements for award

- 36.2.1 Credit requirements for taught postgraduate programmes are set out in the table below. These will be used in conjunction with programme specific rules detailed on the programme specification, for example, where modules must be passed and cannot be compensated. Modules indicated as non-compensable in the programme specification cannot be compensated for a lower exit award. Exit awards may only be awarded where stated on the programme specification.
- 36.2.2 Further details of the eligibility to use external credit towards an exit award can be found in [section 34](#).
- 36.2.3 Further details of the credit requirements for these awards can be found in the [Regulations section 11 Credit Framework for Awards](#).

Award	Credits taken	Credit requirement for award
<b>Professional Doctorate/ Doctor of Education</b>	180	<ul style="list-style-type: none"> <li>Passed 180 credits at Level 8 (Part 1) – successful completion allows progression to the research stage (Part 2) to be considered by the Transfer Panel set up under the <a href="#">Research Degree Regulation</a>.</li> <li>Credits cannot be compensated to contribute to this award</li> <li>No more than 90 external credits at Level 8</li> </ul>
<b>Doctorate of Counselling Psychology</b>	540	<ul style="list-style-type: none"> <li>Passed 540 credits at Level 8</li> <li>Credits cannot be compensated to contribute to this award</li> <li>No more than 180 external credits at Level 8</li> </ul>
<b>Master's in Fine Art (School of Arts)</b>	240	<ul style="list-style-type: none"> <li>Awarded 240 credits at Level 7</li> <li>Credits cannot be compensated to contribute to this award</li> <li>No more than 160 external credits at Level 7 or above</li> </ul>
<b>Master's Degree</b>	180	<ul style="list-style-type: none"> <li>Awarded 180 credits at Level 7</li> <li>Where eligible, a minimum mark of 45 must be achieved for any failed credit to be compensated (up to a maximum of 30 credits)</li> <li>No more than 120 external credits at Level 7 or above</li> </ul>
<b>Postgraduate Diploma</b>	120	<ul style="list-style-type: none"> <li>Awarded 120 credits at Level 7</li> <li>Where eligible, a minimum mark of 45 must be achieved for any failed credit to be compensated (up to a maximum of 30 credits)</li> <li><i>Credits can be compensated to contribute to this as an exit award</i></li> <li><i>Credits from a dissertation or research project cannot be used to contribute towards this as an exit award</i></li> <li>No more than 80 external credits at Level 7 or above</li> </ul>
<b>Postgraduate Certificate in Education</b>	60	<ul style="list-style-type: none"> <li>Awarded 60 credits at Level 7</li> <li><i>Credits cannot be compensated to contribute to this award</i></li> <li>No external credit</li> </ul>

Award	Credits taken	Credit requirement for award
Postgraduate Certificate	60	<ul style="list-style-type: none"> <li>Awarded 60 credits at Level 7</li> <li>Credits cannot be compensated to contribute to this award</li> <li><i>Credits cannot be compensated to contribute to this as an exit award</i></li> <li><i>Credits from a dissertation or research project cannot be used to contribute towards this as an exit award</i></li> <li>No more than 40 external credits at Level 7 or above</li> </ul>

\* Additional criteria for award may be specified in the [programme specification](#).

### 36.3 Postgraduate award mark calculations

36.3.1 Classification depends on the performance of the student in modules contributing to the award. It is calculated on the basis of a credit-weighted average of marks across an award, unless otherwise specified in the programme specification.

36.3.2 Postgraduate awards are classified as follows:

Classification	Overall weighted mark
Distinction	70 or above
Merit	60-69
Pass	50-59
Fail	0-49

#### Classification calculation method

36.3.3 The credit-weighted average is calculated and rounded to 2 decimal places.

36.3.4 Only results obtained from York St John University will be used to calculate degree classifications (refer to [section 34](#)).

36.3.5 Exceptions to these arrangements will have been agreed by the Quality and Standards Committee for specific programmes or individuals and normally require classification based on particular modules only, for example, through direct entry to the programme through recognition of prior learning (RPL).

#### Calculating credit-weighted averages for a Master's programme

36.3.6 To calculate a credit-weighted average for the programme:

- List the final module marks and the module credit values in the level (columns B and C in the example below).
- Multiply each module mark by the module's credit value and enter that into column D. This gives the weighted mark for each module.
- Total the number of credits in column C (this should normally be 180, but in some cases, it may be 150 if there is a pass/fail module).
  - Note that failure marks must also be included in this calculation – the failure mark is multiplied by the credit value for the module in the normal manner.
- Total the weighted marks for all modules in the level (column E, example 11,280).
- Then divide total weighted marks by the total number of credits.
- This gives a credit-weighted average mark for the award.
- In the example below the credit-weighted average for the award is 62.67.
- Weighting the module marks in this way gives greater emphasis to the marks for the larger modules.

A Modules	B Mark	C Credit	Mark x Credit	D Weighted mark
Module A	57	30	57 x 30 =	1,710
Module B	55	30	55 x 30 =	1,650
Module C	63	30	63 x 30 =	1,890
Module D	69	30	69 x 30 =	2,070
Module E	66	60	66 x 60 =	3,960
Total		180		11,280

Credit-weighted average calculation	
Total weighted mark ÷ Total Credits	
11,280 ÷ 180	62.67

36.3.7 Refer to [section 36.3.6](#) to view a worked example of how to calculate a credit-weighted average for a postgraduate programme.

## 36.4 Examples of applying compensation rules to postgraduate award decisions

36.4.1 **Example 1 – Postgraduate student on a Master’s programme where all non-dissertation modules are compensable**

Module	First Attempt Mark	Grade	Credits	Compensable (X) or non-compensable (NC)
Module A	66	P	30	X
Module B	58	P	30	X
Module C	60	P	30	X
Module D	47	R	30	X
Module E	54	P	60	NC
CWA =	56.57	Total passed =	150	

### Award decision making process

- 150 credits have been passed.
- Module E (60 credit dissertation) is non-compensable and has been passed.
- Module D is compensable and the failure mark of 47 is in the postgraduate compensable range (between 45 and 49).
- The credit-weighted average for the programme is 56.57 which is above the minimum postgraduate mark of 50.

**Award decision:** The student has met the programme award requirements and can be awarded without resitting Module D. The grade for Module D will be updated from R (Resit) to PC (Compensated Pass), 47R will become 47PC. Credit is awarded for the compensated pass giving 180 credits for the programme.

36.4.2 **Example 2 – Postgraduate student on a Master’s programme where some non-dissertation modules are non-compensable**

Module	First Attempt Mark	Grade	Credits	Compensable (X) or non-compensable (NC)
Module A	66	P	30	X
Module B	58	P	30	X
Module C	60	P	30	NC
Module D	47	R	30	NC
Module E	54	P	60	NC
CWA =	56.57	Total passed =	150	

**Award decision making process**

- 150 credits have been passed.
- Module C and Module E are non-compensable and have been passed.
- Module D is non-compensable and the failure mark of 47 has been failed at first attempt – therefore the resit must be taken and passed to meet the Master’s programme award requirements.
- The credit-weighted average for the programme is 56.57 which is above the minimum postgraduate mark of 50.

**Award decision:** The student must resit Module D. If the student passes the resit, they will receive a capped mark of 50P for the module, and can be awarded the Master’s degree as all the programme award requirements have been met. In this example the credit-weighted award mark will change to 57.00. Credit is awarded for the resit passed giving 180 credits for the Master’s award.

If the student fails the resit, they would not meet the Master’s award requirements. If eligible (refer to the ‘programme specification’) the student would be awarded a lower exit award of the Postgraduate Certificate.

## 36.5 Postgraduate classifications thresholds

- 36.5.1 If a student’s overall credit-weighted average falls above the **classification threshold**, the higher classification will be awarded. The thresholds for Masters’ Degrees are as follows:

Classification	Overall credit-weighted mark classification threshold
Distinction	69.50
Merit	59.50
Pass	49.50

## Section 37 Aegrotat and posthumous awards

### 37.1 Aegrotat awards

- 37.1.1 In exceptional cases if a student is prevented by illness from completing a taught award, an unclassified Aegrotat award may be awarded by the University Assessment Board on the recommendation of the Chair of the School Assessment Board, or nominated representative, provided that:
- a) The student has fulfilled specified enrolment requirements, including the payment of relevant fees.
  - b) There is evidence that the student's attainment is such as to merit the award.
  - c) The award does not lead to an accredited professional qualification.
  - d) The University Assessment Board is satisfied that the student is unlikely to be able to return to complete their studies and that this award is the only option.
  - e) The student consents to this award having been provided with advice on the nature of the award being offered.
  - f) The external examiner supports the recommendation.
- 37.1.2 Schools are required to keep a record of all discussions with the student regarding the possibility of awarding an aegrotat and the considerations the student should consider when making this decision.

### 37.2 Posthumous awards

- 37.2.1 Posthumous awards may be made by the University Assessment Board for undergraduate and taught postgraduate students on the recommendation of the Chair of the School Assessment Board, or nominated representative, and with the support of the external examiner, and upon such evidence as the Board requires.

Posthumous awards may be made by the Research Degrees Examination Panel for professional doctorate students and research degree candidates on the recommendation of the main supervisor and with the support of the School Research Lead and upon such evidence as the Panel requires.

Criteria are not specified; each case is considered on its merits.

The University Assessment Board and Research Degrees Examination Panel have discretion to make the posthumous award for which the candidate was aiming, irrespective of the point reached in the programme of study. It may be classified or an Aegrotat award.



## Section 38 Apprenticeship policy: Gateway requirements and end-point assessment

### 38.1 Background

- 38.1.1 Assessment across the programme should focus on the Knowledge, Skills and Behaviours (KSBs) required by the Apprenticeship Standard and will culminate in the end-point assessment (EPA). Prior to undertaking the EPA, apprentices must meet the gateway requirements set out in the Apprenticeship Standard. This ensures that all apprentices have completed the mandatory aspects of the occupational standard and any work that underpins specified assessment methods. It also demonstrates that the employer believes the apprentice is occupationally competent at the point they pass the gateway.
- 38.1.2 The University operates the apprenticeship programmes within the Education and Skills Funding Agency (ESFA) regulations:
- [Apprenticeship funding rules for main providers](#)
  - [Conditions for being on the register of end-point assessment organisations](#)

### 38.2 End-point assessment (EPA)

- 38.2.1 The EPA is an independent assessment at the end of the apprentice's training that confirms they have reached occupational competence. This confirms that the apprentice can perform in the occupation they have been trained in and can demonstrate the KSBs set out in the occupational standard. It must include at least two forms of assessment, and these will be specified in the assessment plan for the apprenticeship standard.
- 38.2.2 The EPA can be taken in two ways:
- Non-integrated: These are conducted by independent End-Point Assessment Organisations (EPAO), contracted by the University and selected by the employer. The University cannot be the EPAO in a non-integrated degree/diploma/certificate that it delivers.
  - Integrated: The University acts as the EPAO, and the EPA is an integrated aspect of the degree/diploma/certificate. For this purpose, the University must be listed on the Register of End-Point Assessment Organisations (RoEPAO). The EPA must still deliver an impartial result - the assessor must be independent of the programme, employer, and apprentice.
- 38.2.3 For non-integrated apprenticeships, the apprentice must have passed their degree/diploma/certificate through successful completion of all credit bearing modules, to be put forward for the EPA. This is determined by the University. Successful completion of the degree/diploma/certificate does not constitute completion of the apprenticeship. This is only achieved when the degree/diploma/certificate and the non-credit bearing EPA module has been achieved.
- 38.2.4 For integrated apprenticeships, successful completion of the EPA also constitutes successful completion of the degree/diploma/certificate. In such cases, the final module(s) of the degree may constitute the EPA. Where this is the case, the assessment will need to meet the requirements of the EPA set out the apprenticeship Assessment Plan.
- 38.2.5 For integrated apprenticeships, modules that constitute the EPA are still subject to the University's standard marking and moderation criteria as set out in [section 24](#), as well as being assessed by the EPAO against the apprenticeship Assessment Plan. Degree apprentices would receive an individual module mark and an EPA grade. The module mark forms part of the calculation for the degree classification as per standard regulations.
- 38.2.6 End point assessment (EPA) marks and overall apprenticeship grades will be presented at the relevant School Assessment Board (SAB) following completion of the apprenticeship and will be reported to the Degree Apprenticeship Oversight Committee (DAOC).
- 38.2.7 Guidance on the process for aggregating the EPA overall mark to determine the apprenticeship grade is detailed in the End-point Assessment Plan for the relevant Apprenticeship standard. This should be considered as part of the design process for any new Apprenticeship programme.
- 38.2.8 The University is responsible for providing continued support to the apprentice until the EPA is completed.
- 38.2.9 All adult apprentices (aged 19 and over at the start of their apprenticeship training) will no longer be required to hold or achieve formal English and maths qualifications to complete their apprenticeship. Instead, their proficiency will be assessed through the development of occupationally relevant English and maths skills as part of their training. Apprentices aged 16 to 18 at the start of their apprenticeship will still be required to achieve English and maths qualifications to support their career progression.

- 38.2.10 For all degree/diploma/certificate apprenticeships, the alignment of the programme assessment strategy with the apprenticeship Assessment Plan is essential. The programme should include a range of formative and summative assessments which support both the achievement of the programme and prepare apprentices for the EPA.

### **38.3 Changing employer prior to or during the gateway period**

- 38.3.1 If an apprentice moves to a new employer prior to EPA, whether on programme or during gateway, the apprentice can only continue the programme and complete the EPA with the financial support of the new employer. In these circumstances the change of employer process must be followed, and advice sought from the Apprenticeship team.
- 38.3.2 Apprentices who have their apprenticeship agreement withdrawn by reason of redundancy who, on the day of dismissal, are within 6 months of the final day of the practical period OR have completed at least 75% of the practical period specified in the apprenticeship agreement, may continue their apprenticeship training without being employed under an apprenticeship agreement.
- 38.3.3 During the programme, if an apprentice becomes unemployed, self-employed as a sole trader, or becomes a shareholder / director with no separate identifiable person to undertake the role of employer, they will at that point no longer be eligible for funding and will thus be withdrawn from the apprenticeship.
- 38.3.4 The apprentice must be employed until the end-point assessment is completed. Consideration must be given to the potential time needed for any reassessment and / or retraining prior to re-taking the end-point assessment so the apprentice remains employed during this time. The only exception is where the apprentice has been made redundant.

### **38.4 Timeframe for EPA completion**

- 38.4.1 The EPA is a mandatory part of the apprenticeship which all apprentices must complete. It is expected that they will complete the EPA in the timeframes set out in the 'End-point assessment plan' from the Institute for Apprenticeships and in the programme specification. If students are unable to complete their EPA in the expected timeframe, they must follow the 'Exceptional Circumstances Policy' (refer to [section 13](#)).
- 38.4.2 In exceptional circumstances, apprentices may be allowed up to 24 months following the standard period of study for their programme to complete their EPA. This will be the maximum period of study as set out in the University Regulations or programme specification. Extensions beyond the maximum period of study must follow the University procedures set out in [section 14.7](#).

### **38.5 Suspension of studies during the gateway**

- 38.5.1 Students will still have access to some university IT systems and email, but will not have access to physical library facilities, during their period of suspension from the University, unless completing assessments. Access to other university support is not normally required and will therefore be restricted. For further information on suspension of studies refer to [section 5](#).

### **38.6 Gateway approval**

- 38.6.1 Gateway approval is the responsibility of the School in collaboration with the Apprenticeship team. Work Based Learning Tutors are responsible for conducting Gateway meetings with the apprentice and employer. Quality Assurance of this process is the responsibility of the Programme/Course Lead, Associate Head/Dean of School, and Head of Apprenticeships who will sign off Gateway forms together.
- 38.6.2 Where an apprentice has not gone through Gateway approval one year after their planned practical end date, a Support to Study Stage 4 meeting will be held and will include the employer, Work Based Learning Tutor, and apprentice to discuss options. Any exceptional circumstances will be considered as part of the decisions to enable apprentices to continue. The Assessment team in Registry have the delegated authority on behalf of the Special Cases Panel (SCP) to approve the deferral of EPA modules and a programme extension as part of the Support to Study outcome, as long as the student can still complete all study and assessment within 24 months following the standard period of study as detailed on the programme specification.
- 38.6.3 Results signed off at the School Assessment Board (SAB) will be considered at the EPA Gateway and reported to the Degree Apprenticeship Oversight Committee (DAOC).

## **38.7 Eligibility for university awards and graduation**

- 38.7.1 To be eligible for university awards, which are part of an apprenticeship standard, apprentices must successfully complete all the requirements set out in the apprenticeship standard and assessment plan. An apprenticeship has three parts:
- Off-the-job learning (the university award).
  - On-the-job learning.
  - An end-point assessment (EPA).
- 38.7.2 As stated in the apprenticeship standard and assessment plan, apprentices must successfully complete all three parts before an apprenticeship completion certificate can be awarded.
- 38.7.3 The University awards degree/diploma qualifications as part of an apprenticeship standard. Once an apprentice has completed all three parts of the apprenticeship standard, they will receive their transcript and certificate. The University reserves the right not to issue any certificates or invites to a graduation ceremony until the apprentice has successfully completed all aspects of the apprenticeship (including the EPA).

## Section 39 External examiners for taught programmes

### 39.1 Purpose

- 39.1.1 External examiners appointed by York St John University are an essential part of the University's framework for assuring standards and quality of our awards. External examiners are external to and independent of the University, the awarding body.
- 39.1.2 External examiners for taught programmes are appointed for all provision leading to a Higher Education award, including those offered under franchise agreements or for validated programmes offered through collaboration with external partners.
- 39.1.3 The University recognises the key role played by its external examiners as follows:
- To ensure that the academic standards of programmes meet the requirements of the relevant National Qualification Framework.
  - To ensure the value of our qualifications awarded is in line with Higher Education sector recognised standards.
  - To calibrate and maintain academic threshold standards for our qualifications both internally across cohorts and collaborative providers, and in relation to the broader Higher Education system.
  - To verify that the standards set are appropriate in the awards and modules for which they are responsible.
  - To ensure that the assessment procedures are fair, reliable and transparent, and that integrity is maintained in their operation.
  - To contribute to improvement and enhancement of core practices through comment on areas of good practice, innovation and enhancement.

### 39.2 Nomination and appointment

- 39.2.1 The University appoints external examiners as follows:
- An appropriate number of External Examiners – as subject specialists.
  - A Regulatory External Examiner, covering overall award and progression.

#### Person specification

- 39.2.2 External examiners should:
- Have a high degree of competence and experience in the fields covered by the programme of study, or parts thereof, and have a good understanding of the UK Higher Education sector.
  - Be appropriately experienced in programme design and student assessment at the level of the award, and in operating a variety of assessment tasks/procedures appropriate to the subject.
  - Have the necessary academic experience and subject knowledge, and/or have extensive practitioner experience where appropriate, required to assess standards in an effective manner, identify good practice and recommend enhancements to enable informed programme development. External examiners with professional qualifications should be qualified to at least the level of the qualification being externally examined.
  - Have had sufficient experience in quality assurance to enable them to discharge their role effectively, including experience of agreed reference points for the maintenance of academic standards and assurance and enhancement of quality.
  - Have sufficient standing, credibility, and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers.
  - Have familiarity with the standard to be expected of students to achieve the award that is to be assessed.
  - Have fluency in English, and where programmes are delivered and assessed in languages other than English, fluency in the relevant language(s) (unless other secure arrangements are in place to ensure that external examiners are provided with the information to make their judgements).
  - Meet applicable criteria set by professional, statutory or regulatory bodies (PSRBs).

- i) For Nursing and Midwifery Council (NMC) accredited programmes external examiners must possess current registration on the appropriate part of the NMC Register.
- j) Have awareness of current developments in the design and delivery of relevant curricula.

39.2.3 External examiners will normally hold current posts in institutions within the UK Higher Education system and will, preferably, have experience of external examining. In certain circumstances, it will be appropriate to appoint either a person who possesses particular professional expertise but who does not work within the Higher Education sector, or a person who does not yet hold external examining experience. Such proposals will be assessed on their merits. The proposing School will identify whether first-time external examiners require extra support and put appropriate support in place as necessary.

#### **Restrictions on appointment**

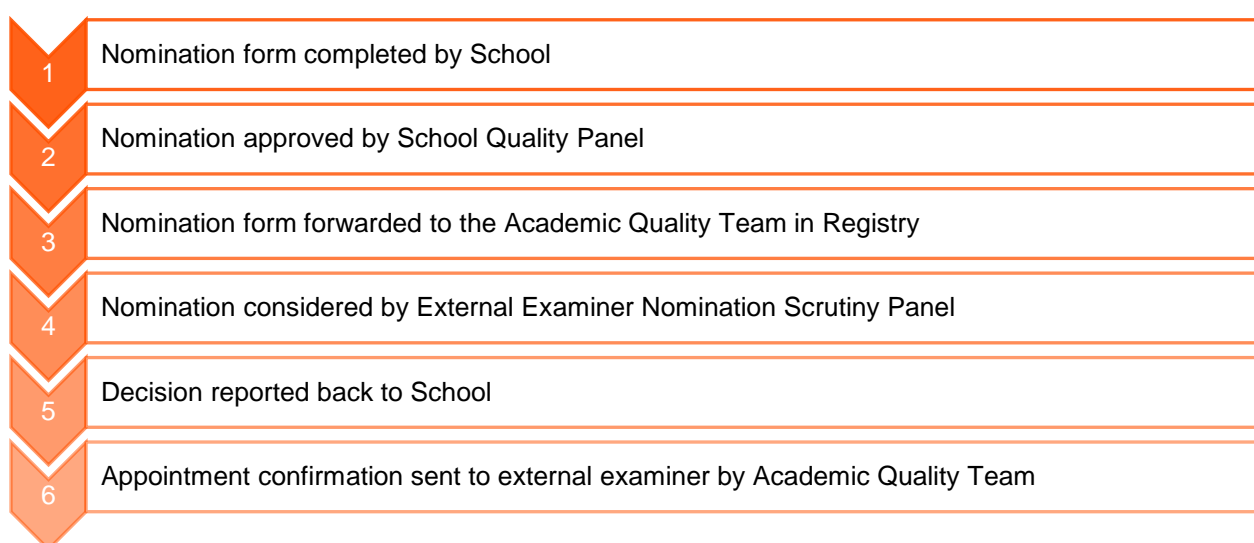
- 39.2.4 External examiners should normally hold no more than 2 external examiner appointments for taught programmes/modules at any point in time.
- 39.2.5 A previous external examiner of the University may be re-appointed in exceptional circumstances but only after a period of 5 years or more has elapsed since their last appointment.
- 39.2.6 Recently retired academic staff from a UK Higher Education institution may be appointed, provided that the appointment starts within 2 years, and is completed within 6 years, of retirement.
- 39.2.7 Particular attention is paid to nominees who have been involved in the development of the programme or its component parts, for example, as an external consultant, or who have acted as a member of the validation panel (or equivalent) which approved the programme. The University, via the Quality and Standards Committee (QSC) External Examiner Scrutiny Panel, will balance the benefits of engaging someone who is familiar with the programme and its rationale with any risk to their ability to provide a fully independent perspective. Only in exceptional cases will approval be forthcoming.

#### **Reciprocity and conflicts of interest**

- 39.2.8 To ensure impartiality and independence the University does not appoint as external examiners anyone in the following categories or circumstances:
  - a) A member of a governing body or committee of the University or one of its collaborative partners, or a current employee of the University or one of its collaborative partners.
  - b) Anyone with a close professional, contractual or personal relationship with a member of staff or student involved with the programme of study.
  - c) Anyone required to assess colleagues who are recruited as students to the programme of study.
  - d) Anyone who is, or knows they will be, in a position to significantly influence the future of students on the programme of study.
  - e) Anyone significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment of the programme(s) or module(s) in question.
  - f) Former staff or students of the University or one of its collaborative partners unless a period of 5 years has elapsed, and all students taught by or with the external examiner have completed their programme(s).
  - g) A reciprocal arrangement involving cognate programmes at another institution.
  - h) The succession of an external examiner by a colleague from the examiner's home department and institution.
  - i) The appointment of more than one external examiner from the same department of the same institution.
- 39.2.9 To ensure that any potential conflicts of interest are identified and resolved prior to appointment of external examiners, the University holds a central record of examining appointments held by York St John University staff at other institutions and this is consulted as part of the nomination process.
- 39.2.10 External examiners and York St John University staff must notify the Academic Quality team in Registry of any changes in circumstances which may create a conflict of interest. In such instances this may result in the termination of the external examiner's appointment for the University.

### 39.3 Nomination process

- 39.3.1 The approval of appointments of external examiners is the responsibility of the Quality and Standards Committee on behalf of the Academic Board.
- 39.3.2 Nominations for the appointment of external examiners to be effective in October should be made by **1 May**.
- 39.3.3 Nominations will be made by the School responsible for the module(s) and programme(s) concerned. For programmes delivered through a collaborative arrangement at a partner institution, the nomination will come forward from the partner organisation in consultation with the Collaborative Programme Representative. All nominations will be considered by the External Examiner Nomination Scrutiny Panel, acting on behalf of the Quality and Standards Committee. Details of external examiner appointments will be reported to the Quality and Standards Committee.
- 39.3.4 Nominations will be considered in accordance with the criteria for appointment set out in the section above. In making nominations, Schools should ensure that the appointment criteria are met; any exceptions must be clearly identified for consideration by the External Examiner Nomination Scrutiny Panel.
- 39.3.5 The panel's decision will be reported back to the School by the Academic Quality team in Registry.



#### Support for external examiners without previous experience

- 39.3.6 Schools nominating examiners without previous experience will be required to provide details of appropriate support, for example, mentoring for their first year of appointment, particularly for those from a non-UK Higher Education background. Schools are responsible for identifying a suitable mentor.

### 39.4 Changes to duties following appointment

- 39.4.1 Requests for reallocation of duties of an existing examiner, for example, module allocation, must be made in writing and include a rationale for the change. The request must be approved by the relevant School Quality Panel prior to being submitted to the External Examiner Nomination Scrutiny Panel through the Academic Quality team in Registry.

### 39.5 Terms of office

#### Period of appointment

- 39.5.1 The term of office for an external examiner will **normally be 4 years**, with the possibility of extension to 5 years in exceptional circumstances to ensure continuity. No term of office will exceed 5 years.
- 39.5.2 Requests for an extension of the period of approval must be made in writing and include a rationale for the change. The request must be approved by the relevant School Quality Panel prior to being submitted to the External Examiner Nomination Scrutiny Panel through the Academic Quality team in Registry.
- 39.5.3 Undergraduate external examiner appointments will normally start on **1 September** and end **31 August** in their final year. Postgraduate external examiner appointments will normally start on **1 September** and end **30 November** in their final year.

## Early termination of appointment

- 39.5.4 An external examiner's appointment may exceptionally be terminated at any time by the Academic Board on the recommendation of the Quality and Standards Committee on the following grounds:
- a) Changes in programme and module structure which render the appointment unsuitable.
  - b) Withdrawal of a programme or group of modules.
  - c) Failure to fulfil external examiner's obligations.
  - d) Failure to attend School Assessment Boards where attendance is required without making alternate arrangements.
  - e) Irretrievable breakdown of relations with the University sufficient to compromise the assessment process and adversely affect students.
  - f) A conflict of interest has arisen that cannot be satisfactorily resolved.
  - g) Undeclared or unidentified reciprocal arrangements are identified.
- 39.5.5 Should an external examiner's circumstances change, and they feel unable to continue their duties in the role, the external examiner must notify the University in writing, giving a **3-month** period of notice. Letters of resignation must be sent to the Academic Registrar and Head/Dean of School.

## 39.6 Student information on external examiner appointments

- 39.6.1 Information on the University's external examiners, including their names and institutions, is available on the University's website. Students are provided with this information, and information on the external examining system, in relevant School information and on Moodle.
- It is made clear to students that it is not appropriate for them to contact external examiners directly. External examiners must refer any direct contact received from students to the University.

## 39.7 Preparation for the role

### Appointment letter and welcome pack

- 39.7.1 Following appointment external examiners are provided with the following materials by the Academic Quality team in Registry:
- a) Appointment email.
  - b) [Code of Practice for Assessment](#).
  - c) [Principal dates for the assessment events at the University for the academic year](#).
  - d) Information on fees and expenses and expenses claim forms.
  - e) [Annual report form \(online link information\)](#).
  - f) Previous external examiner reports (where relevant).

### External examiner induction

- 39.7.2 To ensure that our external examiners are effectively briefed on University requirements and regulations and on the detail of the modules and programmes for which each examiner is responsible, external examiners will have access to an induction with accompanying support materials. It is also expected that programme teams will brief their external examiners. External examiners for programmes delivered in collaboration with partners should be briefed by the relevant programme team, with input from the York St John Collaborative Programme Representative where appropriate.
- 39.7.3 External examiners may contact the Academic Registrar if they feel they have not had access to induction materials or had guidance from their programme team. Further information on the external examiner role is also available through our [External examiner page](#).

### School induction materials

- 39.7.4 The following materials are sent by the School following appointment. Schools and partner institutions may find it useful, however, to share some of this material with a prospective external examiner before a nomination is sent forward for approval so that they can be satisfied about the duties proposed.
- a) Module and programme documentation including the relevant programme specification(s) and module specifications.
  - b) Information on School or partner institution specific dates.



- c) School or partner institution specific assessment information including marking criteria (via Moodle).
- d) An update on programme developments.
- e) Annual Assessment Schedule (once finalised).

### **Annual updates**

39.7.5 All external examiners will receive an update of any relevant material annually or during the year should any major changes occur.

### **The University's virtual learning environment**

39.7.6 Moodle is the University's virtual learning environment.

39.7.7 External examiners will need to engage with Moodle as part of the assessment process. Moodle also provides external examiners with the opportunity to engage directly with teaching materials and learning support.

39.7.8 The virtual learning environment for our validated partner organisations (validated provision) will be confirmed by the validated partner.

## **39.8 External examiner role**

39.8.1 External examiners are formally and directly involved in assessments that contribute directly to the award of intended qualifications.

- a) For postgraduate taught, graduate programmes, and taught modules on Professional Doctorate programmes, the external examiner will be directly involved with the assessments for all modules.
- b) For Integrated Master's programmes the external examiner will be directly involved with the assessment of Levels 5, 6 and 7.
- c) For undergraduate programmes the external examiner will be directly involved with the assessment of Levels 5 and 6.
  - In calibrating standards for undergraduate degrees as a whole, however, an external examiner will wish to comment on the role of Level 4 within this and should be provided with evidence to support this through the School Assessment Board.
- d) For Degree Apprenticeship programmes the external examiner may also be involved in reviewing the End-point assessment (EPA) grades.
- e) For Foundation Degree programmes the external examiner will be directly involved with the assessment for both Levels 4 and 5.
- f) External examiners are asked to carefully review sub-degree awards such as Foundation Certificates, the Certificate of Higher Education or Diploma of Higher Education where these are made within the context of a degree programme.
- g) Where appropriate, the University will, additionally, make provision for an external examiner to be involved in freestanding modules, or groups of modules that do not lead to an award.
- h) During the first year of operation of a new programme or module, an external examiner will be recruited to review that year.
- i) The external examiner for the programme will be consulted about recognition of experiential prior learning claims if the credit for exemption is at Level 5 for undergraduate programmes, or for postgraduate programmes.

39.8.2 Programmes of study will be clearly attributed to a subject-area within a School although they may include modules from elsewhere. An external examiner will not normally be asked to take responsibility for a module belonging to another subject-area, but they should take a view on whether that module, in combination with others, can deliver the programme learning outcomes or skills profiles expected by the University.

39.8.3 For Joint Honours programmes, subject external examiners will take a view of modules contributing to the Joint Honours strand in that subject-area and for the overall coherence of the programme managed by the nominated lead School. Increasingly, subject-areas across the University are developing broad programmes of modules that can contribute to a number of programme routes leading to named awards.

- 39.8.4 The University asks its external examiners to take a view on the academic standards for programmes of study including classifications. Progression and award profiles will be supplied to School Assessment Boards so that external examiners can scrutinise profiles with a view to assisting boards in making recommendations about individual cases to the Special Cases Panel and taking an overview of standards for programmes. Other evidence from which an examiner might form a view of the overall standards of the programme might be:
- a) Review of curriculum structure and the learning, teaching and assessment strategy for a programme which can be considered independently of the annual assessment process.
  - b) Consideration of overall profiles, summary results for a programme and comparative statistics which can be considered by a subject-area external examiner after the meeting of the School Assessment Board and advice can be offered accordingly in the annual report.
  - c) Involvement with revalidation of its taught provision or curriculum amendment, should it take place within their term of office.
- 39.8.5 External examiners can be consulted on any proposed change of mark for module(s) that may arise outside a formal meeting of a board.
- 39.8.6 External examiners should direct any requests for additional evidence to enable them to discharge their responsibilities through the relevant Programme/Course Lead or nominee.

## 39.9 Commenting on draft assessments and examination papers

- 39.9.1 External examiners are involved in the review and evaluation of proposed assessments. This includes the verification of examination papers for all levels that are running for the first time and all modules that are contributing to an award and other assessment tasks.
- 39.9.2 Schools are required to provide external examiners with draft assessments and examination papers, along with accompanying model answers/marking criteria, for comment and approval.
- 39.9.3 Schools must share draft assessments and examination papers with external examiners in good time to allow ample opportunity for feedback to be provided.
- 39.9.4 Comments made by an external examiner on proposed examination papers or other assessments will be considered by the programme team, and a response provided on the outcomes of this consideration. Information on how examination papers and assessment briefs will be made available to external examiners will be confirmed to them by the School.

## 39.10 Meeting with students

- 39.10.1 Many external examiners find it useful to meet students on programmes they are examining at some point during their period of appointment to inform their wider understanding of the context within which assessment takes place. While this is not a requirement of the University, School staff will be pleased to arrange meetings with students on request. Students will be given clear information on the purpose of such meetings.

## 39.11 Role in external moderation

- 39.11.1 Our external examiners are moderators of standards. External examiners are required to review assessed work including the outcome of examinations to calibrate standards across the subject-area and with comparable courses elsewhere, with close attention to work at pass/fail, grade and classification boundaries.
- 39.11.2 External examiners are required to review the marks achieved by students in modules contributing to the determination of awards. This means that external examiners are not involved routinely in moderating assessment at Level 3 and 4 of an undergraduate Bachelor's degree programme but would be involved with Level 4 of a Foundation Degree and a programme with the intended award of Diploma of Higher Education, or if the award is set entirely at either Level 4 or below.
- 39.11.3 Programme teams are responsible for ensuring that appropriate samples of assessment from each module are sent to the external examiner for moderation.
- a) Samples must include examples from the full range of grades awarded.
  - b) Samples should be a sensible size and must involve **a minimum of 5 scripts or the square root of the number of scripts** whichever is greater.
  - c) The important principle is that the external examiner has a sufficient range of work to reach a clear judgment about standards.
  - d) Should include all work with failure marks at first attempt.

- e) Should normally include all reassessment failures, especially at final level or where enforced withdrawal following programme failure is likely to be recommended. If for any reason an examiner has not been involved in the review of all failed work the Academic Registrar may ask an examiner to review a particular piece of work if necessary. Refer to [section 39.14](#) regarding endorsement of assessment results for further details.
- f) In the case of oral work or presentations, agreement should be reached with the subject-area on how this can be achieved.

39.11.4 Programme teams are responsible for ensuring that:

- a) The examiner receives samples as quickly as possible after the internal moderation. The 'Assessment Schedule' provided by the School at the start of the academic year will indicate when the sample is expected.
- b) The examiner receives accompanying information about the module (Module Handbook/Moodle site) including assessment criteria together with the internal moderators' feedback and comments.
- c) The examiner receives clear written information about any individual cases which they are being asked to consider.

39.11.5 As well as receiving samples of assessed work, external examiners may be asked to consider individual student cases. For example:

- a) To advise on alleged academic misconduct.
- b) To consider exceptional/outstanding work, awarded very high grades.
- c) To consider failed assessments.
- d) To advise the School Assessment Board Chair on a disputed grade following extensive internal moderation.

### **Reassessments and deferrals**

39.11.6 External examiners are not required to review samples for reassessments or deferrals of passing standard unless they explicitly state in advance that they wish to do this.

### **Borderline marks**

39.11.7 In the case of borderline grades for first submissions of undergraduate dissertations or postgraduate dissertations, external examiner review and endorsement is required, and should be arranged to manage the holiday period.

39.11.8 It is neither necessary, nor good practice, to send all assessments at classification borderlines to the external examiner. The internal moderation process should resolve most individual cases. If that process produces a borderline grade, then there should be confidence in that grade and (through notes of the moderation process) be able to justify it.

39.11.9 Typically, this entails reviewing samples of student work from each class/award and class boundary. While such sampling will include first class work, the University does not require all first-class work to be seen by an external examiner if they have had sufficient access to such work to establish standards.

### **Adjustment of marks**

39.11.10 Marks for individual students included in the sample will not normally be adjusted unless the external examiner considers that there is a need to adjust the marks for the **whole cohort** taking a particular module. In these circumstances, an external examiner may recommend a course of action to a School Assessment Board, for example, that an assessment element be re-marked for all students. The Academic Registrar will be consulted regarding the process to be followed in such circumstances.

39.11.11 Individual marks will normally only be adjusted if individual circumstances apply, for example, arbitration of marks where disparity exists between markers. Consideration will be given to the 'Protocol for Identifying and Reviewing Anomalous Performance in Modules' (refer to [section 42.1](#)).

39.11.12 In the event that an external examiner determines that the overall level of grading on a module or modules is inappropriate, a request should be made that all work submitted for the assessment in question be re-marked by Module Directors/Leads, considering the examiner's judgement about the original level of grading. If possible, this should be completed prior to the School Assessment Board meeting. Where this is not possible, module grades will be approved through Chair's Action.

## Summary of external examiner moderation requirements

### 39.11.13 Summary of moderation requirements

Programme	Contribute to award	Moderation requirements
<b>Level 3 entire programme</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<b>Level 3 Foundation Year</b>	No - <i>Progressional</i>	<ul style="list-style-type: none"> <li>• New programmes or modules only – first run through <ul style="list-style-type: none"> <li>▪ Sample of first attempt work for all modules*</li> <li>▪ All reassessment failures</li> </ul> </li> <li>• Overview thereafter</li> </ul>
<b>Level 4 entire programme</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<b>Level 4 and 5 Foundation Degree</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<b>Level 4 and 5 Diploma of Higher Education (intended award)</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<b>Level 4 Bachelor's</b>	No - <i>Progressional</i>	<ul style="list-style-type: none"> <li>• New programmes or modules only – first run through <ul style="list-style-type: none"> <li>▪ Sample of first attempt work for all modules*</li> <li>▪ All reassessment failures</li> </ul> </li> <li>• Overview thereafter</li> </ul>
<b>Level 5 Bachelor's</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<b>Level 6 Bachelor's / Integrated Master's</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> <li>• All borderline dissertations</li> </ul>
<b>Level 7 Integrated Master's</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> <li>• All borderline dissertations</li> </ul>
<b>Level 7 Postgraduate</b>	Yes	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> <li>• All borderline dissertations</li> </ul>
<b>Level 8 Doctorate</b>	Variable	<ul style="list-style-type: none"> <li>• Sample of first attempt work for all modules*</li> <li>• All reassessment failures</li> </ul>
<p>* A minimum of 5 scripts or the square root of the number of scripts – including work from each class/award banding and including all failed assessments.</p> <p>Note – While such sampling will include first class work, the University does not require all first-class work or all dissertations to be seen by an external examiner if they have had sufficient access to a sample to establish standards.</p>		

## 39.12 Role in enhancement of quality

- 39.12.1 The Heads/Deans of School or nominated representative will ensure that external examiners are kept fully apprised of proposed curriculum developments.
- 39.12.2 External examiners will be consulted on changes to approved forms of assessment where these are made outside the normal cycle of programme review and approval.

### 39.13 Role at School Assessment Board meetings

- 39.13.1 Each subject-area will have its own School Assessment Board (SAB). These boards in turn report to the University Assessment Board.
- 39.13.2 External examiners are full members of the SAB for the subject-area to which they have been appointed. The SAB agrees marks. Subject-area external examiners are expected to attend meetings, especially where module results contributing to awards are considered, but they are not required to attend the meeting of the University Assessment Board.
- 39.13.3 The University Assessment Board has oversight of decisions taken by School Assessment Boards on the progress of students and the classification of degrees and other awards. The Regulatory External Examiner is a member of this committee and attends.
- 39.13.4 SAB meetings are usually convened several times a year, normally at the end of Semester 1 in March, at the end of Semester 2 in June, and then again to consider the results of resits and deferred students in September/August. Board meetings for some postgraduate programmes normally takes place in November. Boards for non-standard programmes and postgraduate resits may take place at other times during the year.
- 39.13.5 External examiners will be notified of the meeting dates at the start of the academic year by Schools.
- 39.13.6 External examiners are invited to all meetings and are **required to attend at least 1 meeting annually either in person or by live video-link**.
- 39.13.7 Where an external examiner is unable to attend such a meeting, arrangements for consultation by telephone or equivalent should be made (such arrangements will, however, be exceptional).
- 39.13.8 If an external examiner is unable to attend the SAB meeting, but has been involved in the examining process throughout, a written statement confirming their concurrence with the module results should be submitted to the Chair for recording purposes in advance of the SAB meeting.
- 39.13.9 Non-attendance by an external examiner without good cause may result in termination of the appointment.
- 39.13.10 Details on the operation of School Assessment Boards are set out in [section 41](#).

### 39.14 Role endorsing assessment results

- 39.14.1 External examiners must endorse the results for all modules for which they are responsible by signature (including electronic signature where necessary and appropriate). External examiners attending the School Assessment Board, either in person or online, may provide verbal concurrence (to be recorded in the minutes). External examiners not attending will be asked to endorse the results by providing concurrence by email. In doing so the examiner will be indicating that they are satisfied with the conduct of the assessment process and will be confirming that the standards set in the assessments are commensurate with equivalent awards at other UK institutions.
- 39.14.2 Such endorsement implies that a sample of assessments have been reviewed but does not imply that the external examiner has reviewed the work of every student.
- 39.14.3 It is accepted that the endorsement of first attempt marks presented at the School Assessment Board also confirms concurrence for any reassessment or deferrals of passing standard. Where an external examiner wishes to actively review reassessment work of a passing standard this must be explicitly stated at the School Assessment Board.
- 39.14.4 Delays in providing concurrence to endorse results by the School Assessment Board meeting date will impact upon student reassessment, progression and award decisions and therefore should be avoided where possible. Where a delay is unavoidable the external examiner must liaise with the School Assessment Board Chair, who will notify the Assessment team in Registry (refer to [section 41.6](#)).
- 39.14.5 If an examiner is unwilling to endorse a set of results, the Academic Registrar must be consulted, and the Assessment team must be notified (refer to [section 41.6](#)).

### 39.15 Regulatory External Examiner

- 39.15.1 The University Assessment Board is supported by a Regulatory External Examiner. The purpose of the Regulatory External Examiner is to act as a guardian for the overall award and progress process for the University. The examiner will perform an important role in offering reassurance that all students are treated appropriately and equitably within the regulations of the University.

- 39.15.2 The Regulatory External Examiner is appointed to the University Assessment Board with the following duties:
- a) To verify that the University applies its rules for award and progress equitably.
  - b) To verify that correct decisions are taken with regard to awards and progress.
  - c) To verify that appropriate consideration has been given to exceptional circumstances through the Special Cases Panel.
  - d) To verify that discretion in academic judgement is exercised consistently.
- 39.15.3 The Regulatory External Examiner is a full member of the University Assessment Board and their advice to the Board will be sought in responding to difficult circumstances or individual cases.
- 39.15.4 The Regulatory External Examiner attends both annual University Assessment Board meetings, typically December and July.

## 39.16 External examiner annual reports

- 39.16.1 In addition to the valuable advice and comments made formally and informally to the members of staff of the subject-area to which they are appointed, external examiners are required to report annually in writing to the Vice Chancellor of the University. The report is a key element of the University's quality assurance processes.
- 39.16.2 In order for the reports to be available in a timely manner for use in annual monitoring, external examiners are required to complete their online reports by no later than **one month** after they have finished examining a programme.

- E: [externalexaminers@yorks.ac.uk](mailto:externalexaminers@yorks.ac.uk)

### Content of reports

- 39.16.3 In accordance with the Office for Students' ongoing conditions of registration, the report should provide clear and informative feedback on:
- a) The extent to which the University is maintaining the threshold academic standards set for its awards in accordance with the sector-recognised standards and applicable Subject Benchmark Statements.
  - b) The extent to which the assessment process measures student achievement rigorously and fairly against the intended outcomes of the programme(s) and is conducted in line with the University's policies and regulations.
  - c) The extent to which the academic standards and the achievements of students are comparable with those other UK Higher Education Institutions of which the external examiner has experience.
  - d) Where applicable, the comparability of achievement on the same programmes operating across several sites and/or using more than 1 mode of delivery.
  - e) Good practice and innovation relating to learning, teaching and assessment identified by the external examiner.
  - f) Opportunities to enhance the quality of the learning opportunities provided to students.

Additionally, the report should:

- g) Confirm that sufficient evidence was received to enable the role to be fulfilled (where evidence was insufficient, the examiner should give details).
  - h) State whether issues raised in the previous report(s) have been, or are being, addressed to the examiner's satisfaction.
  - i) Address any issues as specifically required by any relevant professional, statutory or regulatory body.
  - j) Give an overview of the examiner's term of office (when concluded).
- 39.16.4 Bearing in mind the provisions of the Data Protection Act, external examiners must not include comments on identifiable individuals in written reports.

## Serious concerns

- 39.16.5 In recognition that the report is to be treated as an open document, external examiners are reminded that they may make separate and confidential reports to the Vice Chancellor on any matter of serious concern about academic standards.
- 39.16.6 The Vice Chancellor will then ensure that matters raised in any such reports are investigated as swiftly as possible and a written response, outlining any actions taken as a result, will be provided to the relevant external examiner.
- 39.16.7 Where an external examiner has a serious concern relating to systemic failings relating to academic standards and has exhausted the University's internal processes, including the confidential report to the Vice Chancellor outlined above, they can raise the matter externally with the Office of Students.

## Student access to external examiner reports

- 39.16.8 External examiner annual reports are made available to all students on Moodle.

## 39.17 Consideration of external examiner reports

### Process for consideration

- 39.17.1 The report will be considered as part of the University's quality assurance and enhancement processes. On receipt the report will be processed according to the Procedure for reviewing external examiner reports in the section below. For collaborative programmes, the report will be sent to the Programme/Course Lead and Principal of the partner organisation, and the York St John University Collaborative Programme Representative. Responses to reports will be approved as detailed in [section 39.17.9](#) and sent to the Academic Quality team in Registry for central records.
- 39.17.2 The processes for the effective scrutiny of external examiner reports (including those for collaborative provision) are:
- All external examiner reports are read by the Academic Registrar, or nominee, and graded accordingly. Refer to the procedure for reviewing external examiner reports in the following section.
  - The Quality and Standards Committee (QSC) considers all external examiner reports. The Committee reports on:
    - The meeting of standards.
    - Good practice.
    - Issues – including cross-university themes.
  - The QSC report is shared with Schools, Registry, and the Chair of the Education Committee (EC).
  - External examiner reports, plus the QSC report, are discussed at programme level and at School level (via School Quality Panels (SQP)), with issues identified, actions proposed (with timescales) and good practice noted.
  - Responses to reports are reviewed at SQPs and approval recommended to the Head/Dean of School.
  - All the above feeds into the Annual Quality Report.

### Procedure

- 39.17.3 External examiner reports are received by Registry via the online form. A confidential report can still be sent directly to the Vice Chancellor, to whom all external examiners nominally report.
- 39.17.4 The Academic Registrar or nominee 'grades' the report into one of the following categories:

Grade	Category description
A	Suggested enhancements, or minor issues within a module or modules
B	Issues with the programme structure, sequencing, or across several modules
C	Major programme issues
D	Highly serious issues concerning academic standards or quality processes
E	Confidential report to the Vice-Chancellor



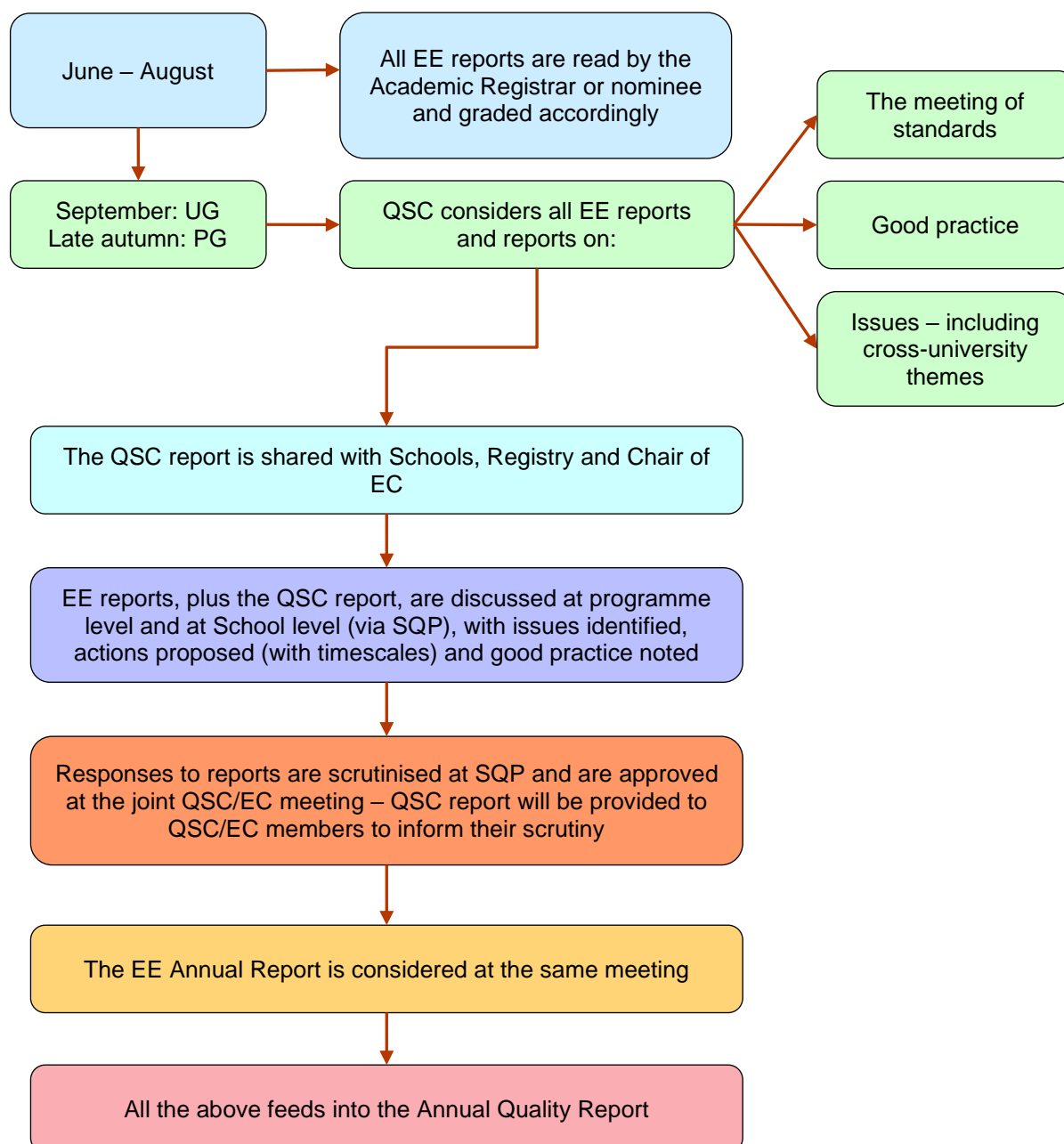
- 39.17.5 For each grade, a flag can be added to show issues with the provision of central services or at University level. This is shown by a (U) character next to the grade to indicate there are perceived issues that do not directly relate to the programme and its delivery.
- 39.17.6 A second flag of (LD) will be added to the grades of reports which are perceived to lack detail. The responsibility for following up on any reports lacking detail with the external examiner will lie with the School. If the School deem the report to be unsatisfactory, and do not resolve this with the external examiner, the Head/Dean of School will recommend that the external examiner enters into the early termination of appointment process as per [section 39.5.4](#). The School can request removal of the flag if they feel the report is sufficiently detailed. If the School is satisfied that the external examiner has given sufficient detail, through communication with them, the flag will remain, but a record will be made (by the School) to note that further detail has been provided.
- 39.17.7 A member of the Academic Quality team in Registry sends the external examiner's report to the Associate Head/Dean of School or nominated representative with the grade.
- 39.17.8 A member of the Academic Quality team in Registry uploads the report onto the Registry Information Page for access by the Head/Dean of School. The Head/Dean of School or nominated representative is responsible for its onward distribution to the members of the Programme team. Reports that receive a grade C or D are referred to the Chair of the Quality and Standards Committee.
- 39.17.9 The Academic Quality team in Registry is responsible for publishing all external examiner reports on Moodle, so they are available to students.
- 39.17.10 The external examiner report is reviewed and a response to issues is documented.
- 39.17.11 The responsibilities for approving the response and for contacting the external examiner depend on the grade of the report. Although the programme team may send further acknowledgement to the external examiner, and will discuss the detailed contents as necessary, formal responses are mostly approved by Heads/Deans of School following recommendations by the appropriate School Quality Panel, with responses to more serious issues approved by the appropriate member of the Academic Board, shown below:

Grade	Produce a draft response	Response approved by	Response from
<b>A</b>	Programme team	Head/Dean of School	Head/Dean of School
<b>B</b>	Programme team, School	Head/Dean of School	Head/Dean of School
<b>C</b>	Programme team, School, Heads of Service	Academic Registrar	Academic Registrar
<b>D</b>	Programme team, Registry	Chair of QSC	Chair of QSC
<b>E</b>	As directed by the Vice Chancellor	Vice Chancellor	Vice Chancellor
<b>(U)</b>	As above, according to grade	Academic Registrar	As above, according to grade

39.17.12 The issues, responses and analysis will continue to be included in:

- The External Examiner Annual Monitoring Report.
- The Annual Quality Report.

39.17.13 The process for consideration of external examiner reports is laid out below:



## 39.18 Payment of fees and expenses

- 39.18.1 The University values external examiners and recognises the importance of their work to the standards of the University's awards and the quality of its programmes.
- 39.18.2 Further information regarding the payment of fees and expenses is set out in our external examiner [website](#).
- 39.18.3 Payment of the examiner fee will be conditional on the receipt of the annual report.

## Section 40 Submission and verification of marks policy

### 40.1 Submission of marks

- 40.1.1 At the start of the academic year Schools must confirm to the Assessment team in Registry the School Assessment Board (SAB) meeting at which each module's marks will be presented.
- 40.1.2 All marks must be entered through e:Vision by the mark entry deadline specified on the [Examinations and Assessment Schedule](#) for each SAB period.
- 40.1.3 Degree Apprenticeship end point assessment (EPA) marks entered into the Maytas system will be presented at the relevant SAB following completion of the apprenticeship.
- 40.1.4 Guidance for staff on mark entry can be found on the Registry [Assessment team staff Intranet page](#).

### 40.2 Verification of marks

- 40.2.1 All students must be accounted for, and mark lists must be crosschecked prior to the Module Mark Review (MMR) meeting. This includes any outstanding reassessment or deferral marks.
- 40.2.2 Any amendments to marks that are required should be noted on the MMR action log to amend between the MMR and SAB. If amendments are required post SAB, then a SAB Chair's Action with the amended mark and explanation must be submitted as soon as possible to the Assessment team in Registry.
- 40.2.3 Markers should refer to [section 41](#) regarding the School Assessment Board for full details of the verification process.
- 40.2.4 The process flowchart for marking, moderation, agreeing and releasing marks can be referred to in [section 24.8](#).

## Section 41 School Assessment Board meetings

### 41.1 Purpose

- 41.1.1 To be responsible for the oversight of assessment for all taught provision within the School including that assessment procedures are properly conducted, and standards assured.
- 41.1.2 The School Assessment Board (SAB) has delegated authority from the University Assessment Board to undertake the final approval of progression outcomes and the classification of awards.

### 41.2 Scope

- 41.2.1 These procedures apply for all credit-bearing programmes delivered at York St John University. Franchise provision is considered through the appropriate York St John University School Assessment Board (SAB) for that programme. They also apply to the SABs held at collaborative partner institutions for validated provision.

### 41.3 Terms of Reference

- 41.3.1 The [Terms of Reference for the SAB](#) can be accessed on our assessment policy website.

### 41.4 Module Mark Review Meeting

- 41.4.1 Prior to the SAB a Module Mark Review meeting (MMR) is established at School / programme / subject level, with the scope of scrutiny (programme or subject) determined by the Associate Head/Dean.
- 41.4.2 MMRs are held to consider marks to be presented to the SAB. The outcomes of the MMR, including individual marks and decisions relating to students, are confidential apart from necessary recommendations to, and engagement with, the SAB. The process of the determination and return of marks is open, collaborative, and auditable.
- 41.4.3 To ensure accuracy of data inputting, mark lists for modules are provided to the Module Director/Tutor, prior to the MMR, for checking and any changes must be reported at the meeting.
- 41.4.4 The purpose of the MMR meeting is to review:
- The accuracy of the mark lists.
  - That moderation has taken place according to agreed university processes.
  - That appropriate samples have been provided to external examiners and accuracy of concurrence logs.
  - Any documentation required for the SAB, for example, Special Resolution forms.
- 41.4.5 Relevant representation from the Programme Administration and Support Services (PASS) team will arrange and attend these meetings to review the items listed in [section 41.4.4](#) above, alongside programme teams. Associate Heads/Deans may wish to continue the meeting to discuss issues relating to:
- Individual modules.
  - Individual students - including exceptional circumstances to make recommendations to Special Cases Panel.
  - Statistical analysis of module performance bearing in mind any identified anomalous performance that may require a recommendation to the SAB of an independent review under university processes (refer to [section 42](#)) or the scaling of marks (refer to [section 43](#)).
- 41.4.6 Exceptional circumstances applications (that have not already been considered via the standard exceptional circumstances process) may be considered and recommendations made to the Special Cases Panel and advised to the SAB. The nature of individual student circumstances should not be discussed but any issues requiring adjudication, advice or special resolution may be identified and discussed, with recommendations made to the SAB.
- 41.4.7 An action log relating to the accuracy of mark list is produced by the Programme Administration and Support Service (PASS) team, approved by the MMR Chair and submitted to the Chair of the SAB for information.
- 41.4.8 Schools should seek advice from Registry on any issues, such as lack of external examiner concurrence or matters impacting an entire cohort's assessment. Any such issues would be reported to the Academic Registrar for review.

## 41.5 Pre-School Assessment Board (SAB Meeting)

- 41.5.1 Prior to each School Assessment Board (SAB) a meeting will be scheduled with the Chair of the SAB to support preparation for the SAB and brief them on any issues or concerns raised during the pre-assessment board processes.
- 41.5.2 Attendance at the pre-SAB Chair meeting will include:
- The Chair of the SAB.
  - Assessment Team Manager or delegated representative.
  - Programme Administration and Support Service (PASS).
  - Associate Heads/Deans (optional attendees).
- 41.5.3 The purpose of the Pre-SAB meeting is to discuss:
- The SAB Action Log with specific focus on how actions should be disseminated.
  - Any issues arising from the Module Mark Review (MMR) meetings.
  - Any expected Special Resolutions.
  - External Examiner concurrence, the current position and any concerns.
- 41.5.4 The meeting will also be used to take the SAB Chair through an overview of the profiles, reviewing any key information such as withdrawals, restart offers and repeat study offers.

## 41.6 School Assessment Boards

- 41.6.1 All Schools establish a SAB. Appropriately constituted SABs are established by partner organisations in respect of awards delivered through a validation agreement.
- For larger Schools it may be practical to hold a separate Level 4 SAB (not Foundation Degrees), without external examiners, to focus attention on this critical year.
- 41.6.2 SABs meet as required during the year to fulfil their responsibilities. Some assessment business may be discussed at School Quality Panels (SQP) but, if this is the case, separate SAB agenda and minutes must be produced.
- 41.6.3 In exceptional circumstances, such as unavoidable absence, the Head/Dean of School may delegate the Chair to a senior colleague. The designated Deputy Chair should be agreed at the beginning of each academic year.
- 41.6.4 A senior member of the Registry team will be present at each SAB.
- 41.6.5 Where necessary some business may be conducted virtually or by Chair's Action (refer to [section 41.8](#)).
- 41.6.6 SABs are normally held at the end of each teaching block to consider module and programme achievement for all provision within the School. External examiners may attend both but are expected to attend the SAB where the majority of marks are processed.
- External Examiners **must attend at least one SAB a year**. The Academic Quality team in Registry must be advised where an external examiner indicates they are unable to attend the SAB in any given year, and this should only be in exceptional circumstances.
- 41.6.7 External examiners are given time in the agenda for a brief verbal report on their consideration of the modules for which they are responsible, including confirmation of standards, concurrence of results, and appropriate engagement with assessment processes.
- 41.6.8 Arrangements are put in place for external examiners to meet, outside of the SAB, with programme teams for dialogue and feedback on the outcome of the programme specific external examining process.
- 41.6.9 Associate Heads/Deans submit a report prior to the SAB and are given time in the agenda for a brief verbal update based on their report on student performance for their respective areas, including areas of strength, causes for concern, or where action is required. When action is required, this will be recorded on the Action Log and noted at the SAB.
- 41.6.10 The outcomes of the SAB, including individual marks and decisions relating to students, are to be treated as confidential apart from necessary recommendations to, and engagement with, the Special Cases Panel. The process of the determination and return of marks must be open, collaborative, and auditable.
- 41.6.11 Confidential minutes and an Action Log are produced by Registry in conjunction with the Programme Administration and Support Service (PASS) team. These are finalised and approved by the Chair of the SAB as an official record and then distributed to panel members.

41.6.12 Recommendations to the Special Cases Panel are made by the SAB.

41.6.13 The Chair of the SAB will submit a Chair's report to each University Assessment Board.

## 41.7 SAB Special Resolution process

41.7.1 The **SAB Special Resolutions process** provides an indicator that the University assessment processes are robustly and consistently applied. This covers material irregularities where an administrative or procedural error has a significant, negative impact on a student's performance or a situation in which the integrity of summative assessment has been compromised. It does not include disagreement with an academic judgement about the quality of student work submitted for assessment.

41.7.2 This process is implemented in circumstances including where:

- Anomalies in marks are identified through the summative assessment process.
- The Module Mark Review processes have not been completed (marks therefore are not received at the SAB) and cannot be approved by the specified SAB.
- There has been variation to the published assessment documents for the current cohort without prior approval.
- Marks are scaled (refer to [section 43](#)).

41.7.3 Where marks are unable to be confirmed due to delays with mark entry, external examiner concurrence or other unforeseen circumstances that prevent results being presented at the SAB, the Assessment team in Registry must be notified as soon as possible. A 'SAB Special Resolution' form must be completed by the Head/Dean of School (or nominated representative) or SAB Chair and forwarded to the Assessment team in Registry prior to SAB where possible. The Assessment team in Registry will review the form and will then send it to the senior member of Registry for consideration. The Special Resolution is recorded in the SAB minutes and reported to the University Assessment Board. Where anomalous performance has occurred refer to [section 42](#).

41.7.4 Where marks are unable to be confirmed as external examiner concurrence has not been received due to external examiner unforeseen unavailability or circumstances, which may cause a significant delay in releasing marks, the Head/Dean of School (or nominated representative) or SAB Chair should contact the Head of Registry or Deputy Head of Registry and the Assessment team in Registry to discuss alternative arrangements as soon as they are aware of the issue. Remedies may include:

- Review by alternative external examiner.
- In cases where the module has run in previous years, has previously been reviewed by an external examiner, and no previous issues were raised:
  - Review by the Head/Dean of School in lieu of the external examiner.
  - Review by another member of the programme team in a manner analogous to an external examiner, followed by review by the Head/Dean of School.

## 41.8 SAB Post-meeting actions

41.8.1 Following the SAB, the Assessment team in Registry changes the status of marks in the student records system (SITS) from provisional to agreed.

41.8.2 The Assessment team in Registry emails all students with a progression statement detailing results which outlines the process for reassessment for those with module failures.

41.8.3 The Programme Administration and Support Service (PASS) team arranges for the Moodle reassessment submission points to be available.

## 41.9 SAB Chair's action process

41.9.1 Between SAB meetings recommendations may be made through the SAB Chair's action process.

41.9.2 SAB Chair's Actions are separated into two categories for different actions:

### **Category A: Approval of post-SAB meeting module mark amendments.**

Generally used to confirm:

- Corrections for a previous mark entry error.
- Individual student academic misconduct reassessment results.
- Results required following an individual student SCP or appeal outcome.
- Conditional progression results.
- Time sensitive module results for exchange students.
- Time sensitive individual student deferral or resit module results required for award.
- Individual student placement module failure.
- Staggered resits not recommended at SAB.
- Module results where external examiner concurrence has been received post-SAB.
- Module results that were not presented at SAB in error.

### **Category B: Approval of post-meeting progression and award decisions.**

Generally used to confirm:

- Individual student time sensitive awards required for professional or employment purposes.
- Individual student time sensitive decisions required for visa purposes.
- Individual student decisions where SCP declined a case that leads to enforced withdrawal, award, restart or repeat.
- Individual student decisions where, due to a new or updated mark, the recommendation is for enforced withdrawal, award, restart or repeat.
- Individual student recommendations following a Support to Study Stage 4 meeting.
- Cohort progression outcomes where external examiner concurrence has been received post-SAB.
- Cohort progression outcomes where module results for a cohort were not presented at SAB due to an error.
- Recommendations to the University Assessment Board for aegrotat or posthumous awards.
- Approval for exit awards.
- Confirmation of progression through Gateway not presented at a Gateway Board.

41.9.3 The SAB Chair's Action form should be completed by the School and submitted to the Assessment team in Registry. The form is available on our [Assessment Staff Intranet page](#).

41.9.4 The SAB Chair, or nominated representative, is empowered to make progression and award decisions relating to individual students on the SAB's behalf as may be required between meetings. The Assessment Team in Registry will raise a Chair's Action with any recommendations requiring SAB approval.

41.9.5 Chair's action is not normally used to confirm a cohort's final module results that would determine the calculation of award classifications. These would normally be presented at a SAB.



41.9.6 Approval initiated and required by:

SAB Chair's Action	Chair's Action initiated by	Approver 1	Nominated representative	Approver 2	Nominated representative
Category A	PASS	Module Director / Lead	Another member of the module team	Associate Head / Dean	Programme / Course Lead
Category B	Assessment team in Registry	Head / Dean of School or SAB Chair	Deputy Head / Dean of School or another member of the Senior Academic Leadership team*	-	-

\* If the Head/Dean of School or SAB Chair and the nominated representative are unavailable to confirm time sensitive decisions, approval will be sought from the Academic Registrar, Head of Registry or Deputy Head of Registry.

## 41.10 Exemptions for modules from external examiner concurrence requirement

41.10.1 External examiners are required to review the marks achieved by students in modules determining awards. There are some modules that are exempt from the external examiner concurrence requirement:

- Level 3 and Level 4 modules of an undergraduate Bachelor's degree programme (except for where the module is running for the first time). Concurrence would be required for Level 4 of a Foundation Degree or if the award is set entirely at either Level 4 or below.
- Professional skills-based modules where they are assessed externally through a professional quality assurance process.

41.10.2 Prior approval from QSC must be agreed for this to apply to the module.

## Section 42 Protocol for School Assessment Board analysis

### 42.1 Protocol for identifying and reviewing anomalous performance in modules

- 42.1.1 As a matter of course, a School Assessment Board (SAB) should consider:
- The overall performance of all students on a particular module compared with:
    - Related modules on the programme – is this an outlier module?
    - The same module in previous years, if it was delivered then – has something unexpected happened this year?
  - The overall performance of all students in each assessment component compared with other assessment components in that module – did students find one component easier or more difficult than others?
  - The overall performance of all students in particular assessment types (such as an examination, a group presentation) across all modules – did students find some types of assessment easier or more difficult than others?
  - The overall performance of students on modules in a particular year of their studies compared with other years – is there an identifiable progression in the mark distribution?
  - If there are any modules with an abnormal (such as a high number of firsts or fails) or bimodal distribution of marks, this may indicate that there is a difference in performance of identifiable subsets of students on a module or in particular assessments compared with the whole cohort – might there be an unconscious bias towards or away from particular students? This would require more detailed analysis after the SAB.
- 42.1.2 The minutes of the School Assessment Board should note any anomalous performance and, where possible, the reason identified for it and note where marks were not agreed. They should also note any action to be taken.
- This may include a module/assessment change proposed to the Programme Amendment Scrutiny Panel to take effect from the start of the next academic year; it may also include recommendations for action on the current cohort of students.
- 42.1.3 In practice, each year there may be an 'outlier module', and it is likely that some students will perform differently on different types of assessment and on different components. The decisions for the School Assessment Board are whether the anomalous performance is exceptional and/or whether it is appropriate for a proposed solution to be provided internally or if it requires further independent analysis.
- 42.1.4 Clearly, such detailed analysis cannot take place 'live' at a School Assessment Board meeting; programme teams would be expected to undertake this work both before and after the meeting, as an integral part of the usual annual and other forms of review.

### 42.2 Principles

The proposed principles for an independent review are set out below:

- 42.2.1 Anomalous performance is – deliberately – not defined.
- 42.2.2 If there is a **significant** issue, the School Assessment Board may recommend to the Chair of the Quality and Standards Committee that an independent review takes place. It may also recommend a timescale for completion of the review. The Academic Registrar or Head of Registry must be informed as soon as possible; either will be able to advise on possible courses of action.
- 42.2.3 The Quality and Standards Committee or University Assessment Board may also instigate a review, or place actions on a School Assessment Board, following an overall review of School Assessment Board data.
- 42.2.4 The School Assessment Board decides whether or not to approve the marks in question (although it should seek Registry advice before so doing). If the marks for one or more modules are not approved, then it will necessarily impact on student progression or award.
- 42.2.5 The scope of the review is defined (for example, specific modules, all or particular subsets of students). A review is expected to address the reasons for anomalous performance and not the marks themselves.

- 42.2.6 External examiners are informed if an independent review instigated by the Quality and Standards Committee or University Assessment Board will take place.
- If the review has been instigated by the School Assessment Board itself, then the external examiners will necessarily be part of that decision.
  - If a review is being conducted by the School Assessment Board itself, external examiners – as members of the School Assessment Board – will necessarily be involved in the review itself.
- 42.2.7 The Independent Review Panel comprises:
- a) A Head/Dean of School or their designate from another School.
  - b) A senior academic, not associated with the provision, from another Higher Education institution.
    - This excludes: current and former external examiners; those involved in the approval or monitoring of the programme; current and former students; potential employers. Where appropriate, a professional body representative may also be included on the panel.
  - c) Administrative support provided by Registry.
- 42.2.8 The Independent Review Panel may request any material it wishes and may meet particular groups of people. This may include senior staff in the School, teaching staff, students, employers.
- 42.2.9 After the review, the Independent Review Panel produces a draft report, including possible actions for consideration; the point in the assessment process at which the anomaly was identified (before or after the marks have been agreed) will influence what actions may be required.
- a) Any actions need to be fair and equitable not just for those affected but for all other students.
  - b) Any action should not give those affected by the anomaly an unfair advantage.
  - c) Any action taken should be within the Terms of Reference of the appropriate body; clear delegation is given to the Chair to act if required.
  - d) An action is included that recommends what communications are required with students.
- 42.2.10 The report is processed as follows:
- a) The draft report is sent to the School for a factual accuracy check.
  - b) The updated report is sent to the Chair of the Quality and Standards Committee, to the Chair of the University Assessment Board, to the Head/Dean of School, the Academic Registrar and to any appropriate members of the School Senior Leadership team.
  - c) The recipients produce a consolidated action plan in response to the report and specifically to any recommendations that it includes. Any actions that have already been put into place should be included.
  - d) The report and the action plan are presented to the Quality and Standards Committee.

## Section 43 Scaling of marks policy

### 43.1 Purpose

- 43.1.1 This policy details the criteria and procedures for School Assessment Boards to apply scaling of marks at a component or module level in exceptional circumstances. This applies where a set of marks for a module or assessment component are deemed to not accurately reflect what other sources of evidence would show to be an expected level of student achievement, and where all students appear to have been disadvantaged by an exceptional circumstance impacting upon the normal operation of the programme of study as declared by the Chair of Academic Board.

### 43.2 Definition

- 43.2.1 **Scaling** is the adjustment of marks for an entire cohort carried out on an assessment component or final module mark so that the marks better reflect the achievement of the students as defined by the Generic Assessment Descriptors.

### 43.3 Scope

- 43.3.1 This policy applies to students enrolled on programmes delivered in whole by the University, or in whole or part by a franchise partner institution (franchise provision).
- 43.3.2 The procedure to be followed for scaling of marks in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in agreement between the University and the validated partner organisation in an exceptional circumstance impacting upon the normal operation of the programme of study.

### 43.4 Principles

- 43.4.1 Scaling is a process which may be employed, on an exceptional basis, to enable the mean mark for a given module or assessment component to fall within expected ranges derived from either:
- a) Previous student performance within the module over an appropriate time period (for example, 3 years). **Or**
  - b) The range of mean marks in all or part of that particular year of study for all modules taken by a given cohort of students.
- 43.4.2 Scaling is not a mechanistic process, but one which requires academic judgement, the key question being whether marks fairly reflect student achievement as described in Generic Assessment Descriptors. The use of scaling should therefore be exceptional.
- 43.4.3 Scaling should only occur after marking and moderation processes are complete as set out in [section 24](#) 'Marking and Moderation Policy'.
- 43.4.4 Scaling should be applied fairly to all marks awarded to students who attempted the assessment, not just a subset (for example, students who have not achieved a pass mark). It should not be applied to assessment awarded a zero for non-submission.
- 43.4.5 The process of scaling must not normally result in any mark being lower after adjustment than it was before the adjustment was applied.
- 43.4.6 Application of a scaling algorithm must not result in any module or assessment component mark which is greater than 100.
- 43.4.7 The rank order of students after scaling must be the same as the rank order of students before scaling.
- 43.4.8 Authority to apply scaling lies with the School Assessment Board under the delegated authority of the University Assessment Board and Academic Board. The basis for applying scaling and the algorithm used must be clearly recorded.

## 43.5 Process

- 43.5.1 After completion of the moderation process for each module, and any resulting adjustments to marks have been made, the range of mean marks for all modules within a year of study that contribute to the final award should be reviewed.
- 43.5.2 As part of this review process, Schools will review mean module marks against the range of mean marks for the module or a predecessor module (for example, where a programme has been revalidated) in the previous 3 years. Where data is not available, Schools should review the module mean mark against the range of mean marks in all or part of the particular year of study. The review can take place during or after the Module Mark Review meeting but must have been completed prior to the School Assessment Board.
- 43.5.3 The range within which the mean should not be lower than is determined from the highest and lowest mean mark (rounded to the nearest whole integer) from the previous 3 years, or from a minimum of 3 modules studied by the majority of the student cohort in all or part of the particular year of study.
- 43.5.4 The range of expected mean module marks may differ between programmes of study, cohorts, and Schools, but in each case will be based on the evidence of student performance.
- 43.5.5 After investigation of any module with a mean mark outside the expected range derived from [section 43.1.1](#), the marks can be either:
- a) **Confirmed**, if the marks awarded are deemed a fair and accurate reflection of student performance on the module, compared with performance on other modules in the same year of study. **Or**
  - b) **Scaled**, either for the module or for an individual assessment component, if the marks awarded are lower than the lowest mean mark for the module in the previous 3 years of study, or lower than the lowest mean mark from a minimum of 3 modules studied by the majority of the student cohort in all or part of the particular year of study.
- 43.5.6 If applied, scaling should take place using one of algorithms described in [section 43.6.1](#) below, to be agreed with the external examiner, such that the mean is changed by the least amount in order to lie within the expected range.
- 43.5.7 The scaled marks are recommended to the School Assessment Board (SAB) for approval. The senior Registry representative oversees the mark scaling approval at the meeting.
- The approved scaled marks are used for determining progression or award decisions. The School Assessment Board must complete a single 'SAB Special Resolution' form to report to University Assessment Board all the modules/assessments that were scaled at the Board. Separate forms are not required for every module/assessment. The SAB Chair will include details of the scaling, giving details of the justification, in the SAB Chair's report.

## 43.6 Scaling algorithm

- 43.6.1 The following scaling algorithms may be used:
- a) **Fixed number**: scaling in which a fixed number (for example, 3) is added to all marks for a module or assessment component, if no scaled mark is greater than 100. **Or**
  - b) **Multiplication by a factor**: scaling in which every mark is multiplied by the same factor (for example, 1.01) and rounded to the nearest whole integer, if no scaled mark is greater than 100.

## Section 44 Special Cases Panel

### 44.1 Overview

44.1.1 The Special Cases Panel is responsible for:

- Considering, on behalf of the University Assessment Board, individual student cases where a School requests that the progression and/or award outcome is varied.
- Considering variations to the University Regulations for an individual student.

44.1.2 This includes:

- a) Considering and determining recommendations from Schools:
  - That, because of unclear or uncertain exceptional circumstances, students be permitted to continue or progress on a programme of study, where such decisions may vary from the School Assessment Board's normal decision making.
  - That candidates be permitted to progress or graduate, where such decisions may vary from the School Assessment Board's normal decision making.
  - On any other special student cases referred to the Panel by School Assessment Boards.
- b) Ensuring assessment regulations, policies and procedures are applied properly and consistently, both to individual cases that come before the Panel and where guidance is sought from School Assessment Boards.
- c) Considering suspension of studies requests as detailed in [section 5.9.5](#).
- d) Considering variations from the programme specification or [University Regulations](#) for an individual student in exceptional circumstances.
- e) Considering programme restarts at Level 3 or Level 4 where more than 60 credits have been failed after reassessment.
- f) Consider requests to allow 20 Level 4 credits to be studied alongside Level 5 where part time study is not a possible option.

44.1.3 Considering recommendations as a final stage in the process to support students to progress or graduate. Recommendations should not be put forward as a means to prevent enforced withdrawal of enrolment due to academic failure where exceptional circumstances have not been considered.

44.1.4 The Panel may delegate authority to the Assessment team in Registry to make decisions in the following cases:

- To set aside marks where assessment deadlines have passed, where marks or non-submissions have not yet entered the record.
- To agree repeat teaching for up to 1 semester.
- To set aside marks or non-submissions where these have entered the student's record\*\*, where the recommendation is made as part of a suspension of studies request.

**\*\* Definition:** Failed marks or non-submissions are deemed to enter the record at the point where they are agreed by the School Assessment Board.

### 44.2 Guidance for schools

44.2.1 Applications to Special Cases Panel (SCP) are submitted by the School and it is therefore the School's responsibility to submit an application with the recommendations they would like SCP to consider along with supporting evidence from the student.

44.2.2 Schools must note that an SCP application should only normally be used as a final stage of support for a student, where other mechanisms have been utilised. If other support avenues have not been used by the student, then the SCP claim will normally be rejected. If a student has submitted an exceptional circumstances' claim that has been declined that same claim cannot be put forward to SCP.

## 44.3 Deadlines for submitting cases

44.3.1 Applications should be submitted to the Special Cases Panel (SCP) within the period in which the assessment impacted has taken place to be processed in time for the relevant School Assessment Board:

- For Semester 1 assessments the deadline will be mid-February.
- For Semester 1 resit assessments the deadline will be mid-June.
- For Semester 2 assessments the deadline will be the end of June.
- For Semester 2 resit assessments the deadline will be early September.
- For Semester 3 postgraduate assessment will be early November.

44.3.2 The exact deadlines are published on the [Examinations and Assessment Schedule](#).

## 44.4 Guidance on the conduct of the Special Cases Panel

44.4.1 Members will declare any interest in student cases being considered and will abstain from voting in any such case. Members will not consider cases from their own School.

44.4.2 Cases are reviewed and decisions approved remotely. Where further information is requested panel members are asked to re-review the case. Data on outcomes is considered by the University Assessment Board.

44.4.3 **Quorum:** at least 3 School representatives, plus the Chair and Executive Officer.

44.4.4 Chair's action may be required where the Panel is split, or quorum has not been possible, to avoid further delay in a decision being reached.



## Section 45 University Assessment Board

### 45.1 Purpose

- 45.1.1 The University Assessment Board has delegated authority by the Academic Board, to ensure that assessment procedures and quality assurance processes are properly conducted and to review progression decisions and the classification of awards approved by School Assessment Boards alongside identifying themes and trends within the data provided to the discussive meeting.

### 45.2 Scope

- 45.2.1 On behalf of Academic Board, to be responsible for:
- The oversight of School Assessment Board decisions relating to progression decisions and the classification of awards.
  - Convening a sub-committee (Special Cases Panel) to consider recommendations from School Assessment Boards.
  - The application of exceptional circumstances to progress and award decisions for individual students based on recommendations from Special Cases Panel.
  - The oversight of the Research Degrees Committee decisions relating to research degree awards and enforced withdrawals pertaining to research students.
  - Convening a sub-committee (Prizes Committee) to award university prizes and to review the University prize strategy.
  - Awarding of university prizes.
  - Overseeing emerging themes and trends that are identified during the discussive meeting and reviewing progress of any associated action plans.

### 45.3 Regulatory External Examiner for the University Assessment Board

- 45.3.1 The Regulatory External Examiner appointed to the University Assessment Board is expected to attend both meetings of the Board. During the academic year the Regulatory External Examiner may be asked to provide approval and endorsement of decisions electronically. If deemed necessary, exceptional meetings (online) may be scheduled to discuss specific issues with the Regulatory External Examiner.

### 45.4 Guidance on the conduct of the University Assessment Board

- 45.4.1 The Board should ensure that:
- Rules for progress and award are applied consistently and equitably.
  - Appropriate consideration has been given to exceptional circumstances.
  - Discretion is exercised consistently.
  - Appropriate decisions are taken regarding progress and award.
  - All proceedings are kept in the strictest confidence.
- 45.4.2 In advance of the annual approval meeting:
- Marks and information regarding student progression and achievement will be collated by the Assessment team in Registry.
  - Information on exceptional circumstances will be assembled by School Assessment Boards in liaison with Registry and presented to the Special Cases Panel for recommendation.
  - Proposed resolution of unresolved issues will be identified by the Assessment team in Registry, supporting paperwork is provided by Schools.
  - Chairs of School Assessment Boards will be asked to submit a Chair's report to the Board.

- 45.4.3 At the annual approval meeting:
- Confidentiality: At the start of the meeting there should be a reminder that the proceedings are in strictest confidence.
  - Confirmation that the University's assessment procedures and quality assurance processes, including external examiner concurrence, have been properly conducted at all School Assessment Boards and at the Research Degrees Committee.
  - Consideration of results for modules across the University.
  - Endorsement of the outcomes and application of the University's assessment and progression regulations by the External Examiner.
- 45.4.4 After the annual approval meeting:
- Minutes to be finalised by the Assessment team in Registry and agreed with the Chair of the meeting.
  - Action points from the minutes to be agreed with the Chair and highlighted in the minutes for those responsible for the action.
- 45.4.5 In advance of the annual discussive meeting:
- Data relating to outcomes, progression, awards, awarding gaps and casework will be collated by Registry and shared with attendees.
  - Additional invitees, as per the Terms of Reference, will be invited to the meeting.
  - Chairs of School Assessment Boards will be asked to submit a Chair's report to the Board.
- 45.4.6 At the annual discussive meeting:
- Data sets will be considered.
  - Principles of decision-making will be considered alongside the views of the External Examiner.
- 45.4.7 After the annual discussive meeting:
- Minutes to be finalised by the Assessment team in Registry and agreed with the Chair of the meeting.
  - Action points from the minutes to be agreed with the Chair and highlighted in the minutes for those responsible for the action.
  - Matters of policy will be referred to the Quality and Standards Committee.
- 45.4.8 Attendance is expected of all members of the Board and those designated as being in attendance. Unavoidable absence should be notified where possible in advance to the Chair of the Board and a substitute nominated. Colleagues need to ensure that the substitute is provided with all the necessary information in writing.
- 45.4.9 The Chair, Deputy Chair or their nominee are empowered to make progression and award decisions relating to individual students on the Board's behalf as may be required between meetings.
- 45.4.10 The Academic Registrar and Head of Registry have delegated responsibility to agree conversion marks and successful progression for students returning from study abroad.
- 45.4.11 **Quorum:** Chair or Deputy Chair, Executive Officer, and Academic Registrar (or nominated deputies to be agreed with the Chair in advance of the meeting).
- 45.4.12 **Reviews:** Throughout the academic year, after School Assessment Boards have taken place, the Board will consider the following electronically:
- Student profiles accompanied by commentary from the Academic Registrar, or their nominee.
  - Special resolutions, accompanied by a report from the School Assessment Board Chairs.
  - Special Cases Panels decisions, accompanied by a report from the Chair of the Panel.
  - Written confirmation from School Assessment Board Chairs that assessment procedures have been properly conducted.
  - Written confirmation from School Assessment Board Chairs that external examiner concurrence has been received.
  - Written confirmation from the Chair of Research Degrees Committee that procedures have been properly conducted.

## Section 46 Recording and notification of results

### 46.1 Mark/grade terminology

- 46.1.1 Provisional marks/grades – all marks are provisional until they have been approved by a School Assessment Board.
- 46.1.2 Agreed marks/grades – marks that have been approved by a School Assessment Board are referred to as agreed marks.

### 46.2 When and how module marks are released

- 46.2.1 Provisional marks are released by the Module Director/Lead to students along with their feedback, normally within 3 weeks of the assessment date. Marks remain provisional at this stage.
- 46.2.2 If students wish to query their module marks with their School, they must do so after the marks have been confirmed at School Assessment Board, not before. Students cannot challenge the academic judgement of the examiners.
- 46.2.3 The system used to release provisional marks for programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

### 46.3 Recording results

- 46.3.1 Once a piece of work submitted by a student is marked (and moderated / calibrated), the Module Director/Lead enters the provisional mark in e:Vision with the appropriate grade annotator in preparation for the School Assessment Board.
- 46.3.2 The deadline for entering marks in e:Vision is published in the Examination and Assessment Schedule.
- 46.3.3 Agreed (confirmed) marks are not visible to students in e:Vision until marks have been agreed by the School Assessment Board and updated to agreed status in e:Vision.

### 46.4 Approval and release of results

- 46.4.1 Module marks will be formally approved at School Assessment Boards.
- 46.4.2 External examiners are involved in the consideration of all assessment results contributing to final awards and will provide their concurrence.
- 46.4.3 School Assessment Boards is responsible for making decisions on progress within a programme of study and for final awards.
- 46.4.4 Following the last School Assessment Board students will receive an email confirming their agreed results are available in e:Vision and to notify them of the arrangements for reassessments and/or other progression/award decisions. Award classifications are also made available to students through e:Vision.
- 46.4.5 The system used in relation to release of agreed results for programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.
- 46.4.6 The expected result release date is published in the Examination and Assessment Schedule.
- 46.4.7 Successful students will receive notification of their award by letter in the period following the School Assessment Board.
- 46.4.8 The process flowchart for marking, moderation, agreeing and releasing marks can be referred to in [section 24.8](#).

### 46.5 Professional registration procedure

- 46.5.1 Certain programmes of study at the University are professionally accredited. These are primarily in the areas of education, health and counselling.
- 46.5.2 The intended professional award will be dependent on successful completion of the programme of study. The Student Data and Returns team in Registry will notify the professional body once the awards have been confirmed by the School Assessment Boards.

## Section 47 Graduation, certificates, transcripts and prizes

### 47.1 Scope

- 47.1.1 This section applies to students enrolled on programmes delivered in whole by the University, or in whole or part by a franchise partner institution (franchise provision).
- 47.1.2 The procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) will be set out in the programme documentation provided by the validated partner.

### 47.2 Notification of results

- 47.2.1 All students will be notified of results annually and will be invited to re-enrol where applicable.
- 47.2.2 The University does not provide an approximation of a cumulative grade point average (GPA) as this could potentially prove misleading and be open to challenge.
- 47.2.3 There are several sources that a student or organisation might refer to in undertaking their own comparison:
  - [Foreign Credits, GPA Calculator](#)

### 47.3 Official student name

- 47.3.1 The student's official name and not any 'KNOWN AS' name is used on the certificate and transcript.
- 47.3.2 Students who wish to change their official name from the one used when they first enrolled with the University must submit a Notification of Change of Official Name and provide supporting evidence that the new name is valid. For more information, please visit our [Student Hub](#).

### 47.4 Transcripts of results

- 47.4.1 A transcript includes all module marks and grades attained at the University.
- 47.4.2 A digital version of the transcript will be available for students to access by registering a GradIntelligence account soon after the School Assessment Board. The Student Records team in Registry will send full details to students when the transcript is available. Digital transcripts can be shared with third parties as a verified record of results and award.
- 47.4.3 Physical copies of transcripts can be made available upon request for which there will be a charge.
- 47.4.4 For more information, please visit our [Student Hub](#).

### 47.5 Award certificates

- 47.5.1 Certificates will be supplied for successful students for programmes of study leading to awards of York St John University. Certificates and supplementary transcripts will be released to students when their award has been approved by the School Assessment Board (SAB). These will be supplied via GradIntelligence, full details of how to register to access digital credentials will be provided by the Student Records team in Registry when the documents are available for release approximately 3 weeks after the SAB.
- 47.5.2 In the absence of a certificate the student's official award letter should be sufficient confirmation of award for employers or education providers.
- 47.5.3 Certificates and transcripts of results may be withheld pending the payment of outstanding academic fees.
- 47.5.4 Certificates and transcripts of results for apprenticeship programmes may be withheld pending the submission of documentation required by the Education and Skills Funding Agency (ESFA) to release payments.
- 47.5.5 For apprenticeship programmes, certificates and transcripts for awards that form part of the programme will be withheld until end-point assessment (EPA) has been completed.
- 47.5.6 Certificates for franchise partner institutions (franchise provision) and validated partner organisations (validated provision) are produced by the University following the School Assessment Board meetings. The certificates are normally mailed to the partner institutions for distribution to students. Franchise partnership students whose awards were confirmed from July 2023 onwards will also be eligible for an account through GradIntelligence.

## 47.6 Graduation

47.6.1 The University holds graduation ceremonies annually to bestow degrees and awards upon students at the University who have successfully completed their studies and had their award approved at a School Assessment Board.

47.6.2 Programmes eligible for graduation are intended awards and include:

- Certificates of Higher Education (where this was the student's intended award, that is not an exit award).
- Foundation degrees.
- Diplomas of Higher Education (where this was the student's intended award, that is not an exit award).
- Bachelor's degrees (Honours and Ordinary).
- Graduate diplomas.
- Postgraduate Certificates in Education (PGCE), and its exit award Professional Graduate Certificate in Education.
- Postgraduate certificates (where this was the student's intended award, that is not an exit award)
- Postgraduate diplomas (where this was the student's intended award, that is not an exit award; or where the exit award is a professional body qualification, for example, the Postgraduate Diploma in Counselling).
- Master's degrees.
- Doctorate and Professional Doctorate degrees.

47.6.3 Programmes not eligible for graduation are normally exit awards and include:

- Foundation certificates.
- University diplomas and certificates.
- Certificates of Higher Education (where these were awarded as an exit award).
- Diplomas of Higher Education (where these were awarded as an exit award).
- Graduate certificates.
- Postgraduate certificates (where these were awarded as an exit award).
- Postgraduate diplomas (where these were awarded as an exit award).

47.6.4 For more information and guidance, please visit our [graduation page](#).

## 47.7 University prizes

47.7.1 The University awards several university prizes at graduation to celebrate student achievement.

47.7.2 For more information and guidance, please visit our [graduation prize page](#).

47.7.3 Requests by Schools for new university prizes are considered by the Prizes Committee, a sub-committee of the University Assessment Board. Further information can be sought from the Assessment team in Registry.

## Section 48 Appeals: policy and procedure

### 48.1 Scope

- 48.1.1 This policy applies to students as set out in [section 1](#).
- 48.1.2 The procedure to be followed in relation to programmes delivered by a validated partner organisation (validated provision) is explained in the [section 48.11](#) below, but students should also refer to documentation provided by the partner organisation.

### 48.2 Policy introduction

- 48.2.1 Students should note on their 'Appeal' form if they have a disability that requires the University to make reasonable adjustments to accommodate their needs during the appeal process.
- 48.2.2 This is the procedure to follow if a student wants to appeal a decision of the University Assessment Board or of the School Assessment Board (the examiners).
- 48.2.3 Students cannot appeal against the academic judgement of the examiners or request a remark of their assessment. If a student has concerns about the mark or feedback they received, they should discuss them with the module tutor or programme lead. All assessments follow the University's marking and moderation procedures, which include review by external examiners. Further details on these processes can be found in [section 24](#) and [section 39](#). The module tutor or programme lead can provide clarification and discuss the feedback received.
- 48.2.4 Students can appeal against an assessment decision if they believe and have evidence that any of the following apply:
  - a) There were relevant exceptional circumstances (for example, illness), and the student has a good reason for failing to notify the Exceptional Circumstances Panel of these sooner. Normally a student must inform the Exceptional Circumstances Panel by the assessment deadline (or up to 5 working days after the deadline in the case of examinations), by using the 'Exceptional Circumstances' procedure (refer to [section 13](#)). A 'good reason' means that circumstances are beyond a student's control and prevented the student from disclosing the relevant circumstances at the appropriate time. Personal embarrassment or unwillingness to disclose personal circumstances are not considered 'good reason' for the purposes of an appeal.
  - b) Where a student did notify the Exceptional Circumstances Panel earlier about exceptional circumstances or some other disruption of the assessment process, but there is clear evidence that the exceptional circumstances procedure was not correctly followed. The fact that a student disagrees with the way in which their exceptional circumstances were considered is not in itself grounds for appeal.
  - c) A procedural irregularity has occurred; the assessment was conducted unfairly or improperly.
- 48.2.5 Students can appeal:
  - a) The decision to withdraw a student's enrolment (enforced withdrawal).
  - b) The decision on whether a student can progress within their programme.
  - c) The opportunity for a reassessment.
  - d) The application of a capped mark.
  - e) [Research students only] The decisions reached by the Transfer Panel affecting progression.
- 48.2.6 If a student believes that their reasonable adjustments have not been put in place in a timely way, and their marks have been agreed, they can submit an appeal form to [casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk) with the relevant details. The Student Casework team will consult with the Disability Support and Inclusion team to confirm whether delays occurred. If the Disability Support and Inclusion team confirms that there were delays, the student will be permitted a further attempt at the assessment. This will be capped or uncapped depending on the previous attempt. If the Disability Support and Inclusion team does not confirm delays, the Student Casework team will provide guidance on alternative next steps. Students may still submit an appeal under the grounds outlined in [section 48.2.4](#).
- 48.2.7 If a student's marks have not yet been agreed but they believe reasonable adjustments have not been put in place in a timely way, students should contact their School (via their tutor or programme lead) for advice. The School may submit a case to the Special Cases Panel.



- 48.2.8 If a student believes they have received the incorrect mark for an assessment, they should first speak to their School to query this. If the School establish an error in mark entry has occurred, guidance can be sought from the Assessment Team in Registry to correct this.
- 48.2.9 This appeal procedure may only be used where a student is seeking to have an examiners' decision reviewed. If a student is dissatisfied with teaching or other service provision, the student should use the Complaints Procedure instead. If a student submits an appeal that the Head of Governance and Compliance believes would be more appropriately dealt with as a complaint, the University may decide to follow the complaints procedure instead of, or as well as, the appeals procedure.
- For more information, please visit our [concerns and complaints page](#).
- 48.2.10 This procedure does not apply to an appeal relating to a finding of academic misconduct such as cheating or plagiarism – there is a separate 'Academic Misconduct Policy' for this (refer to [section 27](#)).
- 48.2.11 This procedure applies to current students, and also applies to students who have previously withdrawn or graduated provided the appeal is submitted within the appeals timeframe detailed in [section 48.6.4](#).
- 48.2.12 The immigration status of students who hold a Student Visa will be affected by an enforced withdrawal of enrolment; the change of circumstance will be reported to UK Visas and Immigration (UKVI). The report to UKVI will not be withdrawn just because a student has submitted an appeal. The report to UKVI will only be withdrawn if the appeal is successful and the student is permitted to return to the programme.
- 48.2.13 If a student's enrolment has been withdrawn (enforced withdrawal), they are no longer entitled to participate in teaching and learning activities. They should not attend/participate pending an appeal outcome. If an appeal is upheld, they will be notified when they will be able to re-enrol and resume their studies.
- 48.2.14 Indicative timescales for the University's response are provided below. The University will do its best to abide by the time limits set out in these procedures, but it may not always be possible to do so. The University aims to complete all the steps described in this procedure **within 90 calendar days** of the start of the appeal. For cases where the student holds a Student Visa the expiry date of that visa will be taken into account.
- 48.2.15 Appeals relating to the decisions of examiners are ultimately eligible for review by the Office of the Independent Adjudicator for Higher Education. For more information refer to [section 48.10](#).

### 48.3 Principles

- 48.3.1 The appeals procedure shall be implemented with due regard to the need to eliminate discrimination, harassment and victimisation, advancing equality of opportunity, and fostering good relations. The procedure applies equally to all students irrespective of age, disability, gender identity, pregnancy or maternity, race, religion or belief, sex, or sexual orientation.
- 48.3.2 The University is committed to procedures that are fair and transparent, and decisions that are reasonable and have regard to law.
- 48.3.3 All staff involved in deciding a student's appeal will do so impartially. No staff members with a material personal interest in the appeal will be involved in deciding the appeal.
- 48.3.4 A student will not be treated less favourably by the University because of making an appeal. A student can expect their appeal to be dealt with seriously and constructively, once it is made in good faith.
- 48.3.5 Where an appeal is upheld, the University will offer what it deems to be an appropriate remedy. The remedy must be in line with the University regulations, for example, if conditional progression is approved this must only be approved where the student has achieved 100 credits. If the student does not have 100 credits, conditional progression would not be permitted, and the student would need to complete an external resit. If the appeal is following a Support to Study meeting, as detailed in [section 19.3](#), the University will follow its standard appeal procedures for such appeals. If the Appeals and Conduct Committee upholds the appeal, the case will be referred back to a new Visa Compliance Review to be considered afresh.
- 48.3.6 Appeals submitted with fraudulent evidence or based on false exceptional circumstances will be considered as deception and will be subject to the University's Student Behaviour and Disciplinary procedures, which may lead to the appeal not being processed or referred to the Appeals and Conduct Committee. The Student Casework team will refer any concerns to the University Disciplinary Officer who will determine if any action will be taken.
- 48.3.7 The appeal can normally only be started and progressed by a student themselves. A third party may not do it on a student's behalf. (This does not affect a student's right to have a supporter during a Committee hearing as set out below in [section 48.8](#)).



- 48.3.8 Where the issues raised affect several students, students may submit a group appeal. The University retains the discretion to communicate directly with some or all of the students individually, particularly where the substance or circumstances of the appeal differ, and to reach different decisions where it deems this to be appropriate. In processing a group appeal, the University may ask the group to nominate 1 student to act as group representative, to communicate on the group's behalf with the University and to liaise with the other students. Each student needs to communicate in writing to the Student Casework team ([casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk)) their wish to be represented by the designated individual.
- 48.3.9 A student may withdraw the appeal at any point in the process by sending an email marked 'withdrawal of appeal' to the Student Casework team at [casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk).
- 48.3.10 Details of a student's appeal will be kept confidential, except where the disclosure is necessary to progress the appeal or implement a decision on the appeal, or where it is required by law or in the public interest. If there are elements of an appeal which are particularly sensitive and a student has particular concerns about their confidentiality, the student is welcome to indicate this fact to the Student Casework team ([casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk)) who will discuss with the student how disclosure can be minimised.

## 48.4 Support and advice before making an appeal

- 48.4.1 Before making an appeal, the University recommends that the student request an informal discussion with appropriate staff from their School. This is to ensure that the student fully understands the decision, the reasons behind it and the implications for their progression and/or award. **A student's results will not be changed because of this discussion**, but it may help a student to clarify whether an appeal is an appropriate step to take.
- 48.4.2 Students may find it helpful to ask the Students' Union for advice and guidance on their intended appeal. For more information, visit the [Students' Union page](#).
- E: [su.advice@yorksj.ac.uk](mailto:su.advice@yorksj.ac.uk)
- 48.4.3 Students who have any questions about how the appeals process works should contact the Student Casework team ([casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk)).

## 48.5 Records, monitoring and review relating to the policy and procedure on appeals against the results of examinations and assessments

- 48.5.1 The University will keep and dispose of all correspondence relating to appeals in accordance with the appropriate principles on data protection available on our [data protection page](#).
- 48.5.2 A report on appeals and their outcomes will be produced annually and submitted to the Quality and Standards Committee for consideration. A summary report will be considered by Academic Board and the Board of Governors through the Annual Quality Report. This process will ensure appropriate monitoring of all appeals and related outcomes and is intended to facilitate learning from appeals.

## 48.6 How to appeal

- 48.6.1 Appeals should be made on the 'Appeal' form and submitted to [casework@yorksj.ac.uk](mailto:casework@yorksj.ac.uk). Students are advised to request a 'read receipt'.
- 48.6.2 On the form, students must make a full statement of **all grounds** of appeal and submit this with all necessary **supporting evidence**. This may include death certificates and/or notes from doctors concerning health conditions. Refer [section 13.10](#) of the Exceptional Circumstances Policy which details suitable types of evidence that could be used for different scenarios. The student will generally not be allowed to introduce new material later in the appeal process. Supporting evidence should be provided in English. Where the original document is in another language, the student must provide both the original document and a translation into English. This need not be a professional translation – the student may provide their own translation. The student can expect the University to check the accuracy of their translation.
- 48.6.3 The student should use the form to say clearly what remedy they are seeking.
- 48.6.4 The deadline for submission of appeals is **10 working days** following the publication of results. Where progression is affected, students are advised to appeal as soon as possible.
- 48.6.5 Appeals received beyond the specified time period will not normally be considered. Special consideration will only be given exceptionally, where the student provides a substantiated, valid reason for any delay, in writing and in conjunction with the late submission. If the student believes that a valid, substantiated reason for the delay has been provided but not accepted, the student may challenge the decision not to accept by writing to the Vice Chancellor **within 10 working days** of the decision by completing the form. If the Vice Chancellor agrees with the challenge, the appeal will be considered in the usual manner described below. If the Vice Chancellor does not agree with the challenge, a 'Completion of Procedures'

letter will be issued which will allow the student to raise the out of time issue with the Office of the Independent Adjudicator for Higher Education (OIA) – refer to [section 48.10](#).

- 48.6.6 Students should expect to receive an acknowledgement of their appeal **within 5 working days**.
- 48.6.7 Any correspondence from the University shall be deemed to have been delivered 48 hours after emailing or posting to the address notified to the University by the student. Students must keep the University informed of any changes of address.
- 48.6.8 The University's preferred means of correspondence is email as this enables communication to be quick and efficient, students should indicate if they prefer to correspond by letter.

## 48.7 What will happen

- 48.7.1 The Student Casework team will assess appeals based on the individual merits of each case, relying on objective data sources where possible within **10 working days**. A response from the student's School may be requested where programme specific regulations have a direct and material impact on the case.
- 48.7.2 For cases relating to delays in reasonable adjustments, a written statement from the School on a student's classroom engagement or assessment performance may be sought where this information is not otherwise available and where it is directly relevant to informing future Learning Adjustment Plans (LAPs).
- 48.7.3 The Student Casework team will contact Finance to check if the student owes any fees and any details on the communications the Finance team have had with the student about outstanding fees/debts. This information will be considered as necessary at the outcome stage of the appeal.
- 48.7.4 Where necessary, the Student Casework team will also request a response from the Visa and Compliance team.
- 48.7.5 The case will be reviewed by a Panel, normally composed of at least two members of the Appeals and Conduct Committee.
- 48.7.6 The case will be reviewed by a Panel, normally composed of at least two members of the Appeals and Conduct Committee.
- 48.7.7 There are 4 possible outcomes from this Panel review:
  - a) The matter is to be remedied without further recourse to the Appeals and Conduct Committee. This means that the student will be offered a remedy without any need for a Committee hearing.
  - b) The appeal to be heard by the Appeals and Conduct Committee (refer to next section).
  - c) The appeal to be dismissed on the grounds that the application does not on the face of it show that there is a case to be answered.
  - d) The appeal to be dismissed on the grounds that there is no valid remedy open to the Appeals and Conduct Committee.
- 48.7.8 Where an appeal is upheld, and a student has outstanding fees/debt, any remedy that is offered is contingent on outstanding fees/debts being resolved. Should the student fail to make payment of fees or adhere to any payment plans, they may then be withdrawn as per the procedure detailed in the [Student Financial Regulations](#).
- 48.7.9 If the student is not happy with this decision, including if they do not wish to accept the remedy offered, they may complete the 'Appeal to Vice Chancellor' form to refer the case to the Vice Chancellor **within 10 working days** from the date on the Panel decision. The Vice Chancellor or delegate will review the case and make a final decision on whether the Committee should consider the appeal further. If the Vice Chancellor or delegate upholds the Panel's decision, the student has come to the end of the University's appeal procedure. The student will receive a 'Completion of Procedures' letter. If the student remains dissatisfied, they have **12 months** to apply for a review by the Office of the Independent Adjudicator for Higher Education, as set out in [section 48.10](#) below.

## 48.8 Hearing by the Appeals and Conduct Committee

- 48.8.1 The Appeals and Conduct Committee has been given the power by the Academic Board to consider appeals. The Committee will create from its members a Panel to hear student appeals. It will not include any staff previously involved with a student's appeal, to ensure that the members are independent. Where appropriate, it may seek advice from or co-opt staff members who can offer specialist advice, for example, on equality and diversity matters.
- 48.8.2 If the Committee asks a student to appear before it at a hearing, the student may choose to be accompanied by a supporter as defined in [section 2.1.11](#). If the student's supporter behaves inappropriately at any stage while the hearing is being dealt with, this person will be asked to withdraw involvement. It is not normally expected that the student will have legal representation, but if the student believes it is justified in the circumstances, the student should make these reasons known to the Head of Governance and Compliance, as Chair of the Appeals and Conduct Committee, **at least 3 working days** in advance of the hearing. If the Chair believes the student has established compelling grounds for legal representation, it will be permitted.
- 48.8.3 Audio or video recordings of the meeting must not be made. AI notetaking software must not be used during the meeting.
- 48.8.4 If the student is unable to attend the meeting, which may take place physically or via videoconferencing, exceptionally, the Committee will reserve the right to hear the appeal in their absence, drawing such conclusions as it deems appropriate. At the hearing, the student or student's supporter (where permitted) may make a statement, and the Committee may ask questions of them. The student and their supporter may consult each other. The Committee will also require a School representative to be available to appear before the Committee to answer questions. Students can expect the School representative to be present while the student is heard, and for the student to be present while the School representative is heard. Minutes are taken and are available to the student afterwards upon request.
- 48.8.5 It is not normally possible to introduce new grounds for appeal at this stage, unless it relates to evidence that could not have been provided sooner, for example, a medical specialist's report that the student received after they submitted their appeal.
- 48.8.6 The student and their supporter will be asked to leave the room while the Committee discusses the case. The School representative will also leave the room.
- 48.8.7 The Committee will decide whether the student has provided sufficient evidence to substantiate their claim on the balance of probabilities, for example, that what the student has claimed is more likely than not to be the case.
- 48.8.8 The student will not usually receive a final decision on the day of the hearing. The student will receive a final decision in writing, including the reasons for the decision, as soon as possible after the hearing, and normally **within 10 working days**.

## 48.9 Review by the Vice Chancellor

- 48.9.1 If a student is still dissatisfied with the decision, they may ask the Vice Chancellor of the University to review the case. The student must make this request by submitting the relevant appeal on the 'Appeal to the Vice Chancellor' form **within 10 working days** from the date on the letter notifying the student of the decision of the Appeals and Conduct Committee. The Vice Chancellor's decision on the case will be final as far as the University's internal procedures are concerned. The Vice Chancellor may delegate the review to an appropriate person.
- 48.9.2 The Vice Chancellor (or delegate) has the discretion to permit late appeals to the Vice Chancellor to be considered, if there are exceptional circumstances justifying the later submission. Evidence may be requested in relation to this. If a late appeal is not permitted, the University will, if the student requests, issue the student with a 'completion of procedures' letter to allow the student to have the decision reviewed by the Office of the Independent Adjudicator.
- 48.9.3 The Vice Chancellor (or delegate) will review the decision on the following grounds only:
- a) The decision of the Committee was unreasonable in the light of the evidence supplied.
  - b) The procedure for the hearing of the appeal was deficient in a way which materially prejudiced the student's case.
- 48.9.4 The Vice Chancellor (or delegate) will base the decision on the written material submitted to the first hearing of the case, a written statement of the outcome of the appeal and the student's written case. The Vice-Chancellor will not normally consider new grounds of appeal or new evidence, unless there is new material evidence which the student was unable, for valid reasons, to provide earlier in the process.

- 48.9.5 If the Vice Chancellor (or delegate) believes that the student has established grounds for appeal, the appeal will be returned to a new panel for fresh consideration.
- 48.9.6 The Student Casework team will send the student the decision of the Vice Chancellor's (or delegate's) review in writing as soon as possible and normally **within 10 working days**. If the student has not established grounds for appeal, the student has come to the end of the York St John University appeals procedure. The student will receive a 'Completion of Procedures' letter. If the student remains dissatisfied, they now have the opportunity to apply for a review by the Office of the Independent Adjudicator for Higher Education.

## 48.10 Office of the Independent Adjudicator for Higher Education

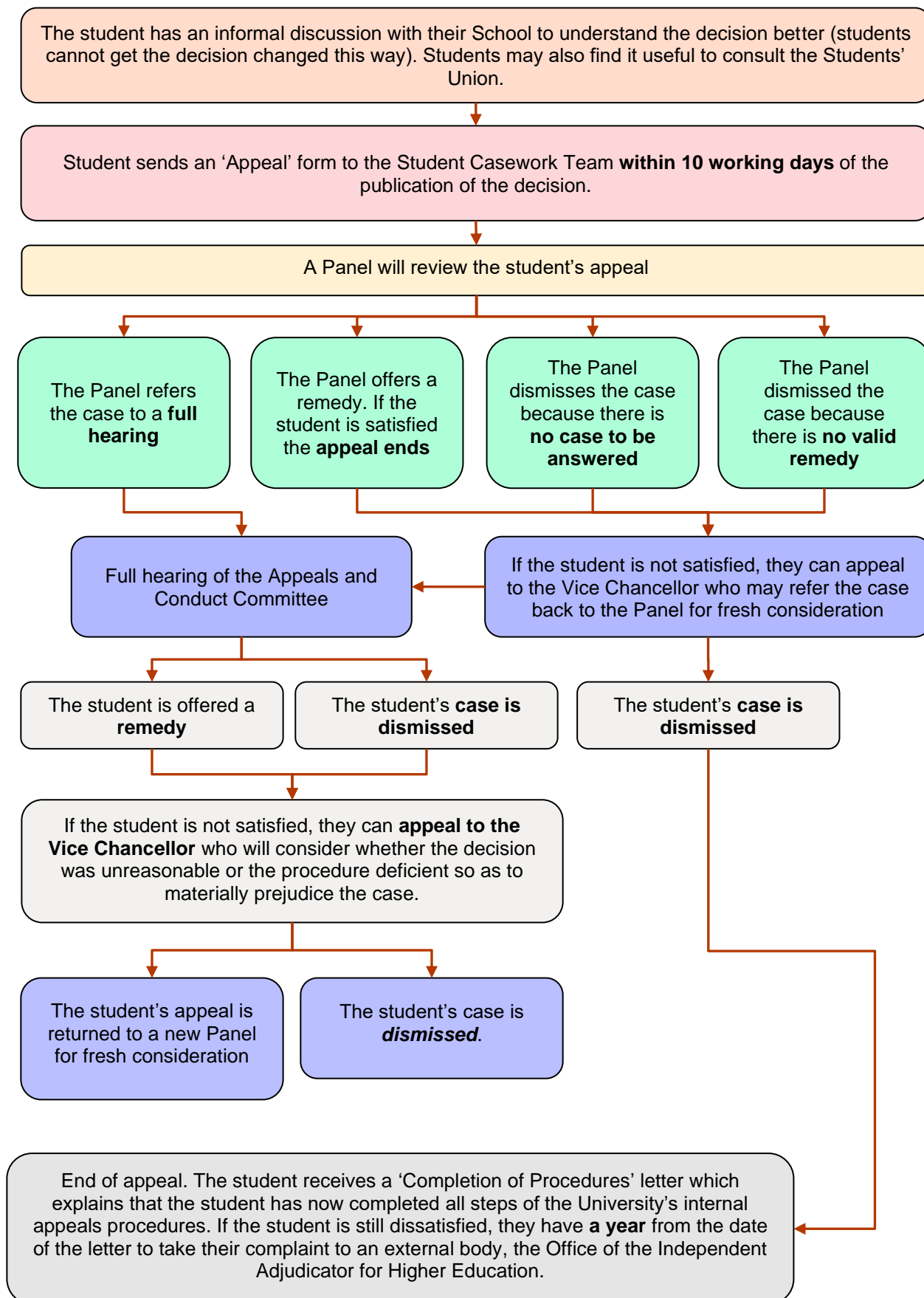
- 48.10.1 The Office of the Independent Adjudicator for Higher Education (OIA) is an independent body which was established by the Higher Education Act 2004 to consider student complaints which had not been resolved through an institution's internal procedures. If a student has received a 'Completion of Procedures' letter from the University and they remain dissatisfied with the outcome, they may ask the OIA to review their appeal. The deadline for an appeal to the OIA will be set out in the 'Completion of Procedures' letter. This service is free to students. For more information, please visit the [OIA page](#).

## 48.11 Programmes delivered by a validated partner organisation

- 48.11.1 The procedure to be followed in relation to programmes delivered by a validated partner organisation will be set out in the student's handbook or other programme documentation. Students should follow those procedures. Where this entails initial consideration by the validated partner organisation there will be an opportunity, once the student has exhausted those procedures and if the student remains dissatisfied with the decision, to write to the Vice Chancellor, or delegate, at York St John University to seek a review of that decision. The student should do so by emailing [casework@yorks.ac.uk](mailto:casework@yorks.ac.uk). Any such appeal should be received **within 10 working days** of the validated partner organisation's decision, setting out the details of their appeal. The Vice Chancellor, or delegate, will review the decision and make a decision which is final for the purposes of the University's internal procedures. A 'Completion of Procedures' letter will be issued so that if the student is still dissatisfied, they may then apply to have their case reviewed by the Office of the Independent Adjudicator for Higher Education.
- 48.11.2 The Vice Chancellor (or delegate) has the discretion to permit late appeals to the Vice Chancellor to be considered, if there are exceptional circumstances justifying the later submission. Evidence may be requested in relation to this.

## 48.12 Flowchart – how to appeal

48.12.1 This flowchart is designed to illustrate the procedure for appealing an academic decision. Students are advised to read the full procedure before submitting their appeal.



## Section 49 Retention of student work policy

### 49.1 Retention and reasons for archiving student work

- 49.1.1 Examination scripts and assessed work will remain in the possession of the University. Subject-areas will arrange to give feedback on examination performance as requested. Students who wish to retain copies of assessed work are advised to ensure that they have provided themselves with a copy prior to submission.
- 49.1.2 The reasons for archiving student work include:
- a) The need to have work available in the event of an academic appeal.
  - b) The requirement of quality assurance and benchmarking of academic standards over time.
  - c) The provision of a resource for staff development purposes to staff new to the University and to new external examiners.
  - d) To comply with regulatory requirements.
- 49.1.3 Student assessed work and examination scripts will be retained in accordance with external requirements.
- 49.1.4 Work should be retained and disposed of in accordance with the [Data Retention and Erasure Policy](#).

### 49.2 Archiving for standards

- 49.2.1 The University requires Schools to set up module records and retain:
- a) Assessed work in accordance with external requirements, as well as a sample of feedback from tutors and evidence of moderation.
  - b) Module handbook / Moodle site.
  - c) Mark sheet showing the complete results for the module.
  - d) A paper showing an analysis of trends of results in the module. Schools should consider analysing trends over a 3-year period.



## Section 50 Contingency plans for staff shortages that impact on assessment and examinations

### 50.1 Context

- 50.1.1 This plan presents a set of contingencies that may be implemented when **exceptional** situations arise that impact on the timely completion of assessment processes. It includes contingency arrangements for setting assessments, marking assessments, and making progression and award decisions for all programmes at undergraduate and postgraduate level. It deals only with circumstances that are affected by widespread staff availability; student absences are already covered under the 'Exceptional Circumstances Policy' (refer to [section 13](#)).
- 50.1.2 In the event of contingency plans being implemented, the University will work with the Students' Union to facilitate student understanding of the plans.
- 50.1.3 Where relevant, this plan should be read in conjunction with the University's [Major Incident Framework](#) and the [Emergency Regulations for Progression and Award](#).

### 50.2 Principles

- 50.2.1 The contingency plans are informed by the following principles:
- The integrity of the assessment processes is preserved.
  - Students are not disadvantaged in terms of overall achievement or progression.
  - Academic standards are protected through the preservation of normal rules of conduct for the quality assurance of assessment, including the use of appropriate alternatives.
  - There is no compromise to the principles of fairness, equity, clarity, and consistency in relation to assessment and awards.
  - Independence (through appropriate use of external examiners) in assessment processes is maintained.
  - The role of bodies with deliberative oversight of assessment matters – for example, the Academic Board, the Quality and Standards Committee, School Quality Panels, the University Assessment Board and School Assessment Boards – is not compromised.

### 50.3 Circumstances under which contingency arrangements may be adopted

- 50.3.1 Contingency arrangements will only be implemented in exceptional circumstances and only where it is judged necessary because of the scale of impact on the timely completion of assessment processes. Contingency arrangements will not be implemented to address situations arising from individual staff absences which can be addressed through usual procedures.
- 50.3.2 Where staff are absent and/or unable to either set or assess work submitted for summative assessment within the period of time required to enable normal assessment or approval processes to occur.
- 50.3.3 Where circumstances affect staff, whose absence would prohibit the normal operation of examination processes including the School Assessment Boards, Special Cases Panel, and/or University Assessment Board.
- 50.3.4 Where external examiners are absent or unable to undertake their duties at a key time of year that affects progression and award decisions.

### 50.4 Approval process for implementing contingency arrangements

- 50.4.1 The Chairs of the University Assessment Board and of the Quality and Standards Committee shall approve the implementation of contingency arrangements in consultation with the Academic Registrar and the Regulatory External Examiner. The decision to implement contingency arrangements will be reported to the Academic Board as soon as possible.
- 50.4.2 Under this plan, Academic Board has delegated responsibility to the Chair of the Quality and Standards Committee and Chair of the University Assessment Board to approve additional special measures and contingency plans to enable School Assessment Boards to carry out their business. If deemed necessary, the Regulatory External Examiner will be consulted.



## 50.5 Contingency arrangements

- 50.5.1 The Heads/Deans of School carry the overall responsibility for managing the delivery of assessment across their schools and will be proactive in achieving this, consulting with the Academic Registrar on regulatory matters and with the Chair of the Quality and Standards Committee on matters of quality assurance and academic standards. Normal processes for the consideration of appeals, complaints, exceptional circumstances, and cases of academic misconduct will continue to apply.

## 50.6 Contingency arrangements for setting assessment

- 50.6.1 The Heads/Deans of School are responsible for establishing a secure process for setting assessment(s) in the event of staff absence(s). Where possible, the intention is for the assessment to take place within the normal time period, even if marking cannot take place in the original timescale. The following actions may be initiated by the Heads/Deans of School:
- a) To identify assessments affected and to delegate responsibility to a member(s) of staff with appropriate specialist subject knowledge to be responsible for setting the assessment, including examination questions where necessary. If this is not possible, then an alternative assessment/examination paper may be produced using past questions providing these are still relevant to the learning outcomes of the module and have not been released to students as exemplar/mock questions.
  - b) To agree an alternative form(s) of assessment for this period only provided it meets the requirements of the module (in terms of assessing learning outcomes), is achievable within the reporting timescale and is fair to students (no unfamiliar assessment instruments will be used); this is approved by the Quality and Standards Committee's Programme Amendment Scrutiny Panel (PASP), a process which includes comments from the external examiner.
  - c) If neither (a) nor (b) can be achieved, then the Head/Dean of School shall recommend deferral of the assessment until the exceptional situation has passed. Assessments and examinations will be set as soon as possible after events have returned to normal. Students may therefore be requested to return to York St John University to complete assessments for a classified award.

## 50.7 Contingency arrangements for examinations

- 50.7.1 The University will make every effort to avoid cancelling or postponing examinations. Where this is unavoidable, due to circumstances beyond the University's control, the examination will be rescheduled at the earliest opportunity.

## 50.8 Contingency arrangements for marking assessments

- 50.8.1 The Heads/Deans of School are responsible for establishing a secure process for marking assessments and examinations in the event of staff absence(s). Where there is a requirement for 2 markers then this will remain the case under the contingency arrangements.
- 50.8.2 The following actions may be initiated by the Heads/Deans of School:
- a) To identify any assessments affected and, where possible, to assign marking to a member of staff with relevant subject knowledge and, if required, a second marker with knowledge of the subject.
  - b) If at least one alternate marker cannot be found, a substitute will be identified to mark the assessment as pass/fail so that credit can be awarded for the work. In this case the assessment will be marked in full once events have returned to normal.
  - c) In all cases where a mark has been awarded by a substitute marker(s), to ensure that processes are in place for the resulting marks to be analysed against previous years' performances and across comparable modules in the current year. Marks are then subjected to moderation if there is a significant difference in mean and/or median. The moderation process is set out in [section 24](#). This process should be undertaken within the School and before the School Assessment Boards to which a written summary of any moderation process should be submitted.
  - d) To inform the external examiner of any changes made to the marking process including, for example, the reallocation of markers and the method of moderation. Independent advice may also be sought from the Academic Registrar and the Chair of the Quality and Standards Committee.

## 50.9 Contingency arrangements for operating School Assessment Boards

50.9.1 Under the contingency arrangements School Assessment Boards will be quorate providing they consist of a member of Registry and at least the following:

- Chair (Head/Dean of School)
- 2 Associate Heads/Deans of School
- External examiner(s)

In addition, an administrator will be in attendance.

50.9.2 Where an external examiner is unable to attend the School Assessment Board then one of the following shall apply:

- The external examiner may send in their comments before the meeting and will be consulted after the meeting for their concurrence in the approval of School Assessment Board's decisions.
- Should option (a) not be available then a current external examiner from a cognate discipline may serve on the School Assessment Board or on a combined School Assessment Board subject to approval by the Chair of the Quality and Standards Committee.
- Otherwise, and exceptionally (for example, when no current external examiners have appropriate expertise) the Chair of the Quality and Standards Committee may approve the appointment of a temporary external examiner to serve for the duration of the contingency arrangements. Existing conditions on appointments will continue to apply.

50.9.3 **Incomplete assessments:** The School Assessment Board may determine that a mark is awarded for a module notwithstanding the absence of a small portion of assessed work if, in its academic judgment, there is sufficient evidence available to determine the overall result for the module, or sufficient evidence that the learning outcomes have also been demonstrated elsewhere in the programme. School Assessment Boards may wish to consider whether there is sufficient evidence to determine that a module can be assessed on a pass/fail basis at this stage, with detailed marks being returned later. Such a step may be particularly useful for awarding credit to students to enable them to progress.

50.9.4 The School Assessment Boards will take place as close to the scheduled dates as possible with any adjustment to the dates being decided on in consultation between the SAB Chair and the Academic Registrar. The aim will be to set a date on which the progression and classification status of as many students as possible can be determined. Each student profile will be considered on an individual basis and whole student groups will not be held up because of partial information.

50.9.5 In the event of it not being possible to finalise all results at the rescheduled meeting of the School Assessment Board, and significant numbers of results remain outstanding, a further meeting of the Board will be arranged as soon as possible after the first meeting to deal with the remaining results. Any further business after the second meeting of the Board will be considered by Chair's Action or held over to the next scheduled meeting of the Board.

50.9.6 With the permission of the School Assessment Board, a student for an undergraduate programme will ordinarily be permitted to conditionally progress to the next level of study with 100 credits. A student progressing with 100 credits must successfully pass all the University progression requirements by an early reassessment deadline in October, or within 5 weeks of the progression point for non-standard entry points. (Refer to [section 31.6](#)).

50.9.7 It should be noted that the [University's Regulations](#) nevertheless **require** students to meet the published progression criteria to progress formally. In exceptional circumstances conditional progression on 80 credits is permissible with the approval of the School Assessment Board but should **not** be regarded as the norm.

## **50.10 Contingency arrangements for final year (graduating) students**

- 50.10.1 Where it has not been possible to complete the setting and marking of assessments to enable a complete set of marks to be processed, then final year students will be issued with an interim profile of marks and grades. Where possible, credit will be given to all modules that have been assessed on a pass/fail basis so that a student may leave with sufficient credit for the award of their degree. In this case, classification may be deferred until marks can be secured through the normal marking processes once the exceptional situation has passed and when a final transcript will be issued.
- 50.10.2 Where there are implications for a licence to practise, the University may make an interim award based on the credits that the student has achieved. Recommendations for the achievement of professional awards will be made once all assessment outcomes are in place.

## **50.11 Impact of staff absence on research degrees and collaborative provision**

- 50.11.1 The impact of staff absence on the examination of research degrees will require an individualised approach and close liaison with the School's Postgraduate Research Lead. The likely impact of any staff absence on such examinations should be identified at the earliest possible opportunity. The Research School will work with the relevant Postgraduate Research Lead to identify potential solutions, which may include postponing an examination if internal and external examiners are not available. The principles set out in [section 50.2](#) will apply.
- 50.11.2 It is recognised that some exceptional situations may also impact on collaborative provision, including where Collaborative Partner Representatives are unable to perform their roles. Collaborative partners will be informed of the University's contingency plans and asked to keep the University informed of any emerging situations where there may be a need to implement contingency plans. Heads/Deans of School's responsibilities for establishing secure processes for the setting and marking of assessments include relevant collaborative provision; procedures set out in the sections above will be followed. Where necessary, an alternative Collaborative Partner Representative will be identified for the relevant period. The Academic Registrar, and Director of YSJ Global (where necessary), should be consulted prior to any action being taken.

## Section 51 Glossary

Term	Description
<b>Academic Board</b>	Academic Board safeguards the academic integrity of the University and is the custodian of its degree awarding powers. As the most senior university academic body, it provides the Vice Chancellor and the Governing Body with authoritative and expert advice on the formulation and delivery of the University's Mission and Strategic Plan.
<b>Academic quality</b>	A comprehensive term referring to how, and how well, Higher Education providers manage teaching and learning opportunities to help students progress and succeed.
<b>Academic standards</b>	The standards set by the University for our courses (programmes and modules) and expected for our awards
<b>ACC</b>	Appeals and Conduct Committee, has powers delegated by Academic Board to be responsible for the procedures for the consideration, hearing and resolution of issues concerning student conduct and discipline, and to be responsible for the consideration hearing and resolution of appeals from students against university decisions relating to progression, assessment, award, and the application of the University regulations more generally.
<b>Aegrotat</b>	An unclassified award for a student who is too ill to attend all final assessments and complete their degree.
<b>Annual monitoring</b>	Checking a process or activity every year to see if it meets expectations for standards and quality.
<b>Assessment criteria</b>	The knowledge, understanding and skills that markers expect a student to display in an assessment task, and which are considered in marking the work. These criteria are based on the intended learning outcomes.
<b>CPR</b>	Collaborative Programme Representatives (CPRs) work as the key academic contact for collaborative partnerships. The CPR may be the key contact for a particular programme or across several programmes and provides a first point of contact between academic members of staff.
<b>Collaborative arrangement</b>	A formal arrangement between the University and another Higher Education provider. Collaborative provision provides learning opportunities typically leading to an award of academic credit or a qualification, which are delivered, assessed, or supported through the arrangement with an organisation other than York St John University, the degree awarding body. In all such cases, the degree-awarding body remains responsible for ensuring that the expectations of the QAA Quality Code are met.
<b>Compensation</b>	A process by which it is determined that overall performance in a level of study can compensate for failure in individual modules. Credit will be awarded to modules that can be compensated.
<b>Condonement</b>	A process by which failure in a module can be disregarded for progression and award purposes. No credit is awarded. The condonement assessment scheme ceased for entrants from 2020-21 and is in the process of being phased out.
<b>CPD</b>	Continuing Professional Development relates to training programmes, some leading to formal awards, to extend a person's employment-related knowledge, skills and understanding.
<b>Credit</b>	Credit is awarded to a student in recognition of the verified achievement of designated learning outcomes at a specified level.
<b>Credit framework</b>	A published formal structure that states the credit value typically associated with programmes and qualifications, and that generally includes credit level descriptors.
<b>Credit level</b>	An indicator of the relative complexity, demand and/or depth of learning and of learner autonomy.
<b>Credit value</b>	The number of credits, at a particular level, assigned to a body of learning. The number of credits is based on the estimated notional learning hours (where 1 credit represents 10 notional hours of learning).
<b>CRM system</b>	Customer Relationship Management System accessed through the <a href="#">Student Hub</a> portal. Used by students accessing help or guidance and by staff for student case management.
<b>DSIT</b>	Disability Support and Inclusion team.
<b>EC</b>	Education Committee, which has powers delegated by Academic Board. This committee is responsible for the University's strategy on learning, teaching, enhancement, and the quality of the student experience.
<b>ECP</b>	Exceptional Circumstances Plan, which specifies amendments to standard assessment submission dates for students with non-medical circumstances or a protected characteristic where a student's situation is unlikely to change throughout a defined period of their programme of their studies. Adjustments are based on individual requirements and evidence of need.

<b>ECTS</b>	European Credit Transfer and Accumulation System, which is a standard means for comparing volume of learning based on the defined learning outcomes and their associated workload for higher education across the European Union and other collaborating European countries. ECTS credits are used to facilitate transfer and progression throughout these collaborating countries and includes a standard grading scale, shown alongside local standard grades.
<b>Engage</b>	Engage is a learning analytics tool that helps the University map and understand the student journey in more detail. It helps academics to see early warning signs that a student might need support – such as poor attendance or lack of engagement with the VLE.
<b>e:Vision</b>	A web-based interface for students and staff to interact with the University records system.
<b>External examiner</b>	An independent expert appointed by an institution to comment on student achievement in relation to established academic standards and to look at approaches to assessment.
<b>Exit qualification / award</b>	A qualification which may be awarded when a student leaves the programme early without completing or through failing the intended award.
<b>Feedback</b>	Comments on assessed work from Academic Tutors, normally written but maybe in other formats such as oral.
<b>Feedforward</b>	While feedback focuses on a student's current performance; feedforward looks ahead to subsequent assessments and offers constructive guidance on how to do better in the future.
<b>FHEQ</b>	Framework for Higher Education Qualifications (England, Wales and Northern Ireland).
<b>Fitness to Practise (FtP)</b>	Fitness to Practise relates to a student's suitability for professional registration and practice with the public. The University has a particular responsibility in respect of students who will graduate with academic awards which also confer the right to apply for professional qualifications and registration with a professional body. Because of their responsibilities to the general public, students following such programmes should demonstrate high standards of conduct and behaviour and must be physically and mentally fit to undertake the demands of their profession.
<b>Fitness to Study (FtS)</b>	The phrase 'fitness to study' refers to a student's capacity to engage with university life partially or totally, both academically and otherwise, without unreasonable detriment to their wellbeing and while maintaining appropriate standards of behaviour.
<b>Formative assessment</b>	Assessments with a developmental purpose, designed to help students learn more effectively by giving them feedback on their performance and how it can be improved and/or maintained.
<b>Franchising / Franchise partner</b>	A process by which York St John University (the degree-awarding body) agrees to authorise another organisation to deliver (and sometimes assess) part or all of one or more of our own approved programmes.
<b>Freestanding module</b>	A freestanding module, sometimes referred to as a standalone module, is a module that is completed independently of an award programme. The module is awarded credit upon successful completion. Typically, freestanding modules are completed for Continuing Professional Development on a part time basis.
<b>Generic Assessment Descriptors (GAD)</b>	Generic descriptions of what is required to achieve a level of attainment in relation to the assessment. These descriptions apply to specific criteria: knowledge, understanding and enquiry, and skills and values.
<b>Graduate</b>	A person who has attained a Bachelor's or higher degree.
<b>Graduation</b>	The process of formally receiving a degree at a ceremony, not necessarily in person.
<b>Internal repeat</b>	To repeat the teaching for a module or level. Repeating a module or level internally involves attending classes and tutorials and receiving the full range of academic guidance as well as resubmitting assessments. Approval is required and this will specify if the internal repeat is for capped or uncapped marks. In some cases, undergraduate students are permitted to repeat some study on a part time basis to retrieve failure (refer to <a href="#">section 31.9</a> ). A repeat fee is charged for each module.
<b>Invigilator</b>	A person responsible for enforcing the University regulations and policies that govern examinations.
<b>Learning outcomes</b>	A statement of what a student is expected to know, understand and/or be able to demonstrate after completion of a process of learning.
<b>LAP</b>	Learner Adjustment Plan, which specifies the reasonable adjustments to standard examination and assessment procedures recommended by the Disability Support and Inclusion team for students with a long-term health condition, impairment, a specific learning difficulty, or a mental health condition. Adjustments are based on individual requirements and evidence of need.
<b>Model answer</b>	An example of what is expected to be demonstrated in an individual assessment task.
<b>Module</b>	A self-contained, formally structured, learning experience with a coherent and explicit set of learning outcomes and assessment criteria.



<b>MMR</b>	Module Mark Review meetings (MMRs) are held prior to the SAB meeting to consider and agree marks to be presented to the SAB.
<b>Module specification</b>	A module specification is an approved document containing information about the content and assessment for an individual module. It details the rationale of the module, in addition to the teaching, learning and assessment methods. It includes a summary of indicative content and a summary of methods and frequency of teaching. The approved methods of assessment are shown, along with weighing of each individual assessment and any module specific assessment rules.
<b>Moodle</b>	The University's virtual learning environment (VLE). An intranet interactive website giving access to learning opportunities electronically. These might include such resources as course handbooks, information and reading lists; blogs, message boards and forums; recorded lectures; and/or facilities for online seminars (webinars).
<b>Ordinary degree</b>	A Bachelor's degree located at Level 6 of the <i>Framework for Higher Education Qualifications</i> which typically requires a student to achieve the learning outcomes of a smaller volume of study than that expected for a Bachelor's degree with Honours.
<b>OSA</b>	Outgoing Study Agreement, which specifies which modules a student embarking on a Study Abroad year will study at the host institution (not for credit).
<b>OSP</b>	Outgoing Study Plan, which specifies which modules a student embarking on a Study Abroad semester/year will study for credit at the host institution.
<b>PASP</b>	Programme Amendment Scrutiny Panel, a sub-Committee of the Quality and Standards Committee, which approves module and programme amendments.
<b>PASS</b>	Programme Administration and Support Service, a cross-institutional team that provides professional support for the delivery of university academic programmes.
<b>Plagiarism</b>	Presenting someone else's work as if it was one's own, without referencing the source of the work.
<b>Postgraduate student</b>	A student who has attained a Bachelor's degree or equivalent and is now studying for a qualification at Level 7 or higher.
<b>Programme learning outcomes (PLO)</b>	The knowledge, understanding and skills students are expected to have on successful completion of the programme.
<b>Programme of study</b>	An approved course of study that provides a coherent learning experience and normally leads to a qualification. UK Higher Education programmes must be approved and validated by UK degree-awarding bodies.
<b>Programme specification</b>	Published statements about the intended learning outcomes of programmes of study, containing information about teaching and learning methods, support and assessment methods, and how individual modules relate to levels of achievement.
<b>Progression</b>	Formal progress through an academic programme, meeting key academic requirements.
<b>PSRBs</b>	Professional, statutory and regulatory bodies.
<b>QAA</b>	The Quality Assurance Agency for Higher Education is the independent body that checks on standards and quality in UK Higher Education. It conducts quality assessment reviews, develops reference points and guidance for providers, and conducts or commissions research on relevant issues.
<b>QSC</b>	Quality and Standards Committee, has powers delegated by Academic Board, this committee is responsible for the quality of programmes and standard of awards for all provision.
<b>Qualification</b>	A formally recognised academic award, such as a degree, diploma, or certificate, granted on successful completion of a programme of study.
<b>Qualification level</b>	One of a series of defined points in a qualifications framework that are numbered in ascending order. Qualifications within the same level share characteristics and require similar achievement. Qualification levels in different frameworks can be compared.
<b>Qualification framework</b>	A formal structure identifying qualification levels in ascending order and stating the requirements for qualifications to be awarded at each one. In UK Higher Education the qualifications framework refers specifically to the <i>Frameworks for Qualifications of UK Degree-Awarding Bodies</i> , which form part of the QAA Quality Code.
<b>Reassessment</b>	A generic term that encompasses resitting assessments for capped marks.
<b>Resit</b>	To take an assessment for a capped mark having failed an earlier attempt for the same assessment.
<b>Restart</b>	Where a student is permitted to restart either Level 3 or Level 4 and repeat that level of their programme (refer to <a href="#">section 31.10</a> ).
<b>RPL</b>	Recognition of prior learning, a process of assessing learning achieved outside of the University to be recognised for academic purposes and allows exemption from parts of a student's programme

	as, based on evidence provided, their prior learning is judged to be equivalent. This includes credit transfer from other institutions, certified learning that has not led to a recognised FHEQ award, or experiential learning that has been achieved through experience or training that has not been formally assessed.
<b>SAB</b>	School Assessment Board, which is responsible for the oversight of assessment for all taught provision within a School, including that assessment procedures are properly conducted, and standards assured.
<b>SITS</b>	SITS is a student records management system used to store, administer, and manage all aspects of student information from initial enquiry and application through to award.
<b>Special Cases Panel (SCP)</b>	University committee responsible for considering individual student cases where a School requests to vary a decision it would otherwise make, and to make decisions on behalf of the University Assessment Board.
<b>SQP</b>	School Quality Panel, responsible for the oversight of the implementation of the University's procedures by the School as it relates to the quality of taught programmes, standards of awards and overall quality of the student experience.
<b>Subject benchmark statement</b>	A published statement (part of the <i>QAA Quality Code</i> ) that sets out what knowledge, understanding, abilities and skills are expected of those graduating in each of the main subject-areas and explains what gives that particular discipline its coherence and identity. The statements are consistent with the relevant generic qualification descriptors.
<b>Summative assessment</b>	Formal assessment of students' work, contributing to the final result for the module. Used to indicate the extent of a student's success in meeting the assessment criteria to gauge the intended learning outcomes. Typically, within summative assessment, the marks awarded count towards the final mark of the course/module/award.
<b>Support to study (StS)</b>	A supportive process used by academic staff to identify and secure the implementation of measures to support a student, while noting concerns about the student's performance, or programme participation.
<b>Suspension of studies</b>	A suspension of study allows a student to take an authorised break in their studies for a specified period of time.
<b>Transcript</b>	An online document, but not a formal certificate, that certifies the results achieved in the programme's or course's modules, confirming the final module marks/grades and credits awarded.
<b>Turnitin</b>	Turnitin is a text matching software used by universities across the world to ensure the integrity of student writing.
<b>University Assessment Board (UAB)</b>	The University Assessment Board ensures that assessment procedures are properly conducted and undertakes the oversight of progression decisions and the classification of awards.
<b>Undergraduate student</b>	A student who has not yet gained a first degree.
<b>Validation / Validated partner</b>	Validation is the process by which the University judges that a programme developed and delivered by another institution without degree awarding powers is of an appropriate quality and standard to lead to a York St John University award at a specified level.
<b>VLE</b>	Virtual Learning Environment.



## Section 52 Appendices

### 52.1 Appendix A – Assessment and module grade annotators

✓ Indicates grades that can be used by academics entering marks. All other grades are for Assessment team use only.

Grade	Use	Description
A		Achieving (Mind the Gap marking scheme only)
AC		Academic misconduct found on an attempt – failure compensated at module level
AF		Academic misconduct found on an attempt – and the AM resit has been failed, or the module was failed overall following resits due to failures in other components
AH		Holding grade - Academic misconduct found on an attempt – awaiting the AM resit result
AP		Academic misconduct found on an attempt – AM resit now passed – module mark capped at pass mark and credit awarded if module passed overall
AR		Academic misconduct found at assessment level
AS		Academic misconduct found – further special AM resit attempt permitted by Appeals and Conduct Committee
AX		Academic misconduct found – sanction is an enforced withdrawal of enrolment. No further resit permitted.
D	✓	Distinction (PCDA EPA marking scheme only)
DF	✓	Deferred
E		Excelling (Mind the Gap marking scheme only)
EX		Assessment component excluded
F	✓	Fail – assessment Fail – module no further resit opportunities
FG	✓	Fail for pass/fail assessment component – applies when this was the only failed component at first attempt (assessment grade annotator only); applies to a small number of module assessments
FH		Holding grade – pending decision to offer resit for ITE placement (module grade)
FI		Failed placement, taking ILU as a resit, entered for first attempt to force capped resit on ILU
FR		Repeating failed module internally in following year for capped mark – payment required for repeat
FX		Fail at first attempt – no resit permitted
FZ	✓	Fail – assessment only – incorrect submission or corrupted file given mark of zero
H	✓	Suspected academic misconduct (for any case which will involve a formal investigation)
L	✓	Late submission – submitted more than 24 hours late but within 5 working days
LK	✓	Late submission – submitted within 1 hour – raw mark pending sanction applied
LD	✓	Late submission – submitted between 1 to 24 hours – raw mark pending sanction applied
LZ	✓	Late submission – submitted/resubmitted and the sanction applied was the mark reduced to zero
NG	✓	Non-submission for pass/fail component when resitting for uncapped module mark (associated with RG); applies to a small number of module assessments
NS	✓	Non-submission
P	✓	Pass
PC		Pass through compensation

<b>QF</b>	Qualified fail at first attempt
<b>R</b>	Resit
<b>R3</b>	Resit permitted at third attempt
<b>RA</b>	Resit permitted at third attempt following successful appeal or SCP case
<b>RG</b>	Resit permitted for pass/fail assessment component for uncapped module mark – only applies at first attempt, where all other assessments were passed and the pass/fail assessment was the only failure
<b>RH</b>	Holding grade – pending decision to offer resit for ITE placement (assessment grade)
<b>RX</b>	Resit permitted at third attempt for progression
<b>V</b>	Attempt voided, assessment to be attempted again, no repeat teaching
<b>VN</b>	Repeating module internally in following year for uncapped mark – no payment for repeat
<b>VP</b>	Repeating module internally in following year for uncapped mark – payment required for repeat
<b>WF</b>	Withdrawn – failed after attempting module's final assessment
<b>WN</b>	Withdrawn – failed after not attempting module's final assessment

## 52.2 Appendix B – Progress codes

Progress codes confirm the progression or award recommendation. These have various permutations to account for different groups of students, different points in the year, and different variations or decisions. For example, if an award is with or without compensation, or if a resit is internal or external. A guidance list is summarised below.

Relevant information is provided for students within the wording of their progression statement sent following the School Assessment Board.

Staff can view a full list of progress codes, including administrative codes, on the staff [Intranet](#).

Code beginning	Description
<b>AWD...</b>	Award recommendation
<b>FAIL...</b>	Failed programme
<b>LATEMOD</b>	Progression pending – outstanding late module result (undergraduate students)
<b>MIDLEVEL...</b>	Mid-programme with no outstanding assessments
<b>PROG...</b>	Progress to next level (undergraduate students) or year/stage (postgraduate students)
<b>PROG-AT3...</b>	Third attempt resit with conditional progression to the next level (Level 3 to 5 undergraduate students)
<b>PROG-COND</b>	Conditionally progress to next level (undergraduate students)
<b>RE-SIT...</b>	Reassessment or deferral attempt outstanding
<b>RE-SIT-AT3...</b>	Permitted third attempt for up to 20 credits to redeem progression failure (Levels 3 to 5)
<b>REPEAT-PT...</b>	Permitted to repeat up to 40 credits part time next year to redeem progression failure (Level 4 and 5 only)
<b>RESTART...</b>	Failed either Level 3 or Level 4 of the programme and permitted to restart studies
<b>SCP</b>	Holding outcome - recommendation made to Special Cases Panel

## 52.3 Appendix C – Record of updates to the Code

Greater detail of the annual update can be found in the accompanying briefing note published alongside the Code.

Section	Changes made	Date approved by QSC or AB	Notes
Various	Revisions of committee names	06/11/19 Academic Board	
27.3.3	Update to the late submission penalty for pass/fail modules for the foundation year	27/11/19 Academic Board	
Various	Revisions of references to Subject Director	22/01/20 QSC	
48	Inclusion of 'Scaling of Marks Policy'	07/04/20 Executive Board	
Various	Refer to the accompanying '2020 Briefing Note' for details of the changes	24/06/20 Academic Board	
29	'Anonymous Marking Policy' added	30/09/20 Academic Board	
35.4	Foundation year progression from Level 3 to Level 4	11/12/20 QSC	Applied to 2020-21 only
4.5.7	Update to 'RPL Policy' to include NMC requirements for Nursing programmes	19/04/21 QSC	
47.2.3 i	Update to External Examiner section to include NMC requirements for Nursing programmes	24/05/21 QSC	
Various	Refer to the accompanying '2021 Briefing Note' for details of the changes	23/06/21 Academic Board	
16	Updates to the Exceptional Circumstances Policy	19/08/21 Academic Board	
Various	Refer to the accompanying '2022 Briefing Note' for details of the changes	29/06/22 Academic Board	
Various	Removal of reference to reassessment fees for taught modules	23/08/22 Executive Board	
4.5.8	Update to 'RPL Policy' to include RCOT requirements for the postgraduate Occupational Therapy programme	13/10/22 QSC	
11	Update to procedure for exam paper printing	18/10/22 Academic Registrar	
25.15.4	Update to the example of how academic misconduct penalties may be applied	21/12/22 QSC	
17	Update to the 'Exceptional Circumstances Policy'; for introduction in 2023/4	30/11/22 QSC	
31	Update to the 'Late Penalty Policy' structure; for introduction in 2023/4	15/02/23 QSC	
Various	Refer to the accompanying '2023 Briefing Note' for details of the changes	28/06/23 Academic Board	
58	Updates to the 'Appeals Policy'	24/08/23 Academic Board	

10.12.4	Section added to give clarity about use of presentations and performances as part of a portfolio	07/03/24 Academic Registrar	
Various	Refer to the accompanying '2024 Briefing Note' for details of the changes and terminology changes	26/06/24 Academic Board	
30.4.2	Removal of reference to double marking on a sample of assessed work	02/10/24 QSC	
36.10	Restart eligibility rule updated to state students who fail 60 credits at Level 4 (or 40 credits at L3) must have attempted one of the remaining assessments to be offered a restart.	11/11/24 Academic Board	
35.1 and 36.15	Updated to confirm all attempts must have been completed before compensation can be applied at the end of the level.	11/11/24 Academic Board	
Various	Refer to the accompanying '2025 Briefing Note' for details of the changes	25/06/25 Academic Board	
27	Updated to confirm the Panel can only agree sanctions that sit within the Policy, and the process for recommending alternative sanctions	01/09/2025 QSC	