STUDENTS’ HANDBOOK
OF REGULATIONS

THIS HANDBOOK IS A USEFUL SOURCE OF INFORMATION KEEP IT IN A SAFE
PLACE FOR EASE OF REFERENCE

September 2014 edition
INTRODUCTION

1. This booklet brings together the major regulations approved by either the Senate or the University Council which affect either students' courses of study or their personal conduct.

2. In September 1998 the previous Students' Handbook of Regulations and the Assessment Regulations were incorporated into one document.

Additions and amendments to this edition are as follows:

1. Throughout the document: References to academic misconduct revised to refer to academic integrity and references to Academic Conduct Officers becomes Academic Integrity Officers
2. Code of Conduct insertion of the no smoking policy
3. Section 1 has been split into Part A and Part B. Revised Finance Regulations are in Part B
4. Section 2 Data Protection
5. Section 3 paras 2.1 – 2.5 assessment
6. Section 4 paras 1.4, 1.14, 2.1, 2.3.2
   Assessment regulation 3 Academic Integrity
   Assessment regulation 4 Academic Integrity
   Assessment regulation 5 Academic Integrity
   Assessment regulation 10 becomes Assessment regulation 11
   New Assessment regulation 11 amendments to 11.2 and 11.4
   Assessment regulation 10 now Appeal Against Progression Monitoring Outcome
7. Section 5A para 5.7
8. Section 5B new EC procedures for students following Research awards
9. Section 7 revisions to the Disciplinary Procedure
10. Section 8 revisions to the Complaint Procedure
11. Section 10 revisions to use of computing facilities
12. E1.5.2: requirement for students to produce a copy of the receipt for the submission of work in cases of dispute over submission
13. E1.6.5: clarification that extensions cannot be applied to referral or deferral submissions
14. E2.3.1: increased flexibility for CABs to determine the nature of referral work
15. E2.3.8: clarification in the timing and availability of Tutor Reassessment
16. E3.1: delegated authority to Registry to decide on EC claims
17. Section F: new presentation of Research regulations
18. E3.4: additional consideration for the operations of CABs (minimum quoracy, conflict of interest, provision for chair’s action)
19. Appendix 2: Revised Research Regulations
20. Appendix 3: Academic Integrity: Tariff of Penalties

The procedures outlined in this Handbook aim to be simple, clear and fair to all parties involved. Issues arising from these procedures will be handled sensitively and with due consideration to confidentiality. No person using, or being the subject of, a procedure in this handbook will be treated less favourably by the University than if the issue had not arisen.
Terminology for credit levels

<table>
<thead>
<tr>
<th>University of Huddersfield</th>
<th>FHEQ Level</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>D</td>
<td>8</td>
<td>Doctoral level [eg PhD/Professional Doctorate]</td>
</tr>
<tr>
<td>M</td>
<td>7</td>
<td>Master’s level [eg MA/MSc/Integrated Master’s degrees]</td>
</tr>
<tr>
<td>H</td>
<td>6</td>
<td>Honours level [eg BA (Hons)/BSc (Hons)/LLB (Hons)]</td>
</tr>
<tr>
<td>S</td>
<td></td>
<td>Supervised Work Experience</td>
</tr>
<tr>
<td>I</td>
<td>5</td>
<td>Intermediate level [eg DipHE/FD/HND]</td>
</tr>
<tr>
<td>F</td>
<td>4</td>
<td>Foundation level [eg CertHE/HNC]</td>
</tr>
<tr>
<td>P</td>
<td>3</td>
<td>Pre-foundation level [eg IFY/Science Foundation Year]</td>
</tr>
</tbody>
</table>

Enrolment on a course at the University is deemed to constitute acceptance of these Regulations.

The website address for this handbook is provided to all students registering on courses of the University.

Continuing students should visit the Registry website [www.hud.ac.uk/regs](http://www.hud.ac.uk/regs) at the start of each academic year to view any changes to the regulations.

The University is committed to supporting its students throughout their study and these web pages provide support and guidance on various aspects of the regulations: [www.hud.ac.uk/regs](http://www.hud.ac.uk/regs) and select the tab Student Regulatory Support.

Guidance on how these regulations are applied in practice can be obtained from a School Office or from Registry. Students wishing to obtain direct support for their case should contact the Students’ Union Advice Centre.
# CONTENTS

Introduction and amendments to this edition

<table>
<thead>
<tr>
<th>Section 1</th>
<th>Part A</th>
<th>General Requirements</th>
<th>7</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Students Studying in Partner Institutions</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Overseas Students and Immigration Requirements</td>
<td>11</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part B</th>
<th>Financial regulations for Home/EU students</th>
<th>16</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Financial regulations for Overseas students</td>
<td>16</td>
</tr>
</tbody>
</table>

| Section 2 | Data Protection Act 1998 | 20 |

| Section 3 | Assessment and Examinations | 27 |

<table>
<thead>
<tr>
<th>Section 4</th>
<th>Assessment Regulations</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment Regulation 1:</td>
<td>Arrangements for formal examinations and assignments</td>
<td>29</td>
</tr>
<tr>
<td>Assessment Regulation 2:</td>
<td>Conduct of candidates in examinations and assignments</td>
<td>33</td>
</tr>
<tr>
<td>Assessment Regulation 3:</td>
<td>Academic Integrity</td>
<td>36</td>
</tr>
<tr>
<td>Assessment Regulation 4:</td>
<td>Action following a report of an Academic Integrity offence to the Academic Integrity Officer or Deputy.</td>
<td>39</td>
</tr>
<tr>
<td>Assessment Regulation 5:</td>
<td>Appeal against a decision related to an Academic Integrity offence</td>
<td>47</td>
</tr>
<tr>
<td>Assessment Regulation 6:</td>
<td>Publication of the results of assessments</td>
<td>49</td>
</tr>
<tr>
<td>Assessment Regulation 7:</td>
<td>Appeal against a decision of an Assessment Board</td>
<td>50</td>
</tr>
<tr>
<td>Assessment Regulation 8:</td>
<td>Student Appeals Form</td>
<td>53</td>
</tr>
<tr>
<td>Assessment Regulation 9:</td>
<td>Retention of records, scripts,</td>
<td>58</td>
</tr>
</tbody>
</table>
Assessment Regulation 9: Research misconduct for candidates registered on an approved course of supervised research

Assessment Regulation 10: Appeal against a decision of a Progression Monitoring Panel (for students on an approved course of supervised research)

Assessment Regulation 11: Appeal against the recommendation of examiner (students on approved courses of supervised research)

Section 5

Part A: Guidelines for undergraduate and postgraduate taught students on the procedures for handling claims that extenuating circumstances should be taken into account when their performance is being assessed

Part B: Guidelines for students on approved courses of supervised research on the procedures for handling claims that extenuating circumstances should be taken into account when their performance is being assessed

Section 6

The suspension and expulsion of students from the University on academic grounds

Section 7

Student Disciplinary Procedures

Section 8

Student Complaints Procedure

Student Complaint Form

Notes for Guidance on the conduct of a complaint hearing

Section 9

Regulations Governing Breach of Professional Standards and Professional Conduct

Section 10

Regulations governing the use of Computing Facilities

Section 11

Regulations governing the use of the University Library Services

Appendix 1

The Regulations for Awards, September 2014
Section E – The assessment of students on courses of study

Appendix 2

The Regulations for Awards, September 2014
Section F – Regulations Governing Research Degrees

Appendix 3

Academic Integrity: Tariff of Penalties
COMMUNITY CODE OF CONDUCT

The University Community
The University of Huddersfield is a community brought together by a common focus on education, where staff and students work together to advance teaching, learning and the quest for knowledge. Within this framework the University maintains a commitment to freedom of expression and the exploration of complex and sometimes sensitive issues informed by the diverse nature and background of its members. To ensure an accessible and supportive environment in which to learn and work the University aims to foster an atmosphere of respect and understanding which embraces the diversity of its members and promotes respect for individual integrity.

Need for a Code of Conduct
To help maintain and develop good relations in the University community this Code of Conduct draws together the principles which underpin appropriate community behaviour and which can be applied on a daily basis by students and staff as they go about their work and studies. Examples of appropriate and inappropriate behaviour are included. It applies to all staff and students when on campus, on placement, study visits or in other circumstances where the interests of the University are affected.

Principles
The following four principles form the foundations of acceptable conduct: respect and courtesy; professionalism; self control; community. Set out below are explanations of the principles together with examples of appropriate and inappropriate conduct in each case. Some circumstances are covered by more than one principle.

RESPECT AND COURTESY
Exercise consideration for others: be polite and courteous, and act towards others and their property as you would want them to act towards you and your property.

Examples of appropriate conduct are:
- Switching mobile phones off or to silent mode in quiet areas and appropriate use of same in lectures, seminars and meetings.
- Keeping conversation at a low level in corridors adjacent to lecture rooms.
- Holding open a door for someone who has a lot of files or bags.
- Taking turns to comment during a group discussion or meeting.

Examples of inappropriate conduct are:
- Drinking and rowdiness in public areas of the campus.
- Smoking close to building entrances, exits and windows. This also applies to vapour cigarettes, electronic cigarettes and similar devices.
- Carving into or writing on desks in lecture rooms.
- Sexual, racial or any other form of harassment or bullying.
- Having private discussions with colleagues in meetings, lectures or tutorials whilst someone else has the floor.
PROFESSIONALISM

Be accountable for your actions, reliable in your dealing with others and apply ethical standards to your work and behaviour having regard to the standards of your (intended) profession.

Examples of appropriate conduct are:
- Punctuality when attending lectures and meetings. If possible, apologise in advance if you are late or cannot attend.
- Where there might be confusion, labelling rubbish to be thrown out to enable cleaners and other support staff to do their job.
- When working in a team with other staff or students, doing what you say you will do, when you say you will do it.
- Arriving properly prepared for classes or meetings.

Examples of inappropriate conduct are:
- Plagiarism and other forms of cheating in research, examinations and assessments.
- Engaging in any activity which might constitute a criminal offence.
- Posting of defamatory or otherwise inappropriate comments on social networking sites or elsewhere.

SELF CONTROL

Follow established rules and procedures, use language appropriate to the circumstance, and be assertive rather than aggressive when attempting to resolve disputes.

Examples of appropriate conduct are:
- Complying with a reasonable request to remove your car from a place where it should not be parked.
- Use of appropriate language in lectures and presentations (avoiding swearing and potentially abusive terminology)

Examples of inappropriate conduct are:
- Shouting at or threatening support staff who have wheel clamped your car because it is parked contrary to the University's parking regulations.
- Consuming food and drink in areas where it is not permitted.
- Spitting in lifts and on mirrors and windows.

COMMUNITY

Show commitment to the University, its mission and aims and, to that end, adherence to its rules and regulations, contribution to its academic and social life, and protection of its good name.

Examples of appropriate conduct are:
- Using University property with care and respect.
- Respecting the rights of others to freedom of belief or speech.
- Being quiet when returning to accommodation late at night.
- Acting as an ambassador for the University when on placement or field trips.
Examples of inappropriate conduct are:
- Misuse, misappropriation, theft or damage to property.
- Conduct which constitutes a criminal offence.
- Behaviour which brings the University into disrepute.
- Disruption of, or improper interference with, the academic administrative, sporting, social or other activities of the University.

The above examples are not an exhaustive list but serve as guidance as to behaviour which is acceptable and unacceptable. Those members of the University who display unacceptable or inappropriate behaviour may be subject to disciplinary action under the appropriate disciplinary code.
UNIVERSITY OF HUDDERSFIELD STUDENT CHARTER

University Mission

To deliver an accessible and inspirational learning experience, to undertake pioneering research and professional practice, and to engage fully with employers and the community.

The University undertakes to:

- Encourage its employees to treat students and colleagues, equally and respectfully.

The University undertakes to provide high quality:

- Teaching, support, advice and guidance.
- Reliable and fair assessment.
- Feedback that promotes student learning.
- Access to activities that will enhance employability and personal development.
- Regular continuing professional development for its staff in their teaching and research.
- Support for student participation in academic development and course management, including elections of representatives.
- Access to counselling and welfare advice.
- Library and IT specialist facilities.
- An appropriate balance of face to face teaching and online contact.

The University undertakes to provide students with the following information:

- Timely notification of changes to timetables within reason.
- Clear deadlines and timeframes for feedback on submitted work.
- Clear access to assessment criteria, contact hours, mode of delivery of course, examination arrangements and regulations, academic guidance and support, appeals and complaints procedures and professional requirements as appropriate.
- Guidance on the full costs of study and financial support available.

Students undertake to:

- Treat staff and their fellow students equally and respectfully.
- Attend induction, and participate in scheduled timetabled classes, sessions and meetings with tutors.
- Engage with online provision where appropriate.
- Undertake independent study to meet learning outcomes.
- Obtain agreement from their Department, in advance, for any essential absences.
- Take responsibility for managing their own learning:
  - Talk to their personal tutor
  - Use the course rep system
  - Use the Students’ Union representation at University meetings.
- Take responsibility to submit work by stated deadlines and actively engage with feedback.
- Make prompt payment of charges levied by the University.
- Support course representatives.
- Participate in systems which will lead to improvements in the quality of learning and teaching.
• Respect the physical environment of the institution.
• Familiarise themselves with relevant procedures and seek guidance or advice as necessary.

For students studying at the University’s Queensgate Campus the Students’ Union undertakes to:

• Support all students to ensure they receive fair treatment and are aware of their rights and responsibilities.
• Support student participation in quality enhancement activities – especially through the election, development and training of course representatives.
• Assist students with academic and welfare problems.
• Represent the interests of students at local and national level.
• Support active student/community engagement.
• Provide a range of sports, activities, social clubs, societies and facilities to enhance the student experience in addition to personal and professional development.

For all other students, the Students’ Union shall endeavour to provide the above support and services where it is reasonable, possible and practical for them to do so.

Vice-Chancellor on behalf of Senate

Professor Bob Cryan

Date: 6 June 2014

SU President on behalf of the Students’ Union

Mr Josh Elderfield
UNIVERSITY OF HUDDERSFIELD STUDENT ATTENDANCE MONITORING POLICY

All students are expected to attend all timetabled teaching sessions and to be available during all term time weeks. Students on placement, taught postgraduates involved in dissertation work only, and postgraduate research students, who do not have specific timetabled teaching sessions, are expected to maintain regular engagement with the University through the relevant means.

Absence is permitted in cases of illness, personal or family crisis, or in meeting important social and religious responsibilities, where these might be permissible grounds for absence from a place of professional employment. When students are unable to attend through illness, personal circumstances, or social or religious responsibilities, they must report this in a timely way (in advance where possible, or no later than 24 hours after the absence has occurred) to their School’s notified contact.

Attendance at and absence from scheduled formal examinations are dealt with under the University’s examination regulations, ‘Fit to sit’ policy and extenuating circumstances procedures, and not under its attendance policy and procedures.

Students should be aware that there are specific attendance requirements on some courses and that they must comply with these as well as the general expectations of the University.

Overseas students in possession of Tier 4 Visas who do not attend regularly should be aware that they will jeopardise their immigration status.

In cases of unavoidable absence from timetabled teaching sessions, students must take responsibility for making reasonable efforts to work with staff and fellow students to make up for the work missed.

Students must take care to record their presence in all timetabled teaching sessions by using their identity card with the readers in each room. Failure to bring an identity card constitutes absence. Loss of a card must be reported immediately to the School and a replacement obtained from the Student Centre before the next working day.

Failure to comply with the expectations of this policy may result in an invitation to meet with the Dean of School (or nominee) to discuss an attendance record, and, if, at their absolute discretion, the Dean (or nominee) is not satisfied with any explanation given further action may result, including withdrawal from the course. Subsequent unacceptable attendance may result in immediate withdrawal from the course with no further invitation to meet the Dean (or nominee).

Should a decision be made by the University to withdraw a student from a course due to failure to comply with this attendance policy, the student will be notified in writing. The student will have the right to appeal the decision and any appeal must be submitted in writing, to the Pro Vice-Chancellor (Teaching & Learning) for taught students, or to the Pro Vice-Chancellor (Research & Enterprise) for research students, within two weeks of the date of the letter notifying the student of the withdrawal. Any such appeal may only be on the grounds of procedural irregularity or unavoidable inability to engage with the process. The decision of the Pro Vice-Chancellor will be final.
SECTION 1: PART A

1. GENERAL REQUIREMENTS (APPLICABLE TO ALL STUDENTS)

1.1 ENROLMENT

Students are not entitled to receive tuition or to use the University’s facilities until they have completed the enrolment procedure and have been issued by the Admissions and Records team with a student campus card. The campus card is issued for the duration of a student’s course and will be revalidated annually. A £10.00 fee is charged for the replacement of lost cards. Students are required to carry their campus card with them at all times and make them available to staff on request.

1.2 RE-REGISTRATION

Students are required to re-register for the next stage of their course on an annual basis. Normally this is completed via the internet and can be done on- or off-campus during a limited period. Exceptions may apply to non-standard year courses. Students are not entitled to receive tuition or to use the University’s facilities until they have completed the re-registration procedure.

1.3 LATE ENROLMENT PENALTY

A late enrolment penalty applies to students who fail to enrol/re-register during the official enrolment/re-registration period. It removes all access rights to the University IT Systems. This includes access to Unilearn, the University network and e-mail accounts.

1.4 ATTENDANCE

Students are required to observe the University’s attendance policy and to attend the classes associated with their course and to produce work which is set by the stated deadlines. Failure to do so may result in exclusion from the University. Students are required to carry their campus card with them at all times and make them available to staff on request.

1.5 NOTIFICATION OF ABSENCE

Students must keep their nominated School contact informed of the reason for any significant absence and, in the case of sickness, will normally be required to provide supporting evidence. In the case of International students the University is obliged to advise the Immigration authority of any absence exceeding ten contacts.

1.6 CHANGE OF ADDRESS

Students should update their personal details electronically via the Student Portal http://portal.hud.ac.uk/ and click on My Details. Students should not use the University’s address to receive mail on their behalf.
1.7 CHANGE OF NAME

It is the student’s responsibility to ensure that their correct name has been recorded on the University Applicant and Student Information System (ASIS). Students should advise either the School Office or the Admissions and Records team of any change in name and must provide documentary evidence, for example a statutory declaration signed by a solicitor or Justice of the Peace, a Deed Poll, a marriage or civil partnership certificate or a passport as soon as possible following the name change and must provide documentary evidence. No award certificates will be re-issued in a different name to that recorded at the Course Assessment Board and on the University Applicant and Student Information System (ASIS).

1.8 CHANGE OF COURSE

Students must inform the Admissions and Records team of any change in the course on which they are enrolled. Students in receipt of student support are strongly advised not to make any such change without first consulting their relevant student finance body (e.g. Student Finance England) about its willingness to transfer the award.

1.9 SUSPENDING STUDY

Students suspending their studies must consult with their year tutor and advise the School Office in writing. Student campus cards will be de-activated during the period of suspension. Students in receipt of student support are strongly advised not to make any such change without first consulting their relevant student finance body (e.g. Student Finance England) about its willingness to resume the award at a later date. Suspension must take place prior to the end of revision week or equivalent for students enrolled on courses that start at different times of the year to September. Students must advise their course leader and the School Office of their intention to re-commence study no later than three months prior to the start of the academic year.

1.10 TERMINATION OF REGISTRATION

Students who for any reason decide to terminate their registration before the end of the academic session must give prior written notice to the School Office and must return their student campus card. Withdrawal must take place prior to the end of revision week or equivalent for students enrolled on courses that start at different times of the year to September.

1.11 AWARD OF CREDIT FOR WITHDRAWN STUDENTS

The following principles shall apply to students whose status is recorded as ‘withdrawn’:

i) where withdrawal is a result of an outstanding debt, the student forfeits all rights to be considered for the award of any credit potentially accrued during the academic year affected by the debt. The Assessment Board will still consider the student at the end of the session with a view to awarding any
interim award to which the student is entitled based on credits achieved prior to the start of the session in which the debt was incurred

ii) where withdrawal was for reasons other than an outstanding debt, a student who remained registered at the point of the completion of the delivery of a module or its final point of assessment (whichever is later) will be considered at the Assessment Board at the end of the session for the award of those credits

iii) where withdrawal was for reasons other than outstanding debt but the student did not satisfy the criteria outlined in ii) above, the student forfeits all rights to be awarded any credit potentially accrued during that academic year. The Assessment Board will still consider the student at the end of the session with a view to awarding any interim award to which the student is entitled based on credits achieved prior to the start of the session during which they withdrew.

1.12 STUDENT EMAIL ADDRESS

Following enrolment students will receive a University email account. The username will be their enrolment number preceded by the letter ‘U’. The password will be set to the student’s date of birth and MUST be changed to a new password. Do not share your password with any student or member of staff.

1.13 CORRESPONDENCE VIA EMAIL WITH STUDENTS

It is the student’s responsibility to ensure his/her student email account is checked regularly. The University will not forward correspondence to any other external email account. Computing and Library Services provide guidance on how to forward your University email account to your preferred external email account.

1.14 SAFETY

Under the Acts governing health and safety at work the University has a duty to provide, as far as is reasonably practical, a safe environment for students. The University expects students to co-operate by taking proper care for the health and safety of themselves and others. Students should expect to be instructed in safe practices and procedures and will be expected to follow instructions.

1.15 SMOKING

Smoking is confined to specifically designated areas within the University’s social and communal facilities. It is not permitted, for example, in classrooms, in circulation areas, in corridors, in lifts, or in toilets.

1.16 PARKING

Except in cases of disability there is no provision for the parking of students’ cars on the Queensgate campus. Disabled students wishing to apply for a parking permit must complete an application form available from Student Services, Level 4, Student Centre, Central Services Building.
1.17 USE OF MOBILE PHONES

Mobile phones and other electronic devices (except for calculators where these are expressly permitted) taken into the examination room or in-class test must be left in a secure bag away from the candidate’s desk.

1.18 CORRESPONDENCE REGARDING ISSUES CONTAINED WITHIN THIS HANDBOOK

All correspondence to the office of the Head of Registry regarding issues contained within the Students’ Handbook of Regulations must be made formally in writing and which may include via email.

1.19 CAMPUS CARDS

Students are required to carry campus cards at all times and make these available to staff upon request. Students wearing any items of clothing, headwear, or anything else that may obscure their face may be asked to remove these for the purposes of identifying the student against the campus card.

1.20 STUDENTS STUDYING IN PARTNER INSTITUTIONS

Students studying in Partner Institutions are required to adhere to the University’s assessment regulations. Students who wish to appeal the decision of a Course Assessment Board should follow the guidance in Section 4; Assessment Regulation 7.

Students studying at partner institutions away from the University are required to follow the University’s complaints procedure which, in the first instance, will be progressed by the partner institution. If issues remain unresolved through these local complaints procedures, then the student may refer to the University and will enter the procedure at the formal stage as described in 6.3.1. It must be appreciated that the University will not always have the authority to determine matters at Partner Institutions.

The University’s procedures for Academic Integrity at Partner Institutions must be followed by the Partner Institution and approved by the Academic Officer for the appropriate School. Where the University Academic Integrity Committee (AMC) requires an overseas student to present his/her case and the student is willing to do so, arrangements will be made to convene a telephone or video link. The costs of the call/video link must be borne by the Partner Institution. If this is not possible the student will be required to submit a report that will be considered by the AIC and this will be presented on the student’s behalf by a nominee from the Students’ Union Advice Centre.

1.21 CODE OF PRACTICE UNDER THE EDUCATION ACT 1994

Under the Education Act 1994 the University Council is required to take such steps as are reasonably practicable to see that the Students’ Union operate in a fair and democratic manner and is accountable for its finances. In addition to this general obligation, the Act contains a number of specific requirements dealing with, for
example, the rights of students not to be members of the Students’ Union, the
conduct of Union elections, the conduct of the Union’s financial affairs and affiliation
to external organisations. There is also a requirement for a complaints procedure
available to all students who are dissatisfied with their dealings with the Students’
Union.

The University and the Students’ Union have agreed a Code of Practice (as
required by the Education Act 1994) which sets out in detail how the requirements
of the Act are complied with. Copies of this Code of Practice may be obtained free
of charge from the Head of Registry’s office.

1.22 FORCE MAJEURE

The University will use reasonable endeavours to provide enrolments, tuition,
assessment and examinations, confirmation of results and graduation in
accordance with the University’s Academic Administration Timetable but accepts no
liability if it cannot adhere to these timescales due to circumstances beyond its
reasonable control. These may include, but are not limited to: actions or inactions
by external accrediting bodies, damage to the structure of University buildings,
failure of computing systems, illness of epidemic proportions, industrial action of
academic or support staffs. The University will, in the event of the above, use its
reasonable endeavours to reschedule and/or make reasonable alternative
arrangements.

2. OVERSEAS STUDENTS AND IMMIGRATION REQUIREMENTS

Overseas Students and Immigration

A points-based immigration system was introduced by the United Kingdom (UK)
Government in March 2009. Most overseas students coming to the UK to study
from outside of the European Economic Area (EEA) are now required to apply for
entry clearance, and it is a legal requirement that when in the UK all must abide by
strict conditions imposed by the Home Office. This section sets out the
requirements for overseas students.

It is the responsibility of each student to ensure that they remain up to date with the
requirements of the Home Office and seek additional guidance and support from the
International Office whenever this may be required.

1. Immigration and University requirements of overseas students

Overseas students at the University are expected to familiarise themselves with the
conditions of their visas and to ensure that they comply with these and with the
requirements of the University at all times. By enrolling and re-enrolling students
are deemed to have accepted their obligation to comply with immigration rules and
University regulations, as summarised below.

1.1 Under the Government’s immigration rules, universities are obliged to report
students who do not meet their visa conditions or who are suspected to be in
breach of their visa status. The University will not hesitate to report any students
who are believed to have violated UK immigration regulations. Infringement of visa
conditions is a serious offence and may lead to deportation and additional sanctions being imposed by the Home Office. The University may decline to issue a CAS or withdraw sponsorship where a student has not complied with the requirements in this section or where, in the University’s opinion, the student’s circumstances may otherwise compromise or pose a risk to the University’s licence as a Highly Trusted Sponsor. Where visa sponsorship is withdrawn by the University, the student’s registration as a student of the University will also be withdrawn.

**Tier 4 General Students**

1.2 The main obligations imposed by the Home Office on those studying in the UK as ‘Tier 4 General Students’ are set out below. This list is not exhaustive or exclusive and may be updated by the Home Office with new conditions added from time to time. The University’s policy and practice may therefore be amended at short notice to reflect revised Home Office rules and guidance.

- Visas are issued for study at a specific university and approval must be sought from the Home Office to change institution. Failure to do so is a criminal offence.
- Students must advise the University immediately if they change address (via “My Details”, their School office or advising staff in the Student Centre).
- Changes in personal circumstances (e.g. marriage, illness, or planned absence) must be notified to the University.
- Students must complete enrolment and re-enrolment at the scheduled times.
- Attendance is monitored and students must attend all scheduled classes, seminars, tutorials, or appointments with an academic supervisor, which must take place on campus or at a temporary location authorised in advance by the International Office.
- Students must leave the UK when their visa expires unless they have obtained further valid leave to remain.
- Students with part-time jobs must not work over the permitted maximum number of hours under the Immigration Rules nor must they schedule paid work that conflicts with required attendance at the University.
- Visa nationals who need to register with the police must do so within seven days of arrival in the UK, and within seven days of any change in personal circumstance. Students must provide the University with evidence of police registration on request.
- Overseas students may not be entitled to claim benefits from public funds.
- “Sandwich” placements are subject to Home Office conditions and will be monitored by the University.
- Students who require ATAS clearance\(^1\) must obtain this before they apply for a visa or before they transfer into a programme designated as requiring clearance.

The University holds a sponsor licence under Tier 4 of the points based system and has Highly Trusted Sponsor status in respect of that licence. The University takes its obligations on immigration compliance very seriously. It is extremely important, for the benefit of all overseas students, that the University is able to comply with its duties as a sponsor and maintain its Sponsor status. As such the University cannot

accept any liability for any loss (financial or otherwise) experienced directly or indirectly by any applicant or student as a result of any actions or omissions on the part of the University which the University believes are necessary or desirable to comply with the University's Sponsor duties.

In addition to the obligations imposed by the Home Office and listed above, the University also requires that all overseas students with a Tier 4 visa comply with the requirements set out below:

- Students are expected to remain in the UK at the address notified to the University until the official end of the academic year.
- Students are expected to be able to demonstrate, to the University’s reasonable satisfaction, that their domestic living arrangements, including their residential location, are conducive to their full engagement with their studies and to their ability to comply with Home Office and University attendance requirements for full time students.
- Students are expected to fulfil the requirements of the University Attending Monitoring Policy as set out at the beginning of this book and at www.hud.ac.uk/regs

Student Visitor

1.3 The ‘Student Visitor’ category will normally apply to students who have come to the University under an exchange programme or to undertake pre-arranged assessment, study or research, and who are here for a period of less than six months. Students who fall into this category will not be permitted to undertake any work, even if it is unpaid. This includes unpaid internships, clinical or observation placements.

Student visitors at the University of Huddersfield are required to comply fully with the Attendance Monitoring Policy. www.hud.ac.uk/regs

Students who have entered as a ‘student visitor’ are not permitted to “switch” visa categories while in the UK.

Other visa categories

1.4 Overseas students who are studying under different visa categories (dependant, PSW, Tier 2, etc.) are required to comply fully with the Attendance Monitoring Policy www.hud.ac.uk/regs

Doctorate Extension Scheme

1.5 Overseas students who have completed their degrees and are sponsored by the University under the Doctorate Extension Scheme must comply with Home Office and University requirements, which are issued to participating students before a CAS is processed for applications to the scheme (see para 2.5 below). Failure to do so will result in the University reporting the individual to the Home Office.
Students who have been sponsored by the University under this scheme may subsequently switch into Tier 1 or Tier 2 (General) visa categories, subject to satisfying the relevant criteria.

**Tier 1 (Graduate Entrepreneur)**

1.6 Eligible students may apply to join the Tier 1 (Graduate Entrepreneur) visa route which will allow them to stay in the UK for an additional 12 months (extendable to 24 months) to establish a business. The University is required to endorse applications under this scheme and subsequently monitor successful applicants. Applicants must follow the University’s published procedures before securing formal endorsement (see para 2.6 below).

1.7 There may be regular changes to these schemes imposed by the Home Office and the University will not accept responsibility for the impact of these changes on students or potential applicants.

**2 Visa Renewals**

2.1 Overseas students who require a visa to remain in the UK are expected to comply with the University’s processes for ensuring prompt and timely visa renewals:

i) The International Office will send a reminder notice to individuals 12 weeks before the expiry date of their visa;

ii) Students must respond to reserve a place on a visa workshop or seminar and to complete any preliminary paperwork;

iii) Students must attend the workshop or seminar to complete the relevant documentation;

iv) Documentation will be submitted to the Home Office by the University unless the student can show that s/he has made a Premium appointment with the Home Office or is renewing while outside the UK.

The University will provide every support to assist students through the visa renewal process but cannot take responsibility for the outcome of renewal applications.

2.2 Failure to respond to the International Office and failure to make or meet appointments will result in access to Computing and Library Services being denied until such time as the individual has complied with the requirements of the International Office in relation to visa renewals.

2.3 This sanction will be repeated in cases of subsequent failure to respond to or engage with the International Office in relation to visa renewals.

2.4 The University cannot assist students in the visa renewal process and will not issue a Confirmation of Acceptance for Studies (CAS) for visa renewals, or in support of applications under the Doctorate Extension Scheme, unless the following conditions are met:

i) The student must not be classified as a debtor
ii) The student’s attendance record and engagement with their studies must meet Home Office and University requirements and be confirmed as satisfactory by the relevant School

iii) The student must be compliant with the requirements of the Students’ Handbook of Regulations and with their specific course/programme requirements as stipulated in the relevant Course Handbook

iv) The University is not aware of any other reason for potential visa refusal, e.g. overstaying, breach of working conditions, lack of funding or any breach of or failure to meet the relevant Government regulations

v) In respect of an applicant who is a sponsored student applying for the Doctorate Extension Scheme, that written consent of their sponsoring body has been obtained

2.5 The University will not issue a secure reference number for Tier 1 (Graduate Entrepreneur) applicants unless the following conditions are met:

i) Attendance at compulsory information sessions

ii) Submission of an expression of interest

iii) Confirmation from the International Office that the student is eligible to apply

iv) Submission of a formal business plan

v) If the student is sponsored by a Government or other organisation, the express written consent of the sponsor must be obtained

vi) The student has signed and returned the University’s Graduate Entrepreneur Scheme agreement in the required terms.

3 Suspension of Studies

3.1 The University will normally withdraw sponsorship of a student’s visa if the student’s studies are suspended for any period of time, including, without limitation, suspensions arising from:

i) Medical or personal circumstances

ii) Programme transfers

iii) Periods of study or work or work experience/placement outside the University

iv) A requirement to complete assessments as an external candidate

v) Proceedings brought under the University’s disciplinary or fitness to practise procedures.

3.2 Students who suspend their studies may be able to resume their studies at a later date.
PART B: FINANCIAL REGULATIONS

1 INTRODUCTION

This section is applicable to all students of the University, whether full-time, part-time, undergraduate or postgraduate.

In this section, the term ‘Home Students’ means all home and EU students, including ‘Island’ students, such as the Isle of Man and the term “Overseas Students” refers to students from outside of those areas.

Students should read the whole of this section carefully and should pay particular attention to wording highlighted in bold type.

2 PAYMENT OF TUITION FEES

2.1 Tuition fees are due at the time of enrolment. Students either pay the fees themselves or must provide the Student Finance Office with evidence that their fees (in part or in full) will be paid by a sponsor recognised by the University as reasonably acceptable (for example, the Student Loan Company, an employer or (in the case of Overseas Students), their government embassy).

2.2 Where a proposed sponsor is deemed, at the University’s discretion acting reasonably, to be not acceptable, the student will be required to pay the fees to the University in the first instance. On receipt of payment from the sponsor, the student will then be reimbursed.

2.3 The University reserves the right to withdraw a student from their programme of study with immediate effect if a payment made in respect of tuition fees at the time of enrolment is refused by the student’s bank.

2.4 Instalments

The University has in place facilities to agree payment by selected instalments. Details of these facilities are available from the Student Finance Office, Level 8, Central Services Building.

For Overseas Students, instalments can only be paid as set out below:

i) For courses starting in September, 50% on enrolment and 50% by 31 January

ii) For courses starting in January, 50% on enrolment and 50% by 30 April

2.5 Failure of a student at enrolment to pay at least minimum deposit of 25% of their full tuition fee or provide proof of acceptable sponsorship will result in the student being denied the ability to enrol until such time as it can be provided to the University.

2.6 Students who do not comply with the University’s payment terms, as set out above, or with requests for payment reminders from Financial Services will have their access to Computing and Library Services denied until such time
as their payments are brought up to date. This sanction will be repeated in cases of default against payment arrangements.

3 SETTLEMENT OF OUTSTANDING TUITION FEES AND CONSEQUENCES OF NON-PAYMENT

3.1 Students are expected to pay accounts for outstanding tuition fees promptly. Students who are experiencing financial difficulties should discuss their circumstances with a member of the staff of the Student Finance Office as soon as possible, as it may be possible to agree an instalment payment schedule.

3.2 If tuition fees remain outstanding as at the date falling six months from the end of the month in which enrolment takes place, which for students enrolling in September will be 31 March, the Student Finance Office reserves the right to notify the appropriate Dean of School who will then advise the student that s/he will be withdrawn from their course.

3.3 If a student receives notification of withdrawal under paragraph 3.2 above, the student will have the right to appeal the decision. Any appeal must be submitted in writing to the Pro Vice-Chancellor (Teaching and Learning) for taught students, or to the Pro Vice-Chancellor (Research & Enterprise) for research students, within two weeks of the date of the letter notifying the student of the withdrawal. Any such appeal may only be on the grounds of:

i) a procedural irregularity; or 

ii) that the student can demonstrate, with supporting evidence, that they were subject to personal extenuating circumstances that resulted in them being unable to respond to requests for payment.

The decision of the Pro Vice-Chancellor will be final.

3.4 Where tuition fees remain outstanding, the University also reserves the right to:

i) refuse re-enrolment in a subsequent academic year;

ii) withhold certificates;

iii) not allow students to attend graduation ceremonies; and/or

iv) place the debt in the hands of an external debt collection agency.

3.5 Details of students who have outstanding tuition fee accounts and no formally agreed payment schedule will periodically be provided to Schools, the Admissions and Records Office, the International Office, the Research Office and Registry.

3.6 Overseas students with Tier 4 visas that have outstanding tuition fee debts as at the date falling six months from the end of the month in which enrolment takes place jeopardise their visa conditions and will be reported to the Home Office as being in breach of their visa conditions. This can ultimately result in deportation from the United Kingdom.
3.7 Schools will ensure that:

i) Deans exclude all student tuition fee debtors following receipt of notification from the Student Finance Office under paragraph 3.2 above.

ii) Re-registration of continuing students that are on the list published by the Student Finance Office detailed in paragraph 3.6 above will not be permitted to re-register without notification from the Student Finance Office until the outstanding tuition fee account is cleared.

iii) Confirmation of award will not be permitted for graduating students that are on the list published by the Student Finance Office detailed in paragraph 3.6 without notification from the Student Finance Office until the outstanding tuition fee account is cleared.

3.8 The Admissions and Records office will ensure that:

i) All staff involved with the University’s enrolment process will be advised of the eligibility of continuing students with outstanding tuition fee accounts to enrol.

ii) Students with outstanding tuition fee accounts are re-enrolled in the subsequent academic year only with notification from the Student Finance Office.

3.9 Registry will ensure that:

i) Award certificates and diploma supplements are withheld from students with outstanding tuition fee accounts, unless otherwise notified by the Student Finance Office.

ii) Students with outstanding tuition fee debts to the University will not be invited to the University graduation ceremonies.

3.10 The procedures above apply to outstanding tuition fee accounts for which the student is personally liable. The procedures do not apply where an organisation such as the Student Loan Company, or a government embassy or other recognised sponsor is clearly responsible for settling the outstanding account. However, the procedures do apply where a student with an outstanding tuition fee account claims that their sponsor (as detailed in paragraph 1.1) above has initially agreed to pay but subsequently reneged on that agreement even though the student claims otherwise. This includes where the Student Loan Company, government agency or sponsor provides confirmation that they are not responsible for settling the account.

4 RESIT TUITION FEE CHARGES

4.1 All students that have to resit previously failed modules with attendance as part of their course (students should note that this does not include referred or deferred modules) will be charged the appropriate module fee. Students that are resitting previously failed modules on an assessment only basis (which may require resitting the modules from outside the UK for Overseas Students on a Tier 4 visa) will be charged 50% of the module fee.

4.2 If a full-time student needs to attend and resit the full academic year the full-time tuition fee will be charged.
5 TUITION FEE REFUNDS

5.1 Students who are required to pay tuition fees and withdraw or suspend from their studies during the year will be charged a proportion of the tuition fee for their course as set out below, depending on when they withdraw or suspend. For students who enrol at other times of the year the tuition fee will be adjusted accordingly, based on the date of enrolment.

For students leaving in:

First month – no charge
Term 1 – 25% charge*
Term 2 – 50% charge
Term 3 – 100% charge

*For Overseas Students who have paid a non-refundable deposit and leave in Term 1, the non-refundable deposit will be lost. For students leaving in or after Term 2 the above tariff will apply.

6 ANCILLARY CHARGES

6.1 The University reserves the right to charge students for ancillary costs and services that are provided in addition to the tuition fees during their course of study. These services may include:

- Field Trips
- Library Fines
- Equipment Lease and Hire
- Consumables (including but not limited to printing and photocopying charges)
- Bench fees (research students only)

6.2 Where ancillary charges remain unpaid these will be treated as a debt to the University and the University reserves the right:

i) to refuse access to the library (in the case of unpaid library fines)
ii) not to invite the student to the University graduation ceremonies
iii) to refer a student’s account to an external debt collection agency until the University agrees that the debt has been paid in full.
Section 2

DATA PROTECTION ACT 1998

1. The University needs to process data about you that relates to your being a student of the University subject to its regulations, policies and procedures. The University will create and maintain your student record; this will contain your personal data, including your basic biographical details and records relating to your application and admission to the University, arrangements for the payment and recovery of fees, your course of study, your attendance and disciplinary record, your use of the University’s facilities and your academic results. Examples of the types of processing that the University undertakes in relation to such personal data include:

   (i) administration, teaching, assessment, recruitment, marketing or quality assurance; and

   (ii) statistical analysis to enable the University to identify additional support needs for students.

Such processing will be in accordance with the Data Protection Act 1998 (full text at http://www.legislation.gov.uk/ukpga/1998/29) and with the University’s Data Protection Policy.

The Act concerns the processing of personal data and sensitive personal data relating to individuals, including the holding, use and disclosure of such information. The University complies with those provisions to ensure that data about you is processed fairly, and a description of the types of processing it undertakes can be found by searching the public register of data controllers available from: http://www.ico.org.uk/tools_and_resources/register_of_datacontrollers.aspx

2. The processing of some data is required so that the University can fulfil its obligations to third parties such as the Higher Education Funding Council for England (HEFCE) and student loan companies, together with other relevant bodies or individuals.

3. The processing of some data may be undertaken on the University’s behalf by an organisation contracted for that purpose. Such organisations will be bound by an obligation to process data in accordance with the governing principles behind the Data Protection Act and any specific contractual arrangements with the University. The minimum personal information necessary for the fulfilling of that contract will be passed on. These organisations include (but are not necessarily limited to):

   i) Microsoft, for the provision of your University email account.

   ii) where relevant, any partner institution.

   iii) iParadigms, which provides Turnitin UK plagiarism detection service. As part of the University’s participation in the Service which includes Turnitin and Grademark, it is necessary for the personal data relating to students who submit work to the Service to be disclosed to the service provider iParadigms and transferred to countries not governed by EU Data Protection legislation.
iParadigms is bound by its terms of contract to abide at all times with the Data Protection Act 1998. Information for students about the service is available from: http://www.plagiarismadvice.org

Students agree that where services including Turnitin and Grademark are used as part of their course, all required papers may be subject to submission for textual similarity review to iParadigms for the detection of plagiarism. All submitted papers will be included as source documents in the iParadigms reference database solely for the purpose of detecting plagiarism of such papers. Use of the Turnitin UK service shall be subject to such terms and conditions of use as may be agreed between iParadigms and the University from time to time.

iv) Northumbria University (on behalf of the NorMAN Consortium), for the provision of round the clock IT support.

v) the organisation that has been contracted to carry out the National Student Survey. That organisation will use your details only for that purpose, and will then delete them. Student feedback from the survey is used to compile year on year comparative data, with anonymised results being publicly available to prospective students and advisors to help make informed choices of where and what to study. The results also enable the University to facilitate best practice and enhance the student learning experience.

vi) the Higher Education Academy, which is the organisation that carries out the Postgraduate Taught Experience Survey. If you are a postgraduate student on a taught course, we will contact you to ask you to complete the survey. The results of the survey are used to improve future support for taught postgraduates and to help advise national policy.

vii) about six months after you graduate, we will contact you to ask you to fill in the Higher Education Statistics Agency (HESA) ‘Destination of Leavers from HE’ survey. We will not give your contact details to HESA. If you complete the survey, then you might be included in a sample of leavers who are surveyed again a few years after they graduate. If so, we will pass your contact details to the organisation that has been contracted to carry out that survey. That organisation will use your details only for that purpose, and will then delete them. If you do not want to take part in this second survey, you can indicate this when submitting the first survey.

viii) when you search for and/or access bibliographic resources such as journal articles, your request may be routed through the UK OpenURL Router Service (openurl.ac.uk), which is administered by EDINA at the University of Edinburgh. The Router service captures and anonymises activity data which are then included in an aggregation of data about use of bibliographic resources throughout UK Higher Education (UK HE). The aggregation is used as the basis of services for users in UK HE and is made available to the public so that others may use it as the basis of services. The aggregation contains no information that could identify you as an individual.
ix) Qualification Check (after you graduate), for the verification (e.g. by potential employers and other HEIs) of the academic qualifications you gain at the University.

x) TNS-BRMB who have been commissioned by Sports England to undertake the Higher Education Sport Participation and Satisfaction Survey on their behalf. TNS-BRMB will only be provided with details of your e-mail address and these details will only be used for this Survey for the relevant academic year and will then be deleted (if you do not want to take part in this survey, please let us know).

xi) Santander UK plc and its associated companies and service providers in connection with the production of campus ID cards, which arrangement will be trialled from September 2014 for certain students only, with a planned roll out to all students enrolling from January 2014 onwards. Santander will process your data only for the purpose of producing your campus ID card and any replacement of it. You may choose to provide additional information to Santander direct for the purpose of obtaining additional financial services, but this will be an arrangement between you and Santander only, which the University is not involved with.

xii) third party contractors responsible for the maintenance and support of the University’s IT systems, who may be required to access such systems, including the data held within them, for the purpose of carrying out maintenance and fixes, subject to strict conditions.

4. The University protects the information it has about students and the standard response to enquiries about individuals is that information cannot be disclosed to other organisations without the student’s consent (unless required by law or regulatory authority), except to:

i) third party bodies contracted by the University for administrative, teaching assessment, recruitment, marketing or quality assurance purposes e.g. Study Group International;

ii) HESA, as required by statute. This forms your HESA record, which contains details of your ethnic group and any disabilities you have. HESA will pass your HESA record to other related organisations such as the Department for Business, Innovation and Skills, the General Social Care Council and the Teaching Agency; they use the information mainly to produce statistics. This may result in information being published and released to other approved users, including academic researchers and commercial organisations. Your record will not be used in a way that could affect you personally and the organisations will take precautions to reduce the risk of you being identified from the information once it is published and released. HESA publishes up-to-date information about its use of student data at http://www.hesa.ac.uk/collection-notices.

iii) validating and professional bodies in connection with registration and awards;
iv) other Higher Education Institutions or government agencies for the verification of your personal data held by the University;

v) the University’s insurers, auditors and legal advisers, including debt collection agents;

vi) Local Education Authorities, Student Finance England and the Student Loan Company in connection with grants, fees and student loans including in cases of suspected fraud;

vii) the emergency services, in emergencies and subject to certain conditions;

viii) the Police, subject to certain conditions;

ix) the Benefits Agency as required by the Social Security Administration Act 1992;

x) the UK Border Agency;

xi) the relevant local authority in relation to the collection of Council Tax, subject to certain conditions;

xii) your employer for the provision of a National Health Service smartcard (only if you are employed in the National Health Service and are undertaking a course as a requirement of your employment);

xiii) the Audit Commission as part of the National Fraud Initiative (only if you are an overseas student; for further details please see paragraph 13 below);

xiv) Kirklees Metropolitan Council to enable the Council’s Electoral Services to make contact with students to encourage electoral registration. If you have any questions regarding the Council’s use of your data for these purposes, please contact the Assistant Electoral Services Manager, Electoral Services, 3-5 Albion Street, Huddersfield, HD1 2NG;

and additionally, in the case of specific information on a student’s progress, attendance or achievement, only in the following cases:

 xv) for teaching, examination or assessment purposes;

xvi) in confidential references in connection with applications for employment or further education;

xvii) in confidential references in connection with current employers;

xviii) to LEAs, Student Finance England and the Student Loan Company in connection with grants and fees, including in cases of suspected fraud;

xix) to sponsors where this is a condition of sponsorship to which you have agreed;
xx) to work placement providers, only in connection with the administration and assessment of your placement;

xxi) for NHS-funded students only, to your NHS employer as well as the Yorkshire and the Humber Strategic Health Authority.

5. At enrolment, you will become a member of the Huddersfield Students’ Union (SU), unless you indicate that you wish to opt out of membership. The University will share members’ name and contact information with the SU to enable the SU to provide members with information about its services and events, which it may do by e-mail or by post.

6. When you successfully complete your course, your name and final award received (e.g. BA (Hons)) will be included in the programme used at the Graduation ceremony you attend. It may also be used in or on commemorative items or memorabilia (including but not limited to “hoodies”), and may be notified to the local press. You may opt out of this via My Details.

7. From time to time, limited information is given to the following bodies for educational or other beneficial services, where you have opted-in:

   i) Graduate prospects (basic information to enable access to the University’s JobShop vacancies, where you have given permission for this);

   ii) Previous school or college (information relating to your final award);

   iii) the University’s text-messaging alerts service provider (basic information to enable SMS alerts to be sent to you concerning your course and other relevant purposes, including DBS check reminders);

   iv) Health centre (changes of address, where you have requested this).

8. Our policy regarding confidentiality applies equally to enquiries from parents and other third parties. However should you incur any debt (tax-related or not) while registered as a student at the University, it is likely the University will comply with external requests to disclose personal information about you in relation to the collection of the debt.

9. In order to help us maintain our records, students must:

   i) provide accurate information at enrolment;

   ii) inform the University promptly of any changes affecting its records (e.g. name/address) and keep personal information up-to-date via My Details;

   iii) inform the University promptly in writing if they intend to withdraw from study, whether temporarily or permanently.

10. Your image may be taken by the University of Huddersfield but before your image is recorded (on any media) you will be informed in advance that you are “in shot” and will be given time to move out of shot. If you remain in shot, you grant to the
University of Huddersfield (and its assigns, licensees and legal representatives) the irrevocable permission to use your image throughout the world for any of its commercial or non-commercial purposes in all and any media, including, without limitation, publicity brochures (e.g. Higher Education prospectus), newspaper editorials and advertisements, leaflets, flyers, websites, CDs, e-mail campaigns and any other e-marketing activity, including publicity for joint ventures or any other partnerships in which the University may be engaged (the “Specified Purpose”); in its original format or edited or altered in any way which the University deems appropriate. You are also deemed to consent to the University storing copies of your image for the Specified Purpose. You have the right to ask for your image to be removed and, after such request, the University will not use it in any new material.

11. The University operates a CCTV system around its sites, the principle purpose of which is for preventing and detecting crime, therefore creating a safer environment for students, staff and visitors to the University. Due to the nature of such a system it is likely to capture images of students. CCTV is limited to public areas, e.g. reception areas, stairwells, lifts, outside areas as well as in lecture theatres, PC labs and student common rooms.

CCTV images are only used in circumstances that the University could not ignore where there is a risk of or actual criminal activity taking place or where behaviour of students may put others at risk.

Where images are used in any internal disciplinary procedures the individual student will have access to the CCTV footage which they will be able to view, provided that this can be achieved without infringing the privacy of third parties.

On occasion it may be necessary to install cameras for the specific purpose of monitoring activity in a particular area. This will be used only in exceptional circumstances where there is a reason to suspect criminal activity or equivalent malpractice. Any decision to monitor activity in this manner must be authorised by the University’s Senior Management and will only be used as a proportionate response to the problem and in compliance with data protection laws.

12. Students have the right to access the information the University holds on them. Any person who wishes to exercise this right should complete a subject access request form which is available from: http://www.hud.ac.uk/media/universityofhuddersfield/content/documents/informationgovernance/dataprotection/SAR_form.pdf.

The University will make an administration charge of £10 on each occasion that requested subject access request is made.

13. When you visit some web pages, your computer may be issued with a small file - a “cookie”. A cookie is a piece of information in the form of a very small text file that is placed on the hard drive of your computer. The information the cookie contains is set by the server (of the website you are using) and it can be used by that server whenever you visit the website. The University’s cookie policy in respect of the University website can be found at: http://www.hud.ac.uk/informationgovernance/cookiepolicy/
14. The University intends to participate in the National Fraud Initiative (NFI) data matching exercise carried out by the Audit Commission (this is in relation to overseas students only). Our participation in NFI will assist in the prevention and detection of fraud against the University and other organisations within the public sector. We will participate on a voluntary basis and provide the Audit Commission with particular sets of data, relating to overseas students, for matching as set out in the Audit Commission’s guidance which can be found at [http://www.audit-commission.gov.uk/nfi](http://www.audit-commission.gov.uk/nfi).

The use of data by the Audit Commission in a data matching exercise is carried out with statutory authority under its powers in Part 2A of the Audit Commission Act 1998. It does not require the consent of the individuals concerned under the Data Protection Act 1998.


Data matching involves comparing computer records held by one body against computer records held by the same or another body to see how far they match; this is usually personal information. Computerised data matching assists in identifying fraudulent claims and payments. Where a match is found it may indicate that there is an inconsistency which requires further investigation. No assumption can be made as to whether there is fraud, error or other explanation until an investigation is carried out.

Further information on the Audit Commission’s legal powers and the reasons why it matches particular information can be found at [http://www.audit-commission.gov.uk/fairprocessing](http://www.audit-commission.gov.uk/fairprocessing).

15. The University Solicitor has overall responsibility for data protection, under the direction of the University Secretary:

Ms Michaela Boryslawskyj, University Secretary
Ms Rebecca McCall, University Solicitor
University of Huddersfield
Queensgate
Huddersfield
HD1 3DH
Tel: 01484 473000
SECTION 3

ASSESSMENT AND EXAMINATIONS

1. All assessments and examinations associated with the University’s courses take place within the framework of the University’s Assessment Regulations, which are detailed in Section 4 of this Handbook. The Regulations embody the following general principles:

1.1 the University reserves the right to conduct examinations in a manner appropriate to each case prior to any decision which would indicate the academic/technical proficiency of a student of the University;

1.2 examination requirements shall be defined in advance of the beginning of each year and the arrangements for the conduct of the examinations shall be notified to the staff and students involved in sufficient time for all necessary preparations to take place without due haste;

1.3 in-class tests shall be defined at the point of validation of the module specifications which will indicate whether the in-class test is to be conducted in accordance with the regulations and arrangements for assessments or examinations. The arrangements for the conduct of the in-class tests shall be notified to the staff and students involved in sufficient time for all necessary preparations to take place without undue haste;

1.4 the Head of Registry, or a nominated deputy, shall be generally responsible for ensuring, to the satisfaction of the Vice-Chancellor, and of the Senate, that all examinations are conducted in a proper manner, in accordance with regulations, and that the outcomes of such examinations are properly recorded and published as appropriate;

1.5 the results of any examinations and the decisions which follow shall be as shown in official records held on the University ASIS database. Only results published under the authority of the Head of Registry shall be deemed authentic. Any other communications, of any form, shall be regarded as a courtesy which will not be acknowledged in the event of a dispute.

2. The responsibilities of students in relation to assessment are set out in section E1.5 of the University’s Regulations for Awards, which reads as follows:

2.1 It is the responsibility of students to attend examinations and submit work for assessment by the agreed submission date and to provide the examiners in advance of their meeting with any relevant information on personal circumstances which may have affected performance and which they wish the examiners to take into account. By attending the examination students are confirming that they are fit to sit and undertake that examination.

2.2 If a student fails to attend examinations or submit work for assessment without good cause, the examiners have authority to deem the student to have failed the assessments concerned. The submission of work is receipted. In cases of dispute over submission, claims by students to have
submitted work will only be considered in cases where the student provides a copy of the receipt to demonstrate submission.

2.3 Assessed work which is submitted late but within five working days of the agreed submission date will be accepted and the maximum mark available for that piece of assessment will be 40%. This facility does not apply to the submission of assessed work relating to Tutor Reassessment, referral or deferral requirements but does apply to previously agreed extended or renegotiated deadlines.

2.4 If a student fails, without good cause, to provide the examiners in advance of their meeting with information about any personal circumstances that may have affected performance in assessments, the Senate or other body authorised by it to consider appeals against an examiner’s decision has authority to reject the appeal on those grounds.

2.5 If a student is found to have cheated or attempted to gain an unfair advantage, the Academic Integrity Officer or Deputy and the Academic Integrity Committee have authority to deem the student to have failed part or all of the assessments and the authority to determine whether or not the student shall be permitted to be reassessed.

2.6 The four areas of the Assessment Regulations which are of most direct concern to students are set out in the following pages:

Assessment Regulation 2 deals with the conduct of students in examinations and assignments.

Assessment Regulation 3 deals with the academic integrity of students in all elements of assessed work.

Assessment Regulation 4 sets out the procedure which is followed when a breach of the academic integrity regulations is reported to the Academic Integrity Officer or deputy.

Assessment Regulation 7 explains the circumstances in which a student may appeal against a decision taken by an assessment board.
SECTION 4

ASSESSMENT REGULATIONS

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students' Union and Students' Union Advice Centre.

Assessment Regulation 1: Arrangements for formal examinations and assignments

Examinations shall be conducted in the following manner except where the regulations of an external body specify otherwise. Students with disabilities and requiring any special or additional needs should notify their year tutor, School office and Student Services (if not already done so) following enrolment. Documentary evidence of their disability and needs must be provided where practicable.

1.1 Responsibility for invigilation is an academic duty. The invigilator-in-charge must be a member of the academic staff of the University. Invigilators other than the invigilator-in-charge may be members of the non-academic staff of the University or other suitable person as approved by the Dean of the School or Registry, responsible for the administration of the examination in accordance with 1.3.

1.2 Invigilators shall be required on the basis of one per fifty candidates with a minimum of two per examination room.

1.3 An invigilator-in-charge will be appointed for each examination to ensure that provisions have been made for the proper conduct of examinations and that the examinations are conducted in accordance with the regulations. Where there are a number of examinations being held simultaneously in a room, the Head of Registry will determine which Dean of School shall nominate the invigilator-in-charge.

1.4 An invigilator shall not be engaged in other work during the period of invigilation.

1.5 It is the responsibility of the module leader or nominee to ensure in advance of the examination period that the examination documentation held by Registry is correct. Except in special circumstances no examination documentation for either a written examination or an electronic examination shall be withdrawn from the Registry before the day of the examination.

1.6 Collection of examination documentation

1.6.1 Written examinations
1.6.1.1 The module leader or nominee should arrange for the collection of papers from the Registry on the day of the examination and should be in the examination room, together with the papers, at least 20 minutes before the written examination is due to start. The papers shall be in a sealed envelope which will be opened in the examination room in time to allow the distribution of the papers before the start of the written examination.

1.6.2 Electronic examinations
1.6.2.1 A technical examination support officer authorised by the Director of Computing and Library Services and the Dean of the School
responsible for the administration of the electronic examination in accordance with 1.3 shall be appointed and shall be available for the duration of each electronic examination.

1.6.2.2 The invigilator-in-charge should pass the electronic examination to the authorised technical examination support officer at least 30 minutes before the electronic examination is due to start and should confirm its successful installation. The invigilator-in-charge should be in the examination room at least 20 minutes before the electronic examination is due to start.

1.7 For written examinations, question papers should be placed on the table face up. Where a number of different examinations are being held in the same room all must be started at the same time and be of the same duration.

1.8 A module leader or subject specialist representing each examination (who may also act as an invigilator) should be identified by the School and available on campus for the duration of the examination.

1.9 Candidates must be seated according to the seating.

1.10 Candidates should be admitted to the examination room at the latest ten minutes before the examination is due to commence.

1.11 Outerwear such as coats, fleeces, anoraks, all bags and similar items must be left in the place designated for this purpose. Apart from writing implements candidates may bring to their examination desks only such instruments, books and other items as have been specified by the examiners. Unannotated paper versions of general bi-lingual dictionaries only may be used by overseas students whose first language is not English. Subject-specific bi-lingual dictionaries are not permitted. Electronic dictionaries may not be used. Mobile phones and MP3 players and other electronic devices (except for calculators where these are expressly permitted) should not be brought into the examination room or in-class test, if these are brought into the examination room they must be left in the designated area and switched off. Candidates should have no access to other materials during an examination or in-class test.

1.12 Candidates should be informed when they are under examination conditions and that all conversation must cease. For written examinations, answer books should then be signed by the candidates. For electronic examinations, candidates should type in their full name and course on the screen and sign the working booklets made available for their rough notes. The examination should then be commenced.

1.13 Candidates should display campus ID cards on the top right hand corner of the desk. Campus cards will be checked by the invigilators against the seating plans so that attendances may be noted. Failure to display a campus ID card will be noted but does not exclude a candidate from an examination. A candidate with no campus ID card will be requested to allow the invigilator to take his/her photograph to be verified with the student record. A candidate whose face is obscured will be asked to confirm evidence of identity for examination purposes and to show his/her campus card to a male/female member of staff, and remove the item obscuring their
face. In the case of female candidates this must take place in an area where this cannot be witnessed by male members of staff or students. Staff have been asked to approach students in a courteous manner taking into account the students cultural preferences and ask that students respond in a similar manner.

1.14 No candidate should normally be allowed to enter an examination after the first third has elapsed. For candidates who arrive within the first third of the examination period and who choose to undertake the examination the standard end time of the examination will apply. The answer book or working booklet together with the invigilator’s report sheet should be appropriately endorsed.

1.15 Invigilators should keep a close watch on candidates during the examinations.

1.16 Where unfair conduct is detected or suspected the invigilator-in-charge should so endorse the candidate’s answer book or working booklet together with the invigilator’s report sheet, attaching a report and informing the Academic Integrity Officer or Deputy as soon as possible after the examination. The endorsed answer book or working booklet should be withdrawn at once and a new one issued. For electronic examinations, the current examination for the candidate should be stopped and saved, and the electronic examination restarted.

1.17 Where a candidate who, after being warned, persists in conduct disturbing others he/she will be asked by the invigilator-in-charge to leave the examination room. The answer book or working booklet together with the invigilator’s report sheet should be so endorsed and an immediate report be sent to the Dean of the School for action under the Disciplinary procedures. For electronic examinations, the examination completed to date should be saved.

1.18 Candidates wishing to leave the examination temporarily for personal reasons may do so under escort. The escort may be either an invigilator or a member of staff summoned for the purpose.

1.19 Except in an emergency a candidate should not be allowed to leave the examination room permanently during the first third or the last twenty minutes of an examination session. In the event of an emergency, candidates should leave the room as instructed by the invigilators and should not enter into conversation with other examination candidates. Candidates should be advised of the time when twenty minutes of the examination remains.

1.20 Closure of an examination.

1.20.1 For written examinations, at the close of the examination the necessary papers should be collected from candidates and no conversation between candidates should occur until all answer books are in the invigilators’ hands.

1.20.2 For electronic examinations, the candidates should be instructed not to touch the keyboard or mouse and no conversation between candidates should occur until the invigilators have closed all of the electronic examinations and all working booklets are in the invigilators’ hands.

1.21 Submission of examination documentation to internal examiners
1.21.1 For written examinations, the invigilator-in-charge should then arrange for the answer books to be conveyed securely either to the appropriate internal examiners in the case of a University examination or to the Head of Registry in the case of an external examination.

1.21.2 For electronic examinations, the invigilator-in-charge should collect a copy of the disc of the electronic examination answers from the authorised technical examination support officer and convey this disc and the working booklets securely to the appropriate internal examiners. The authorised technical examination support officer should submit a second copy of this disc to the Examinations office in Registry and keep a third copy of the disc in the fire safe in Computing and Library Services.
SECTION 4

Assessment Regulation 2: Conduct of candidates in examinations and assignments

2.1 The following regulations for candidates apply to all examinations held in the University except where the examiners have specified otherwise. For examinations and other assessments conducted under examination protocols, the University operates a ‘fit to sit’ procedure. A candidate who undertakes an assessment under examination protocols is declaring themselves fit to sit that assessment and a subsequent claim for extenuating circumstances will not be considered.

2.1.1 Candidates will be admitted to an examination room at least ten minutes before the examination is due to start.

2.1.2 Outerwear such as coats, fleeces, anoraks, all bags and similar items must be left in the place designated for this purpose. Apart from writing implements candidates may bring to their examination desks only such instruments, books and other items as have been specified by the examiners. Bi-lingual clean, paper dictionaries only may be used by overseas students whose first language is not English. Electronic dictionaries may not be used. Mobile phones and MP3 players and other electronic devices (except for calculators where these are expressly permitted) must not be brought into the examination room or in-class test, if these are brought into the examination room they must be left in the designated area and switched off. Candidates should have no access to other materials during an examination or in-class test.

2.1.3 A candidate will not normally be allowed to enter an examination room after one third of the time allowed for the examination has elapsed. In the case of unavoidable delay a candidate arriving late should report in the first instance to the invigilator-in-charge.

2.1.4 A candidate must occupy the desk which is allocated to him/her on the seating plan.

2.1.5 Before commencing a written examination candidates must complete and sign and seal the answer book which will have been placed on their desk. Before commencing an electronic examination candidates must sign the working booklets which will have been placed on their desk and type their name and course on the screen.

2.1.6 Candidates are responsible for checking that they have been issued with the correct examination documentation for either a written examination or an electronic examination.

2.1.7 A candidate who wishes to attract the attention of the invigilator should raise his/her hand.

2.1.8 A candidate who wishes to leave the examination room temporarily must be accompanied by an invigilator or by a member of staff.
2.1.9 A candidate may not leave the examination room permanently during the first third of the time allowed for an examination or the last twenty minutes.

2.1.10 Smoking is not allowed at any time in an examination room.

2.1.11 For written examinations, candidates should remain in their seats at the end of an examination session until all the answer books have been collected. For electronic examinations, candidates should remain in their seats until the invigilators have closed all of the electronic examinations and the working booklets have been collected.

2.1.12 A candidate whose conduct is disturbing to other candidates will be warned by the invigilator. Should the conduct persist the candidate will be required to leave the examination room. For written examinations, the answer book will be appropriately endorsed. For electronic examinations the working booklet together with the invigilator’s report sheet should be appropriately endorsed and the examination completed to date should be saved. In both cases, a written report will be sent to the Dean of the School for action under the Disciplinary procedures.

2.1.13 If, during an examination, a candidate is suspected of using unfair conduct he/she will be so informed by the invigilator and have his/her answer book or working booklet together with the invigilator’s report sheet appropriately endorsed. The endorsed answer book or working booklet will be withdrawn and a new book will be issued before the candidate is allowed to continue the examination. Additionally, for electronic examinations, the current examination should be stopped and saved, and the electronic examination restarted. In both cases a written report will be sent to the Academic Integrity Officer or deputy.

2.2 If, following an examination, the invigilator or examiner suspects that a candidate has used unfair conduct the answer book or working booklet will be so endorsed and a written report will be sent to the Academic Integrity Officer or deputy. Additionally, for electronic examinations, a printed copy of the completed electronic examination will be sent to the Academic Integrity Officer or deputy.

2.3 In-course assignments (e.g. projects, essays, laboratory exercises) which are to be examined as part of an overall assessment must be carried out in the manner prescribed by course regulations and by the responsible lecturer, in particular

2.3.1 assignments must be carried out under the prescribed conditions;

2.3.2 assignment material must be presented in the required format not later than the date specified in Regulations, or by the lecturer responsible. The submission of work is receipted. In cases of dispute over submission, claims by students to have submitted work will only be considered in cases where the student provides a copy of the receipt to demonstrate submission;

2.3.3 when an assignment is not invigilated, and a student fails to submit work for assessment by the agreed submission date, other than because of the
student’s own proven illness or some other valid cause, the student may be deemed to have failed that assessment;

2.3.4 on submission of an assignment, it is a student’s responsibility to ensure that at least one durable backup copy of material submitted for assessment is retained in a secure location away from the University. Where necessary, photographic evidence of practical work should be retained.

2.4 If there is evidence that assignment material, presented for any form of assessment leading to information which would be taken into consideration by examiners, or members of an Assessment Board, has been arrived at by unfair means then a written report may be sent to the Academic Integrity Officer or deputy.

2.5 The examination methods and procedures may be varied by an Assessment Board where a student, through disability or handicap, is unable to be assessed by the methods approved for the course.

2.6 It is the responsibility of candidates to ensure that personal matters which they might wish to claim had a bearing on their performance are made known in accordance with Section 5 of this Handbook. All evidence must be in English or translated into English and signed by a public authority.

2.7 All assessments must be written legibly. Failure to do so will result in a mark of zero being recorded for the work.

2.8 The following shall apply in cases where a student has engaged the services of a proof reader:

2.8.1 Proof-readers, whether formally paid or not, may legitimately provide guidance and developmental advice on the improvement of spelling, grammar and syntax, and this may be specifically prescribed by a ‘personal learning support plan’;

2.8.2 In using a proof-reader, it is the student’s responsibility to ensure that both s/he and the proof-reader understand the boundaries between the proof-reader indicating errors and the student’s own responsibility for the correction of those errors, and to retain evidence to demonstrate this responsibility has been discharged;

2.8.3 A proof-reader must not make material amendments to any piece of written work. Submission of work in which such amendments have been made would constitute a breach of the academic integrity regulations on the part of the student.

Note: Guidelines on the submission of claims under Assessment Regulation 2.6 are detailed in Section 5 of this Handbook.
SECTION 4

Assessment Regulation 3: Academic Integrity

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students' Union and Students’ Union Advice Centre.

3 POLICY

3.1 The University regards any action by a student which may result in an unfair advantage, such as cheating, collusion, falsification, ghosting, personation and plagiarism, as a serious academic offence. Where such conduct is proven this may lead to the application of a disciplinary penalty. In the event of an allegation(s) being proved after a student has been awarded credit or graduated, any credit, degree or other award of the University that is held by the student may be revoked by the Academic Integrity Committee (AIC).

3.2 All students are expected to maintain academic integrity throughout their period of study at the University. This means that they must respect other members of the academic community, both within and outside the University, and uphold the ethical values of that community when producing work. This extends beyond ensuring that work presented is one's own and may include the reporting of any instances of malpractice of which they become aware.

3.3 It is the responsibility of each student to ensure that any work presented for assessment is their own, and that any work (eg a collaboration) or opinions of others are appropriately acknowledged. To reinforce this responsibility students are required to include a declaration of integrity with every piece of work they present for summative assessment. Students are also encouraged to report any instances of malpractice of which they become aware.

3.4 Suspected instances and allegations of breaches of academic integrity will be investigated in accordance with the procedures set out in Section 4, Assessment Regulation 4 and having regard at all times to the principles of equity and fairness.

3.5 Students are advised that if an allegation of a breach of academic integrity is proven the penalty can range from repeating the module in full the following year capped at 40% to exclusion from the University. The University's Tariff of Penalties is contained within the Appendices of the Students' Handbook of Regulations.

3.6 The University provides a software package for completion by all students to support them in understanding accurate referencing and the dangers of plagiarism. Students are expected to complete this test in the early stages of their studies at the University. Failure to have completed this test satisfactorily will be taken into account when an allegation of a breach of academic integrity relating to plagiarism is being considered.
DEFINITION OF AN ACADEMIC INTEGRITY OFFENCE

3.7 The University defines an academic integrity offence as a failure to act in accordance with generally recognised standards of academic behaviour and honesty.

Some examples of academic integrity offences are set out below but they do not constitute an exhaustive list:

3.8 Cheating

1. Copying from another candidate’s notes during an examination;
2. The placing of unauthorised items on the examination desk, this includes pencil cases, mobile phones, electronic calculators;
3. Communication in any way during an examination with any person other than an authorised member of staff;
4. Accessing or copying from any source of information during an examination (including written or printed materials and electronically stored information), except as authorised by the examination regulations;
5. Gaining access to unauthorised material prior to an assessment (eg an examination paper).

3.9 Collusion

1. Submission of work presented as the student's own which has been done in unauthorised collaboration with another person, whether or not that other person is a student of the University;
2. Unauthorised collaboration with another student in completion of work which that other student then submits as entirely his/her own work;
3. Failing to safeguard one’s own work or making it available to another student who then submits it as his/her own (including access to work in subsequent academic sessions);
4. Making instructions, briefs or similar instructional documents relating to assessments available to others (including posting to the internet or making available by similar means) that results in an academic advantage.

3.10 Falsification

1. Claiming to have carried out experiments, observations, interviews or any form of research which the student has not carried out;
2. Falsification of results or other data.

3.11 Ghosting

1. Submission of work presented as the student's own which has been purchased, commissioned or otherwise acquired from another person (including internet sellers) whether or not specifically produced for that student or "off the shell".
2. Making available to students of the University or elsewhere work or material to be incorporated in work which the recipient uses to commit an academic integrity offence regardless of whether there is financial gain.
3.12 Personation

1. Assuming the identity of another student (of this or any other institution) with the intention of gaining an unfair advantage for that student;
2. A student allows another person to impersonate him/her in order to gain an unfair advantage.

3.13 Plagiarism

1. Reproduction of published or unpublished (e.g. work of another student or your own work) material without acknowledgement of the author or source;
2. Presenting information from electronic sources such as the internet without acknowledgement of the source;
3. Paraphrasing by, for instance, substituting a few words or phrases or altering the order of presentation of another person's work, or linking unacknowledged sentences or phrases with words of one's own.
SECTION 4

Assessment Regulation 4: Action following a report of an Academic Integrity offence to the Academic Integrity Officer or Deputy

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

4 PROCEDURE

4.1 Framework

4.1.1 Each School shall designate one member of its senior academic staff to fulfil the role of Academic Integrity Officer (AIO) and a deputy (DAIO) or deputies shall be designated to act in the absence of the Academic Conduct Officer. The Academic Integrity Officer and/or Deputy will:

- advise academic staff in conducting interviews with students,
- advise on the collection of information and evidence,
- convene the School based investigation and decide on the subsequent penalty if appropriate,
- attend the Academic Integrity Committee (AIC).

4.1.2 Where an allegation of a breach of academic integrity regulations is brought against a student by a tutor from a School owning the module, which is different to the School in which the student is registered; the allegation will be investigated and put forward by the School owning the module.

4.1.3 The Academic Integrity Committee will be convened as and when the volume of work dictates but no less than once every two months and will be comprised of:

- any combination AIO or deputy from each School,
- a member of the SU Executive (normally the SU President)

and will be convened by the Head of Registry or nominee.

4.1.4 The Academic Integrity Officers will confirm the penalty to be applied where a student admits an academic offence and the penalty is between Penalty 1 and Penalty 3 on the Tariff of Penalties. If a penalty is likely to have the effect of resulting in the loss of credit or excluding the student from the course or University the allegation should be referred to the Academic Integrity Committee for consideration. If a student submits evidence of extenuating circumstances that is accepted by the (D)AIO a lesser penalty may be applied without reference to the Academic Integrity Committee provided:

- The penalty does not result in the loss of credit or excludes the student from the University and
- Agreement from the Head of Registry (or nominee) had been received by the (D)AIO.
4.1.5 The Academic Integrity Committee will consider all cases referred to it and apply a penalty as appropriate in accordance with the University Tariff of Penalties. If a student submits evidence of extenuating circumstances that is accepted by the AIC a lesser penalty may be applied.

4.2 Allegation of a Breach of Academic Integrity

4.2.1 Where an examiner, whether internal or external suspects academic misconduct in an assessment he/she will report it to the (D)AIO and provide evidence in support of any allegation. The (D)AIO will advise the examiner on whether there is a case to answer.

4.2.2 Where it is suspected that the assessment is not the work of the student, the student may be invited to an interview with the module tutor and module moderator to demonstrate his/her understanding of the work in question. Following the interview a report will be made and agreed jointly by the module tutor and moderator and submitted to the (D)AIO as part of the evidence.

4.3 School Based Investigation by the (Deputy) Academic Integrity Officer (D)AIO

4.3.1 The (D)AIO will meet with the member of staff making the allegation and hear all evidence and will arrange for a member of staff to act as note taker.

4.3.2 The (D)AIO will invite the student/s to an interview to discuss the allegation. The letter and hearing documentation should be sent by first class. A copy of the letter should also be sent to the student’s University email address. In the letter, the student/s will:

1. be advised of the date of the meeting, (at least 5 working days notice to be given) and asked to confirm attendance by no later than two working days in advance of the hearing;
2. be provided with details of the allegation/s including the report from the member of staff bringing the allegation/s;
3. be provided with a copy of the Turnitin report, examination paper or other evidence as appropriate, (the student will retain the evidence after the meeting);
4. be provided with a copy of the assessment submitted by the student and a copy of the original source text with relevant sections highlighted;
5. be provided with the module assessment criteria where appropriate;
6. be asked to bring all notes used in producing the work;
7. be provided with a copy of this procedure to be followed in the event that the student accepts/refutes the allegation;
8. be advised he/she is entitled to have a supporter from the University community to attend the interview with them, normally a representative from the University’s Students’ Union Advice Centre, another student, a member of academic staff or a member of staff from Student Services;
9. be advised that a supporter will not normally act as an advocate;
10. be provided with express confirmation of who will conduct the interview;
11 be advised that failure to respond will result in the meeting going ahead in absentia and a decision being made on the basis of the information contained within the hearing documentation.

4.3.3 If a student/s does not respond to the letter by the deadline, the School should make appropriate checks that correspondence is going to the correct address and send an email to the student’s University email account advising them of the hearing and reminding them that failure to respond will result in the meeting going ahead in absentia and that a decision will be made on the basis of the information contained within the hearing documentation.

4.3.4 The (D)AIO will arrange for a member of staff to act as note taker.

4.3.5 In the interview the (D)AIO should:

1. commence by inviting all those present to introduce themselves and explain their role or function at the hearing
2. confirm that the supporter (if present) cannot act as an advocate
3. confirm that the purpose of the interview is to establish whether the allegation of a breach of academic integrity regulations has taken place
4. ask the student if they accept or refute the allegation
5. ask the student if the allegation is being refuted to present his/her case explaining how this has happened and/or provide any supporting evidence including, where applicable, any witness statements.

4.3.6 Following the interview:

1. If the meeting finds that there is no offence to answer the student will be advised in writing within 5 working days of the School hearing and no record will be retained.
2. The (D)AIO will check that the allegation is a first offence or otherwise and whether or not the student has successfully completed the on-line academic misconduct training tool.
3. If the student accepts the allegation and the applicable penalty is between Penalty 1 and Penalty 3 on the Tariff of Penalties, the (D)AIO will advise the student of the penalty that will be applied. In reaching this decision the (D)AIO will take into account the successful completion or otherwise by the student of the on-line academic integrity training tool.
4. The (D)AIO will advise the Chair of the CAB of the offence and subsequent penalty and record on ASIS the offence and penalty applied against the student’s record.
5. If the student accepts the allegation and the applicable penalty is either Penalty 4 or Penalty 5 on the Tariff of Penalties, the (D)AIO will refer the case to the Academic Integrity Committee who will consider the academic offence and apply an appropriate penalty using the University tariff.
6 In all cases where the student refutes the allegation the (D)AIO should send 7 copies of the written report and supporting evidence within 5 working days of the School hearing to the Head of Registry for consideration by the Academic Integrity Committee. Supporting evidence includes:

1. report from (D)AIO
2. report from member of staff bringing the allegation
3. signed statement from the student confirming the notes of the School based meeting
4. copy of Turnitin report or examination paper or other evidence as appropriate
5. copy of the assessment submitted by the student and a copy of the original source text with relevant sections highlighted;
6. any mitigating evidence provided by the student
7. module assessment criteria where appropriate.

4.4 Student absence from a school based Academic Integrity meeting

4.4.1 If a student has indicated that they do not wish to attend, the (D)AIO will make a decision and advise the student accordingly.

4.4.2 If a student has indicated that they are attending but is prevented from doing so for good reason which can be evidenced, and the student advises the School Office before the meeting, the meeting will be deferred to a later date.

4.4.3 If the student has indicated that they are attending but fails to attend and does not inform the School Office prior to the meeting, the meeting will go ahead and a decision will be reached based on the information available to the (D)AIO.

4.4.4 If a student fails to confirm attendance and all attempts to contact the student have failed, the meeting will go ahead and a decision will be reached based on the information available to the (D)AIO. Attempts to contact the student will be recorded on the student file including, copy letters and emails.

4.4.5 A student who does not attend the Academic Integrity Meeting waives the right of appeal except where an unavoidable inability to engage with the process can be demonstrated.

4.5 The Academic Integrity Committee

4.5.1 Where a case is reported to the Head of Registry for consideration by the Academic Integrity Committee the (D)AIO will advise the Chair of the Course Assessment Board who will defer consideration of the work in question until a decision has been made by the Academic Integrity Committee. The results for modules unaffected by the allegation should be considered as normal. Where the student has refer or defer work to be completed the student should be required to complete this work.
4.5.2 The Head of Registry will convene the hearing of the Academic Integrity Committee. The date of the hearing will be governed by a predetermined schedule.

4.6 Notifying the Student/s

4.6.1 Students should be given at least 5 working days notice of the hearing. The student will be advised in writing of the allegation together with accompanying documents, a copy of the regulations concerning academic integrity, the timing of the hearing and who the panel members will be. Correspondence should be sent to students by first class post using the relevant address as recorded on ASIS or an address provided by the student to Registry.

4.6.2 The student should be advised that he/she is entitled to have a person of their choosing from the University community to attend the hearing with them, normally a member from the Students’ Union Advice Centre, a member of academic staff, a student or a member of staff from Student Services. The student should be asked to confirm attendance at the hearing and the name and status of the person accompanying them to the hearing. A supporter will not normally act as an advocate.

4.6.3 If the student has previously provided witness statements he/she should be advised to notify the witnesses of the date of the hearing to ensure that they can attend.

4.7 Composition of the Academic Integrity Committee

4.7.1 The Academic Integrity Committee will comprise of a minimum of four members including:

1. any combination of 3 (D)AIOs not drawn from the Schools where the allegations originated

2. a member of the Students’ Union Executive normally the SU President.

The Head of Registry or nominated deputy will act as secretary but will not be a member.

4.7.2 The Academic Integrity Committee reserves the right to call any witness not already identified by the student or the School.

4.7.3 Any member of the Committee who knows of any possible conflict of interest or who has been personally involved in the individual’s current or prior case will not be eligible to be a member of the Committee for that case and should inform the Head of Registry prior to the meeting.

4.7.4 Documents for the hearings will be distributed to committee members and are private and confidential. They should only be discussed with other committee members or for clarification purposes with Registry.
4.8  **Student absence from a University Academic Integrity Hearing**

4.8.1 If a student has indicated that they do not wish to attend, the Chair will ensure that the Committee is familiar with all facts related to the case and present any supporting evidence forwarded by the student. The Committee will make a decision and advise the student accordingly.

4.8.2 If a student has indicated that they are attending but is prevented from doing so for good reason which can be evidenced, and the student advises the secretary before the meeting, the meeting will be deferred to a later date.

4.8.3 If the student has indicated that they are attending but fails to attend and does not inform the secretary prior to the meeting, the meeting will go ahead and a decision will be reached based on the information available to the committee.

4.8.4 If a student fails to confirm attendance and all attempts to contact the student have failed, the meeting will go ahead and a decision will be reached based on the information available to the committee. Attempts to contact the student will be recorded on the student file, copy letters held on file and receipts for recorded delivery letters will be requested.

4.8.5 A student who does not attend the Academic Integrity Committee waives the right of appeal except where an unavoidable inability to engage with the process can be demonstrated.

4.9  **The Academic Integrity Hearing**

4.9.1 The following should be adhered to in all circumstances and only varied where there is concern for the welfare of a student, witness or a member of staff:

1 The secretary will meet the student, supporter and School staff outside of the meeting and escort them into the meeting. Witnesses will remain in a designated waiting area until called.

2 The Chair will commence introductions of members present and invite others present to introduce themselves and their function.

3 If a supporter is present, the Chair should confirm that the supporter cannot act as an advocate.

4 The Chair will advise the student of the alleged offence and the specific details of the allegation.

5 The student will be asked whether they understand the allegation.

6 The student will be asked whether they accept or refute the alleged offence.
7 If the student accepts the allegation the Chair will ask the student if they wish to plead mitigating circumstances.

8 The Chair will thank the student, supporter and School staff for attending and advise the student that a decision will normally be made in writing within five working days. The attendees will be escorted from the room.

9 The Committee will discuss the case and consider whether the allegation has been proved and reach its decision.

10 If the student has been previously found guilty of an academic offence the secretary will advise the Committee once a decision has been reached.

11 If the student is found guilty the Academic Integrity Committee will consider what penalty, if any, is to be imposed using the penalties as approved by UTLC. In reaching this decision the Committee will take into account the successful completion or otherwise by the student of the on-line academic misconduct training tool.

12 If the student is found guilty the decision of the penalty imposed will be reported electronically to the Dean, the (D)AIO, module tutor, administrative contact and recorded on the student’s file on ASIS. The student will be advised in writing.

13 Notes of the hearing will be made available electronically to the Dean, (D)AIO, module leader and administrative contact and retained in Registry. The student will be sent a written copy of the notes.

14 If the student refutes the allegation the Chair of the Committee will explain that the purpose of the Academic Integrity Committee is to hear evidence in support of the student and the School and make a decision based on the information provided.

15 The Chair will invite the School staff to present the case against the student.

16 The Chair will ask the student if he/she wishes to make a statement to the Committee.

17 If appropriate, witnesses will be called at this stage. The Chair will give members of the Committee an opportunity to ask questions of the witnesses. The witnesses will be escorted from the room.

18 The Chair will give both the student and staff members the opportunity to ask questions of each other, and the members of the Committee to ask questions of the staff and student.

19 The Chair will ensure that all members of the Committee have
completed their questioning.

20 The Chair will ask the student and each member of staff if they wish to make any closing statement.

21 The Committee may at the request of either party hear a final statement in private.

22 The Chair will thank the student, supporter and School staff for attending and advise the student that a decision will normally be made in writing within five working days. The attendees will be escorted from the room.

23 The Committee will discuss the case and consider whether the allegation has been proved and reach its decision. Any evidenced mitigating circumstances will be taken into account. Absolute proof of the allegation is not required to determine that an allegation has been substantiated.

24 If the student has been previously found guilty of an academic offence the secretary will advise the Committee once a decision has been reached.

25 If the student is found guilty the Academic Integrity Committee will consider what penalty, if any, is to be imposed using the penalties approved by UTLC and taking into account any previous offences.

26 If the student is found guilty the decision of the penalty imposed will be reported electronically to the Dean, the (D)AIO, module tutor and administrative contact and recorded on the student’s file on ASIS. The student will be advised in writing.

27 Notes of the hearing will be made available electronically to the Dean, (D)AIO, module tutor and administrative contact and retained in Registry. The student will be sent a written copy of the notes within 5 working days of the Committee having reached a conclusion.
SECTION 4

Assessment Regulation 5: Appeal Against a Decision Related to an Academic Integrity Offence

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

5.1 Appeal against a decision of a School Based Investigation

5.1.1 A student may apply for leave to appeal to the Academic Misconduct Committee regarding a penalty imposed by the Academic Integrity Officer or Deputy [(D)AIO] following the School hearing. Such appeals must be made in writing to the Head of Registry not later than 10 working days after the decision has been issued to the student.

5.1.2 A student who does not attend the School Based Academic Integrity Meeting waives the right of appeal except where an unavoidable inability to engage with the process can be demonstrated.

5.1.3 Leave to appeal will only be granted if:

- the student can demonstrate a material irregularity has occurred
- the student presents extenuating circumstances which for very good reason could not be presented at the original interview.

5.1.4 On receipt of an application for leave to appeal the Head of Registry or nominated deputy will review the documentation submitted to identify if a material irregularity has occurred and/or is demonstrated within the documentation or ascertain why the extenuating circumstances could not have been presented to an earlier meeting. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.

5.1.5 If leave to appeal is granted the appeal will be heard at the next available Academic Integrity Committee normally within 15 working days of the appeal being lodged. There will be no further opportunity to submit additional evidence. Its meetings shall be private and its proceedings confidential. The student and School representative may be required to attend the hearing and the Committee’s decision will be final.

5.1.6 The Appeals Committee will comprise of three members of the Academic Integrity Committee, one of whom will be a student number. No member will have been directly involved in the decision under dispute.

5.1.7 Students should be aware that the Appeals Committee may impose a greater or lesser penalty. The Committee may:

1 confirm the findings and the penalty in all respects
2 change, revise or vary the penalty in accordance with the decision of the appeal
3 uphold the appeal, remove the penalties and any record of the offence on the student file.

5.2 Appeal against a decision of the Academic Integrity Committee

5.2.1 The student may appeal to the Pro Vice-Chancellor (Teaching and Learning) regarding the decision and/or penalty imposed by the Academic Integrity Committee. Application for leave to appeal must be made in writing to the Head of Registry not later than 10 working days after the decision has been issued to the student, and must demonstrate that a material irregularity has occurred to be successful.

5.2.2 A student who does not attend the Academic Integrity Committee Hearing waives the right of appeal except where an unavoidable inability to engage with the process can be demonstrated.

5.2.3 Leave to appeal will only be granted if:

- the student can demonstrate a material irregularity has occurred
- the student presents extenuating circumstances which for very good reason could not be presented at the original interview.

5.2.4 On receipt of an application for leave to appeal the Head of Registry or nominated deputy will review the documentation submitted to identify if a material irregularity has occurred and/or is demonstrated within the documentation or ascertain the extenuating circumstances could not have been presented to an earlier meeting. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.

5.2.5 If leave to appeal is granted the appeal will be heard at the next available Academic Integrity Committee normally within 15 working days of the appeal being lodged. There will be no further opportunity to submit additional evidence. Its meetings shall be private and its proceedings confidential. The student may be required to attend the hearing and the Committee’s decision will be final. No member of the new committee will have been involved in the previous committee but may be called to give evidence.

5.2.6 The Appeals Committee will comprise of three members of the Academic Integrity Committee, one of whom will be a student member. No member will have been directly involved in the decision under dispute.

5.2.7 The Committee may:

1. confirm the findings and the penalty in all respects
2. change, revise or vary the penalty in accordance with the decision of the appeal
3. uphold the appeal, remove the penalties and any record of the offence on the student file.
SECTION 4

Assessment Regulation 6: Publication of the results of assessments

6.1 The results of any assessments and the decisions which follow shall be recorded on the University ASIS database. Only results published under the authority of the Head of Registry shall be deemed authentic.

6.2 Results lists from Assessment Boards will be signed by the Chair of the Board and the Dean, or a nominated deputy, and will be retained securely within the School Office. Students will be advised of their results via the University ASIS database.

6.3 Students will be advised of their resit results as soon as possible after resit assessment board meetings and in accordance with the published academic administration timetable. In exceptional circumstances some courses will receive results by letter.

6.4 Electronic copies of results lists from all Assessment Boards will be lodged in the School Office. Electronic copies of conferment lists will be forwarded to Registry and retained in the Registry and School Office.
SECTION 4

Assessment Regulation 7: Appeal against a decision of an Assessment Board

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students' Union and Students’ Union Advice Centre.

7.1 Candidates may in the circumstances set out below request a review of the Assessment Board’s decision.

7.1.1 An ‘appeal’ is defined as a request for a review of a decision of an Assessment Board charged with making decisions on student progression, assessment and awards. Such an appeal will always be concerned with the conduct of the assessment or with the personal circumstances of the candidate and not with questioning the academic judgement of a Board.

7.2 An appeal may only be made in relation to the decision made by the Assessment Board. Given the existence of procedures for complaint during the study period, alleged inadequacy of tuition or other arrangements (including feedback) during the period of study do not constitute grounds for requesting a review of the Assessment Board’s decision.

7.3 Leave to appeal will only be granted on one or both of the following grounds;

a) that there is evidence of a material irregularity (including administrative error), either in the conduct of the assessment itself, or in the proceedings of the Course Assessment Board, which substantially affected the Course Assessment Boards decision;

b) that the student was subject to personal extenuating circumstances at the time of the assessment, which:

   i) were unforeseen and outside of his/her control,
   ii) were not made known to the Course Assessment Board via the Extenuating Circumstances panel for a demonstrated, valid reason
   iii) resulted in significantly impaired performance.

7.4 A request for an appeal of a result confirmed by an Assessment Board shall be made using the appeal form contained within this document and accessible from: www.hud.ac.uk/regs/ to the Head of Registry’s office as soon as possible and normally not later than 10 working days after the decision of the Assessment Board which is disputed has been announced. Some reasonable delay in lodging a request will be allowed where, for example, the student is involved in either sandwich placement or teaching practice as part of his/her course. The appeal form should detail the nature of and the grounds for the request.

7.5 On receipt of the request to appeal, the Head of Registry or nominated deputy will review the documentation to identify if 7.3.a or 7.3.b has occurred and/or is demonstrated within the documentation. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.
7.6 If leave to appeal is granted the Appeals Committee shall comprise three members of the Senate, one of whom will be a student member. No member shall have been directly involved in the assessment under dispute, be a member of the Assessment Board nor be drawn from the School in which the student is based. The chair of the Committee, who may not be a student, shall be chosen by the members of the Committee.

7.7 The Head of Registry or a nominated deputy shall act as secretary and convenor of the Committee, but shall not be a member.

7.8 The Appeals Committee shall normally hold its first meeting within 30 working days of the request being lodged, provided all evidence is presented with the appeal form. Delays in providing evidence may delay a hearing. The Appeals Committee’s meetings shall be held in private and its proceedings shall be confidential.

7.9 The student may, if he/she wishes, present his/her case to the Committee in person and has the right to be accompanied by a friend when presenting the case to the Committee. Representatives from the School will present their case in the presence of the student and supporter. Notification of the date of the Appeals Committee will be forwarded to the student at least five working days in advance of the meeting.

7.10 The meeting of the Appeals Committee may be postponed, if the student who has made the appeal can show good reason for not being able to attend at the originally specified time. However, the failure or inability of a student to attend the meeting of the Appeals Committee will not preclude the Committee from reaching a decision.

7.11 In its proceedings the Appeals Committee must pay proper deference to the role and the authority of external examiners and to the regulations of external bodies where they are relevant.

7.12 An Appeals Committee, acting on behalf of the Senate, may require an Assessment Board to reconsider its decision:

7.12.1 if a candidate requests such reconsideration and establishes to the satisfaction of the Appeals Committee that his or her performance in the assessment was adversely affected by illness or other factors which he or she was unable, or for valid reasons unwilling, to divulge before the Assessment Board reached its decision. The candidate’s request must be supported by medical certificates or other evidence acceptable to the Appeals Committee.

7.12.2 if the Appeals Committee is satisfied on evidence produced by a candidate or any other person that there has been a material administrative error, or that the assessments were not conducted in accordance with the current regulations for the course, or that some other material irregularity has occurred.

7.13 All decisions of the Appeals Committee shall be made by a majority vote of the members. In the event of the votes being tied the decision shall be in favour of the student and the procedure laid down in paragraph 7.12 shall be followed.
7.14 The decision of the Appeals Committee shall be final, with the following provisos:

7.14.1 The Pro Vice-Chancellor (Teaching and Learning) or nominee may hear complaints based on evidence that the University’s processes were not followed in relation to the Committee hearing or require, in exceptional circumstances, the Committee to be reconvened.

7.14.2 In cases of exclusion the decision of the Appeals Committee cannot prejudice any right of appeal under Articles 3.3 and 8.1. (See regulations governing the suspension and expulsion of students from the University on academic grounds.)

A complaint must be submitted in writing within two weeks of the date of the letter notifying the student of the outcome of the Appeals Committee and must include all evidence on which the complaint is based.

7.15 In cases where the request is granted, and in consequence the case is referred back, the Assessment Board shall be informed of the evidence accepted as justification for the review to be carried out and the case should be re-assessed in the light of the new totality of information on the case.

7.16 The Committee shall submit a written report of its conclusions within ten working days of its final meeting to the Chair of the Course Assessment Board and to the student.

7.17 The University will meet reasonable and proportionate incidental expenses (for example, travel within the UK, subsistence and essential accommodation) necessarily incurred by successful appellants as a result of attending an Appeals Committee on production of valid receipts. The University will not meet any legal expenses.

7.18 The Head of Registry will prepare an annual statistical report on complaints and appeals for the University’s Teaching and Learning Committee and Research Committee as appropriate. This report will identify any issues which need prompt attention.

Note: This should be read in conjunction with E3.8 of the Regulations for Awards, September 2014.
Appeal Procedures for Students: Student Handbook of Regulations (September 2014 edition), Section 4, Assessment Regulation 7: Appeal against a decision of an Assessment Board

You can obtain advice on the submission of an appeal from the Students’ Union Advice Centre:
Tel: 01484 473446 or email: advice-centre@hud.ac.uk

You should complete this form if you wish to request a review of a decision by an assessment board which relates to

- your progression to the next year of your course
- the marks which you were awarded for a module
- the classification of degree which you have been awarded.

Requests will only be considered in the following circumstances:

1. Your performance in the assessed work or examination was adversely affected by illness or other factors which you were unable or, for valid reasons, unwilling to divulge before the assessment board reached its decision. These extenuating circumstances and the reason for their late submission must be supported by medical certificates or other independent evidence.

2. You can produce evidence demonstrating that there has been an administrative error or other irregularity that has directly affected the mark awarded.

3. You must submit all evidence you are relying upon to support your appeal as this is your final opportunity to request a review of the decision you wish to challenge.

Given the existence of procedures for complaint during the study period, retrospective complaints regarding dissatisfaction with tutoring, supervision or feedback will not be accepted as grounds for appeal.

There are no other grounds on which you may request a review of the Board’s decision.

A request for a review must be submitted in full within 10 working days of the publication of the results you are querying.

Full name: ...................................................... Student number: .............
Course: ............................................................. Year: .............

Address for correspondence in connection with the request for the review:

........................................................................................................................................
........................................................................................................................................

Telephone number: ..................................................................................................
Please indicate the grounds on which you wish to request the review (this must fall into either paragraph 1 or 2 above or the request cannot be considered)

If you are requesting a review under paragraph 1 above, please state below what information you have previously made available to the Assessment Board in connection with the relevant extenuating circumstances.

You should note that, if the Board was aware of these circumstances when it reached its decision, no further action can be taken and your published result stands.

If you are requesting a review under paragraph 1 above and you have not previously made any information available in connection with these extenuating circumstances, please state below the reasons why you were unable to do so and indicate the nature of evidence that you have attached in support of this.

You should note that if you do not have a valid reason for not having made the circumstances known to the Board in advance of its meeting, no further action can be taken and your published result stands.
If you are requesting a review under paragraph 2 above, please state below what evidence you have attached that would support your claim that an administrative error or irregularity has occurred and how this has impacted on your results.

**Evidence:**

**IMPORTANT – PLEASE READ CAREFULLY BEFORE SUBMITTING YOUR APPEAL**

On the next pages is some advice for students on the type of evidence required when submitting an appeal. If you are claiming that an illness affected:

- your performance in an assessment
- your ability to have judged your fitness to sit an exam

you must include evidence of that illness and evidence to support your claim that it would not have been possible to have declared this illness and the evidence as an EC claim during the year.

If you are submitting your appeal more than 10 working days after the publication of results, you must include an explanation for the delay with appropriate supporting evidence. The University will only consider your case if it is satisfied that you have presented a compelling reason to disregard the 10 working day deadline.

**Declaration:**

I declare that the information given in this form is true and that I have read and understand the requirements for evidence.

Signed: ................................................................. Date: .........................

When completed with evidence attached send to:
Head of Registry, CSB Level 9, University of Huddersfield, Queensgate, Huddersfield HD1 3DH
Guidance for students when submitting evidence in relation to:

- an appeal based on a late declaration of extenuating circumstances
- an appeal submitted late as a result of extenuating circumstances

Please do make sure that the evidence upon which you are relying is full and accurate. Your appeal will be considered on the basis of this submission and you will not have a further opportunity to submit additional evidence. Any statements that you make about your health must be directly supported by medical evidence if they are to be taken into account by the University when considering your case.

The evidence should be a sick note or a letter from a health professional to confirm your illness – copies of prescriptions or letters of medical appointments will not be accepted.

If you are making a case based on:

- the illness of a family member or close friend
- circumstances (such as financial or housing issues) that have caused you to be depressed, stressed or anxious

the evidence required is not confirmation of the illness of your friend or family member, nor is it copies of final demands for the payment of bills – instead it must confirm the impact that the situation had on you which meant that:

- you were unable to perform to your best in the assessments in question
- you could not reasonably have been expected to submit an EC claim and/or the appeal on time.

If you are making a case related to an examination that you sat, you should be aware that the University operates a ‘fit to sit’ regulation. By presenting yourself for that exam, you have declared that you were fit to undertake it. A subsequent claim that this was not the case would need to be supported by an explicit confirmation from a medical practitioner that you were not fit to have determined your fitness at the time when the exam was sat.

Please bear in mind that your appeal will not be accepted if your claim:

- is not evidenced
- is evidenced by a medical note for another person
- is evidenced by a series of hospital appointments
- is evidenced by prescription notes
- could reasonably have been submitted as an EC claim in-year
- (in the case of a late appeal) could reasonably have been submitted within 10 working days of the publication of the result in question

If you are intending to consult with a health professional for the evidence and are unsure what may be suitable, the following page has some guidance notes which may help.
Guidance for Healthcare Professionals when responding to a student’s request for evidence in relation to an appeal based on a late declaration of extenuating circumstances

The University regulations allow a student to make a claim that their performance was affected by circumstances beyond their control – such as ill health. This allows some flexibility when considering a student’s results and their overall academic performance.

Students have to present these claims within a specified period. If a claim is late it will not be considered and the student is at risk of failing their course.

However, the University recognises that, in cases where mental health is affected, a student may not be well enough to identify their own fitness at the time.

Bearing in mind the usual levels of stress experienced by a typical student at the point of an exam period or assessment activity, consideration can only be given in cases where the symptoms or their impact are confirmed as being ‘over and above’ or disproportionate to the levels normally expected at an assessment point.

The evidence required in support of a late claim submitted by a student is required to show:

i.  The nature of the illness that has now been formally diagnosed (such as depression, stress etc)

   The University does not accept evidence which indicates: ‘the student informs me that …’. It is important that the evidence confirms your professional diagnosis of the illness and does not just record what the student has told you.

ii.  The period of time affected by this condition

   Confirmation of how long the student has been under your care for this condition.

iii.  [if different from ii) above] When the effects of that illness may have had an impact on the student

   In your professional opinion, is it reasonable to assume that the nature and extent of the symptoms now described by the student will have impacted on the studies during the course of the year

iv.   The impact of the condition on the student

   (is it likely that the student would have been unable:

   a. to attend classes on a regular basis
   b. to complete coursework or sit an exam
   c. to inform the University at the time of their difficulties
SECTION 4

Assessment Regulation 8: Retention of records, scripts, coursework, etc.

8.1 The Head of Registry will be responsible for ensuring that awards records are created and stored for reference purposes over an indefinite period.

8.2 All forms of summatively assessed work must be retained by the University for reference purposes for a minimum period of three months after the statutory limit for requests for review of a decision of an Assessment Board has expired. Additionally, samples of summatively assessed work may be retained by the University for quality assurance purposes for a period of twelve months after the conclusion of an academic session. In cases of accreditation by a professional, statutory or regulatory body, periods of retention may exceed this period and be extended to a full academic session after the conclusion of the student’s registration on the course. Organisations external to the University (as identified in Section 2 paragraph 3.iii) may retain submitted work in excess of the University norm.

8.3 The University has the right to retain in-course assignments following assessment as in 8.2. When assignments are returned to candidates this is done on the understanding that any assessments already made will remain on record.
SECTION 4
Assessment Regulation 9: Research misconduct for candidates registered on an approved course of supervised research

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students' Union and Students' Union Advice Centre.

9.1 Research misconduct involving plagiarism, piracy or falsifying results is a form of dishonesty which is viewed by the University as a serious offence. The University’s Regulations for Awards contain provisions, in section F1.8, under which the University’s Research Committee may penalise candidates who are found to have dishonestly obtained work for assessment. The purpose of this section is to explain what research misconduct is, to describe the procedures which will be followed when it is suspected, and to indicate the penalties which are likely to be imposed when it is detected.

9.2 Common forms of misconduct include but are not limited to piracy, plagiarism and fraud.

a) Piracy is the deliberate exploitation of ideas from others without acknowledgement.

b) Plagiarism is the copying of ideas, data or text without permission or acknowledgement.

c) Fraud involves deliberate deception including the invention of data and the omission from analysis, and non-publication of inconvenient data.

9.3 Where a supervisor or an examiner (internal or external) suspects that research misconduct has occurred, the Dean of the School (or nominated deputy) will interview the candidate concerned and will establish whether or not the accusation is contested. The supervisor(s) and/or examiner(s) may also be asked to take part in the interview. If all parties agree that misconduct has taken place, a report will be prepared by the Dean (or nominated deputy) for consideration by the University’s Research Committee. The report will be signed by all parties.

9.4 Where it has been found that research misconduct has been committed, the University’s Research Committee shall determine whether or not the candidate shall be permitted to continue, submit or be re-examined. In the latter case the candidate shall submit for re-examination within the period of one calendar year from the date of the latest part of the examination.

9.5 If the candidate concerned disputes the allegation, a full report will be made to the Head of Registry and a formal Academic Misconduct Committee will be convened in accordance with the procedure referred to below. The candidate’s performance will not be considered further until the Academic Misconduct Committee has completed its investigations.
9.6 Action following a report to the Head of Registry of suspected dishonest behaviour by a student registered on an approved course of supervised research

9.6.1 If the Head of Registry receives a report of suspected dishonest behaviour by a candidate, a meeting of an Academic Misconduct Committee shall be convened, as soon as possible, to consider the case. The Academic Misconduct Committee will consist of the following persons:
- Two members of the Senate with no direct involvement in the assessment in question,
- One member of the relevant School’s Research Committee with no direct involvement in the assessment in question,
- The Head of Registry (or nominated deputy),
- The President of the Students’ Union, or a deputy.

9.6.2 The Head of Registry will inform the candidate of the action taken and will supply to the candidate a copy of the report.

9.6.3 The Academic Misconduct Committee shall consider the report and take evidence as necessary from those involved. The candidate shall have the right to appear before the Committee in person to present his/her evidence and to be accompanied by a friend when doing so.

9.6.4 Where it is established that a candidate has cheated or has otherwise sought to gain an unfair advantage, a report to that effect shall be made to the University’s Research Committee.

9.6.5 The student’s performance will not be considered further until the Academic Misconduct Committee has completed its investigations.

9.6.6 The University’s Research Committee shall then consider the matter and shall determine whether or not the candidate should be allowed to be reassessed.

9.6.7 The candidate shall be informed of the decision of the Academic Misconduct Committee and shall have a right of appeal against that decision.

Note: This regulation will apply to the research element only of an integrated course. For those candidates following a taught element of an integrated course of work, Assessment Regulations 3 and 4 will apply.
SECTION 4

Assessment Regulation 10: Appeal against a decision of a Progression Monitoring Panel (for students on an approved course of supervised research)

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

10.1 Candidates may in the circumstances set out below request a review of the Progression Monitoring Panel’s decision.

10.1.1 An ‘appeal’ is defined as a request for a review of a decision of a Progression Monitoring Panel charged with making decisions on student progression in the context of an approved course of supervised research. Such an appeal will always be concerned with the conduct of the assessment and not with questioning the academic judgement of the Panel.

Grounds for an appeal

10.2 An appeal may only be made in relation to the decision made by the Progression Monitoring Panel. Given the existence of procedures for complaint during the study period, alleged inadequacy of supervisory or other arrangements (including feedback) during the period of study do not constitute grounds for requesting a review of the Panel’s decision. By submitting for or attending the Progression Monitoring exercise, it will be assumed that the student has declared that he or she is fit to undertake that assessment and a subsequent appeal based on the grounds of a previously undeclared extenuating circumstance will not be considered.

10.3 Leave to appeal will only be granted on one or more of the following grounds:

a) that there is evidence of procedural irregularity in the conduct of the progression monitoring exercise (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been any irregularity;

b) that there is evidence of unfair or improper assessment on the part of one or more of the Panel members.

Candidates may not otherwise challenge the academic judgement of the Progression Monitoring Panel.

Procedure for dealing with an appeal

10.4 A notice for an appeal against the decision of the Progression Monitoring Panel shall be made in writing to the Head of Registry’s office as soon as possible and normally not later than ten working days from the date of notification of the Panel’s decision. The appeal must state the grounds on which it is being made and include relevant independent evidence in support of the case being made.
10.5 On receipt of the appeal, the Head of Registry or nominated deputy will review the documentation to identify if one or more of the grounds under 10.3 has occurred and/or is demonstrated within the documentation. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.

10.6 If leave to appeal is granted, the appeal will be considered by an Appeals Committee convened by the Head of Registry. The Appeals Committee will consist of three persons having experience of supervising and examining research degrees and who have had no previous involvement in the case nor be drawn from the School in which the candidate is based. No student or research degree candidate may be a member of a Progression Monitoring Appeals Committee.

10.7 The Head of Registry or a nominated deputy shall act as secretary and convenor of the Progression Monitoring Appeals Committee, but shall not be a member.

10.8 The Progression Monitoring Appeals Committee shall normally hold its first meeting within one month of the submission by the candidate of the written case for the appeal. Its meetings shall be held in private and its proceedings shall be confidential.

10.9 The candidate may, if he/she wishes, present his/her case to the Appeals Committee in person and has the right to be accompanied by a friend when presenting the case to the Appeals Committee. Notification of the date of the Appeals Committee will be forwarded to the candidate at least five working days in advance of the meeting.

10.10 The meeting of the Appeals Committee may be postponed for no more than ten working days, if the candidate who has made the appeal can show good reason for not being able to attend at the originally specified time. However, the failure or inability of the candidate to attend the meeting of the Appeals Committee will not preclude the Appeals Committee from reaching a decision.

10.11 An Appeals Committee may require a Progression Monitoring Panel to reconsider its decision:

10.11.1 if the Appeals Committee is satisfied on evidence produced by a candidate or any other person that there has been a material administrative error, or that the progression monitoring exercise was not conducted in accordance with the current regulations, or that some other material irregularity has occurred.

10.12 All decisions of the Appeals Committee shall be made by a majority vote of the members. In the event of the votes being tied the decision shall be in favour of the student and the procedure laid down in paragraph 10.11 shall be followed.

10.13 A Progression Monitoring Panel Appeals is not constituted as a Progression Monitoring Panel and has no authority to set aside the decision of Panel and thereby to recommend progression.
10.14 The decision of the Appeals Committee shall be final, with the proviso that the Pro Vice-Chancellor (Research) may hear complaints based on evidence that the University’s processes were not followed in relation to the Appeals Committee hearing or require in exceptional circumstances the Appeals Committee to be reconvened.

10.15 The Appeals Committee shall submit a written report of its conclusions within ten working days of its final meeting to the candidate, the members of the Progression Monitoring Panel, and the Chair of the University Research Committee.

10.16 The University will meet reasonable and proportionate incidental expenses (for example, travel within the UK, subsistence and essential accommodation) necessarily incurred by successful appellants as a result of attending a Progression Monitoring Panel Appeals Committee on the production of valid receipts. The University will not meet any legal expenses.

10.17 The Head of Registry will prepare annual statistical reports on complaints and appeals for the University’s Teaching and Learning Committee and Research Committee. This report will identify any issues which need prompt attention.

Note: This should be read in conjunction with the relevant progression monitoring regulations as detailed in the Handbook of Regulations for Awards.
SECTION 4

Assessment Regulation 11: Appeal against the recommendation of examiner (students on approved courses of supervised research)

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

11.1 Candidates may in the circumstances set out below request a review of the examiners’ recommendation, whether at the first examination or on re-examination.

10.1.1 An ‘appeal’ is defined as a request for a review of the recommendation of the examiners, whether at the first examination or on the re-examination. Such an appeal will always be concerned with the conduct of the examination and not with questioning the academic judgement of the examiners.

Grounds for an appeal

11.2 An appeal may only be made in relation to the decision made on the recommendation of the examiners. Given the existence of procedures for complaint during the study period, alleged inadequacy of supervisory or other arrangements during the period of study do not constitute grounds for requesting a review of the examination decision. By submitting for or attending a formal examination, it will be assumed that the student has declared that he or she is fit to undertake that assessment and a subsequent appeal based on the grounds of a previously undeclared extenuating circumstance will not be considered.

11.3 Leave to appeal will only be granted on one or more of the following grounds:

a) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been any irregularity;

b) that there is evidence of unfair or improper assessment on the part of one or more of the examiners.

Candidates may not otherwise challenge the academic judgement of the examiners.

Procedure for dealing with an appeal

11.4 A notice for an appeal against the recommendation of the examiners shall be made in writing to the Head of Registry’s office as soon as possible and normally not later than ten working days from the date of notification of the outcome. The candidate must submit the detailed written case for the appeal within a further twenty working days from the date of giving notice.
11.5 On receipt of either the notice of intention to appeal or the detailed written case, the Head of Registry or nominated deputy will review the documentation to identify if one or more of the grounds under 11.5 has occurred and/or is demonstrated within the documentation. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.

11.6 If leave to appeal is granted, the appeal will be considered by a Committee convened by the Head of Registry. The Committee will consist of three persons having experience of supervising and examining research degrees and who have had no previous involvement in the case nor be drawn from the School in which the candidate is based. No student or research degree candidate may be a member of a Research Degree Appeal Committee.

11.7 The Head of Registry or a nominated deputy shall act as secretary and convenor of the Research Degree Appeal Committee, but shall not be a member.

11.8 The Research Degree Appeal Committee shall normally hold its first meeting within one month of the submission by the candidate of the written case for the appeal. Its meetings shall be held in private and its proceedings shall be confidential.

11.9 The candidate may, if he/she wishes, present his/her case to the Committee in person and has the right to be accompanied by a friend when presenting the case to the Committee. Notification of the date of the Committee will be forwarded to the candidate at least ten working days in advance of the meeting.

11.10 The meeting of the Committee may be postponed for no more than ten working days, if the candidate who has made the appeal can show good reason for not being able to attend at the originally specified time. However, the failure or inability of the candidate to attend the meeting of the Committee will not preclude the Committee from reaching a decision.

11.11 If a Committee agrees that a candidate has valid grounds for appeal, it must either:

   a) recommend that the examiners be invited to reconsider their decision; or

   b) recommend that new examiners be appointed.

11.12 All decisions of the Committee shall be made by a majority vote of the members. In the event of the votes being tied the decision shall be in favour of the student and the procedure laid down in paragraph 11.11 shall be followed.

11.13 A Research Degree Appeal Committee is not constituted as an examination board and has no authority to set aside the decision of examiners and thereby to recommend the award of the degree.

11.14 The decision of the Committee shall be final, with the proviso that the Pro Vice-Chancellor (Research) may hear complaints based on evidence that the University’s processes were not followed in relation to the Committee hearing or require in exceptional circumstances the Committee to be reconvened.
11.15 The Committee shall submit a written report of its conclusions within ten working days of its final meeting to the candidate, the examiners, the candidate’s Director of Studies and the Chair of the University Research Committee.

11.16 The University will meet reasonable and proportionate incidental expenses (for example, travel within the UK, subsistence and essential accommodation) necessarily incurred by successful appellants as a result of attending a Research Degree Appeal Committee on the production of valid receipts. The University will not meet any legal expenses.

11.17 The Head of Registry will prepare an annual statistical report on complaints and appeals for the University’s Teaching and Learning Committee and Research Committee. This report will identify any issues which need prompt attention.
SECTION 5A

Guidelines for undergraduate and postgraduate taught students on the procedures for handling claims that extenuating circumstances should be taken into account when their performance is being assessed

Students are advised to seek the advice, guidance and support from sabbatical officers in the Students Union and Students’ Union Advice Centre.

1. The University’s regulations permit its assessment boards to take remedial action if they are satisfied that a student’s absence from an examination, or failure to submit work for assessment by the agreed submission date, or failure to pass one or more elements of the assessment resulting in the failure of a module can be attributed either to illness or to other circumstances of a personal nature (extenuating circumstances: ECs). Remedial action for ECs in cases where a module has not been passed is to permit another attempt at the assessment(s) concerned.

2. The purpose of these guidelines is to explain how EC claims should be submitted and how they will then be handled.

3. There are separate procedures for requesting extensions of course work submission dates if a student suffers from a short-term illness or experience serious personal difficulties; such requests should be made in writing, and as soon as possible and no later than two working days after the submission date.

4. The claims that are submitted will first be considered to determine whether they have sufficient strength to warrant action by the Course Assessment Board.

5. The Assessment Boards, which consider a student’s performance on the course and make decisions about progressions and about final awards, normally meet in June/July and for some courses in September/October.

6. If a student fails to attend an examination or to submit assessed work by the agreed submission date (after allowing for any extension that might have been granted) the Course Assessment Boards will record a mark of zero, which may lead to failure in the module, unless it has been informed that there are approved grounds for treating the student differently. If the student has achieved a pass mark for the module/s the marks achieved will be confirmed and credited to the student’s record, and the Course Assessment Board will take the approved claim for extenuating circumstances into account when deciding the classification within the overall discretion parameters set by the University’s Teaching and Learning Committee.

7. If a student wishes to claim that either:
   i) failure to attend an examination, or
   ii) failure to submit work by the agreed submission date, or
   iii) poor performance in any element(s) of the coursework assessment
was due to illness or some other extenuating circumstance, it is the student’s responsibility to make that claim in full and in writing and to submit it via the School Office responsible for the course.

An EC claim for an assessment under examination conditions that has been sat will not be considered in light of the University’s ‘fit to sit’ regulation whereby a candidate undertaking such an assessment is declaring that they are fit to do so.

A written claim for failure to attend an examination must be received no later than five working days after the examination in question (other than in exceptional circumstances).

A written claim for failure to submit work by the agreed submission date must be received as soon as possible and no later than five working days after the submission date (other than in exceptional circumstances). Requests for extensions must be made as soon as possible and no later than two working days after the submission date.

A written claim of extenuating circumstances relating to any element of assessment must be received as soon as possible and no later than five working days after the submission date for the assessment concerned (other than in exceptional circumstances).

Claims must be supported by independent evidence, for example a note from a doctor or a counsellor, and must directly cover the period of assessment. All evidence must be in English or translated into English and signed by a public authority.

8. In deciding whether or not to make a claim, students should be aware that, should the claim be approved, the Course Assessment Board will not attempt to judge how the student might have performed in different circumstances with a view to awarding extra marks. If a claim is approved and the student has failed to pass the module, the remedy will be to allow a further attempt at the assessment(s) concerned. If the student has achieved a pass mark for the module(s) in question but has performed poorly, the marks achieved will be confirmed and credited to the student’s record, and the Course Assessment Board will take a recognised claim for extenuating circumstances into account when deciding on classification within the overall discretion parameters set by the University’s Teaching and Learning Committee.

9. The decision whether or not the EC claim has been approved will be notified to the student in writing within ten working days of receipt of the claim in Registry via the School Office.

10. Students who wish to request a review of the outcome of an EC claim decision must do so in writing to the Head of Registry as soon as possible and normally not later than two calendar weeks after the decision which is disputed has been announced. Some reasonable delay in lodging a request will be allowed where, for example, the student is involved in either sandwich placement or teaching practice as part of his/her course. The request for a review should give a full explanation of the nature of and the grounds for the request.
11. The submission of a request for a review of the decision will not delay the submission of the decision to the Assessment Board. In cases where a request for a review of the decision is successful, the Assessment Board will be notified of the revised decision and will review its own consideration of the candidate accordingly.

12. A request for a review will only proceed on one or both of the following grounds:

   a) that there was a material irregularity in the consideration of the EC claim which substantially affected the outcome;

   b) that the student was subject to extenuating circumstances at the time of the assessment which for a valid reason supported by appropriate evidence the student had been unable to describe or evidence in full at the time when the claim was made.

13. On receipt of a request for a review, the Head of Registry or nominated deputy will review the documentation to identify if 12a) or 12b) has occurred and is demonstrated within the documentation submitted by the student.

14. Where it is considered that the grounds for a review have been established, the Head of Registry or nominee will inform the student and School in writing that the decision has been reconsidered in light of the new evidence.

15. Where it is considered that the grounds for a review have not been established, the Head of Registry or nominated deputy will write to the student with a full explanation.

16. The Head of Registry will prepare an annual statistical report on requests for reviews for the University’s Teaching and Learning Committee. This report will identify any issues which need prompt attention.
SECTION 5B

Guidelines for students on approved courses of supervised research on the procedures for handling claims that extenuating circumstances should be taken into account when their performance is being assessed

Students are advised to seek the advice, guidance and support from sabbatical officers in the Students Union and Students' Union Advice Centre.

1. The University's regulations permit the body overseeing the assessment to take remedial action if it has been confirmed that a student's absence from an assessment, or failure to submit work for assessment by the agreed submission date can be attributed either to illness or to other circumstances of a personal nature (extenuating circumstances: ECs). Remedial action for ECs in cases where an assessment has been affected is to permit a fresh attempt at the assessment(s) concerned. By attending a formal assessment activity, such as a Progression Monitoring meeting or an oral examination, it will be assumed that the student has declared that he or she is fit to undertake that assessment and a claim for ECs will not normally be approved.

2. The purpose of these guidelines is to explain how EC claims should be submitted and how they will then be handled.

3. The claims that are submitted will first be considered by a panel of academic staff, the Extenuating Circumstances panel. That panel will determine whether the claims have sufficient strength to warrant action by the body assessing the student and will meet at regular points during the course of the academic session.

4. If a student fails to attend an assessment meeting or to submit the required documentation by the agreed submission date (after allowing for any extension that might have been granted) the body overseeing the assessment may conclude that the student has failed to satisfy them, unless it has been informed by the EC Panel that there are approved grounds for treating the student differently.

5. If a student wishes to claim that either:
   i) failure to attend a Progression Monitoring Meeting, or
   ii) failure to submit work by the agreed submission date, or
   iii) failure to attend an oral examination

was due to illness or some other extenuating circumstance, it is the student’s responsibility to make that claim in full and in writing and to submit it via the School Office.

A written claim of extenuating circumstances relating to any element of assessment must be received as soon as possible but no later than five working days after the assessment date or submission date for the assessment concerned (other than in exceptional circumstances agreed by the EC Panel).
Claims must be supported by independent evidence, for example a note from a doctor or a counsellor, and must directly cover the period of assessment. All evidence must be in English or translated into English and signed by a public authority.

6. In deciding whether or not to make a claim, students should be aware that, should the claim be approved, no attempt will be made to judge how the student might have performed in different circumstances. If a claim is approved, the remedy will be to allow a further attempt at the assessment concerned.

7. The decision whether or not the EC claim has been approved will be notified to the student in writing within ten working days following the meeting of the EC Panel.

8. Students who wish to request a review of the decision of the EC Panel must do so in writing to the Head of Registry as soon as possible and normally not later than two calendar weeks after the decision of the EC Panel which is disputed has been announced. The request for a review should give a full explanation of the nature of and the grounds for the request.

9. A request for a review will only proceed on one or both of the following grounds:

   a) that there was a material irregularity in the conduct of the EC Panel which substantially affected the Panel’s decision;

   b) that the student was subject to extenuating circumstances at the time of the assessment which for a valid reason supported by appropriate evidence the student had been unable to describe or evidence in full at the time when the EC Panel met.

10. On receipt of a request for a review, the Head of Registry or nominated deputy will review the documentation to identify if 9a) or 9b) has occurred and is demonstrated within the documentation submitted by the student.

11. Where it is considered that the grounds for a review have been established, the Head of Registry or nominee will inform the student and School in writing that the EC Panel has been required to reconsider its decision in light of the new evidence.

12. Where it is considered that the grounds for a review have not been established, the Head of Registry or nominated deputy will write to the student with a full explanation.

13. The Head of Registry will prepare an annual statistical report on requests for reviews for the University’s Research Committee. This report will identify any issues which need prompt attention.
SECTION 6

THE SUSPENSION AND EXPULSION OF STUDENTS FROM THE UNIVERSITY ON ACADEMIC GROUNDS

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

1. INTRODUCTION

1.1 Action to suspend or expel a student for an unsatisfactory standard of work or other academic reason can be taken either during an academic year or at the end of a year following the publication of examination results. The decision by an Assessment Board that a student has failed a year of a course does not constitute expulsion. Expulsion only occurs where a student is subsequently denied the opportunity to retrieve that failure.

2. DECISION TO SUSPEND OR EXPEL

2.1 The power to suspend or expel a student on academic grounds rests with the Dean of School, though the decision may be delegated to the chair of a course or course committee, or a course tutor. A recommendation by an assessment board that a student should not be allowed to repeat a year of a course does not constitute a decision and cannot, therefore, be the subject of review under Assessment Regulation 7 of the University’s assessment regulations. It is for the Dean to decide whether or not to accept the recommendation.

2.2 Where the decision is taken by a person other than the Dean the student concerned has the right to ask the Dean to change or confirm the decision. The Dean must respond to such a request.

3. APPEAL AGAINST A DECISION TO SUSPEND OR EXPEL

3.1 A student has the right to appeal against a decision to suspend or expel taken by a Dean. Notice of appeal must be sent to the Head of Registry and, except for good reason, must be lodged within ten working days of the Dean’s decision. It must state the general grounds on which the decision is being contested.

3.2 Requests will only be considered in the following circumstances:

3.2.1 that the student’s performance on the course (including in assessed work or examinations) was adversely affected by illness or other factors which the student was unable or, for valid reasons, unwilling to divulge before the Dean reached the decision to suspend or expel. The original circumstances and the reason for their late submission must be supported by medical certificates or other independent evidence;

3.2.2 the student can produce evidence demonstrating that there has been an administrative error or other irregularity that has directly affected the Dean’s decision.
3.3 A request for an appeal of suspension or exclusion from the University shall be made to the Head of Registry’s office as soon as possible and normally not later than two calendar weeks from the date of the Dean’s letter. Some reasonable delay in lodging a request will be allowed where, for example, the student is involved in either sandwich placement or teaching practice as part of his/her course. The appeal submission should detail the nature of and the grounds for the request and provide all relevant evidence to support the appeal.

3.4 On receipt of an application for leave to appeal, the Head of Registry or nominated deputy will review the documentation to identify if 3.2.1 or 3.2.2 has occurred and/or is demonstrated within the documentation. If leave to appeal is not granted, the Head of Registry or nominated deputy will write to the student with a full explanation.

3.5 If leave to appeal is granted the Appeals Committee shall comprise three members of the Senate, one of whom will be a student member. No member shall have been directly involved in the assessment under dispute, be a member of the Assessment Board nor be drawn from the School in which the student is based. The chair of the Committee, who may not be a student, shall be chosen by the members of the Committee.

3.6 The Head of Registry or a nominated deputy shall act as secretary and convenor of the Committee, but shall not be a member.

3.7 The Appeals Committee shall normally hold its first meeting within 20 working days of the request being lodged, provided all evidence is presented with the appeal form. Delays in providing evidence may delay a hearing. The Appeals Committee’s meetings shall be held in private and its proceedings shall be confidential.

3.8 The student may, if he/she wishes, present his/her case to the Committee in person and has the right to be accompanied by a friend when presenting the case to the Committee. Representatives from the School will present their case in the presence of the student and supporter. Notification of the date of the Appeals Committee will be forwarded to the student at least five working days in advance of the meeting. At this point no further documentation may be submitted by the student.

3.9 The meeting of the Appeals Committee may be postponed, if the student who has made the appeal can show good reason for not being able to attend at the originally specified time. However, the failure or inability of a student to attend the meeting of the Appeals Committee will not preclude the Committee from reaching a decision.

3.10 The Appeals Committee shall have the powers to disallow a request and in such cases its decision shall be final, with the following provisos:

3.10.1 The relevant Pro Vice-Chancellor may hear complaints or require, in exceptional circumstances, the Committee to be reconvened.

3.10.2 In cases of exclusion the decision of the Appeals Committee cannot prejudice any right of appeal under Article 87.
3.11 In cases where an Appeals Committee believes that there is relevant new information which was not available to the Dean when the decision was taken it may request the Dean to review the decision in the light of such information. In these cases it shall not give directions as to the outcome of the review and the student will have the right to appeal against the new decision.

3.12 In its proceedings the Appeals Committee must pay proper deference to the role and the authority of external examiners and to the regulations of external bodies where they are material.

3.13 All decisions of the Appeals Committee shall be made by a majority vote of the members. In the event of the votes being tied the decision shall be in favour of the student and the procedure laid down in paragraph 3.11 shall be followed.

3.14 The Committee shall submit a written report of its conclusions within ten working days of its final meeting to the Dean of the School and to the student.

3.15 The University will meet reasonable and proportionate incidental expenses (for example, travel within the UK, subsistence and essential accommodation) necessarily incurred by successful appellants as a result of attending an Appeals Committee. The University will not meet any legal expenses.

3.16 The Head of Registry will prepare an annual statistical report on complaints and appeals for the University’s Teaching and Learning Committee and Research Committee as appropriate. This report will identify any issues which need prompt attention.
STUDENT'S HANDBOOK OF REGULATIONS

SECTION 7

STUDENT DISCIPLINARY PROCEDURES

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and Students’ Union Advice Centre.

Definitions

In this Section 7, the following words and phrases will have the following meanings:

7A Disciplinary Panel means the panel convened to hear complaints referred under the procedure set out at para 3.6, the membership of which shall consist of:

- The Pro Vice-Chancellor (Teaching & Learning) or nominee (who shall be the Chair);
- A sabbatical officer of the Students’ Union;
- The Head of Registry

7B Restriction means selective restriction on attendance at placement, lectures or access to other areas of the University or prohibition on exercising the functions or duties of any office or committee membership in the University, the exact details to be specified in writing. An order of Restriction may include a requirement that the student should have no contact of any kind with a named person or persons.

7C School AMD Panel means the panel convened to hear complaints referred under the School Attendance Monitoring Disciplinary Procedure set out at paragraph 11, the membership of which shall consist of:

- One member of staff from the School (who shall be the Chair); and
- A sabbatical officer from the Students’ Union;

A note taker will also be present at a meeting of the School AMC Panel; they are not a member of the Panel and should not ask any questions of the student or Panel unless it is for the purpose of clarifying the notes.

7D Suspension means a total prohibition on attendance at or access to the University and on any participation in University activities; but it may be subject to qualification, such as permission to attend for the purpose of an examination. An order of Suspension may include a requirement that the student should have no contact of any kind with a named person or person. Suspension shall be used only where Restriction would be inadequate.

1. INTRODUCTION

1.1 These procedures have been approved by the University Council in accordance with the provisions of the Articles of Government.

1.2 These procedures will be invoked for dealing with formal complaints about those areas of student behaviour that fall outside the scope of other procedures which cover the use of the University’s computing and library facilities, fitness to practise
and academic misconduct. Details of these other procedures can be found at: http://www.hud.ac.uk/regs/.

1.3 The University shall have the right to investigate any allegation of misconduct against a student, and may take disciplinary action where it decides, on the balance of probabilities, that an act of misconduct has been committed. In the event of an allegation being proved after a student has been awarded credit or graduated, any credit, degree or other award of the University that is held by the student may be revoked by the Disciplinary Panel.

1.4 The existence of these procedures is not intended to discourage the practice of dealing with less serious complaints informally by the Dean at School level.

1.5 The University expects its students to behave responsibly. Actions which constitute improper interference, in the broadest sense, with the proper functioning or activities of the University or with those who work or study in it and actions which otherwise damage the University may be deemed misconduct under these procedures.

1.6 The University works closely with external bodies to explain the benefits the University brings to the area and to promote the good name of the University. Students living in the community are subject to the various statutory and legal requirements that protect society as a whole. The University will not tolerate anti-social behaviour. If a student is found to have acted in an anti-social manner, whether or not on University property, the University reserves the right to take action if it reasonably believes that the student may have damaged the reputation of the University.

1.7 Social media is widely used for both socialising and work purposes. Care must be taken not to cause offence or distress when making comments about staff, students or other individuals external to the University. The University has a Social Media Policy and will take disciplinary action as appropriate. Students on courses leading to professional qualifications should be aware of and abide by the requirements of their respective Codes of Conduct, both in respect of use of social media and generally.

1.8 The following are examples of behaviour that may constitute misconduct. This is not an exhaustive list:

1. disruption of, or improper interference with, the academic, administrative, sporting, social or other activities of the University, whether on University premises or elsewhere;

2. improper interference with, the functions, duties or activities of any student or member of staff of the University or of any authorised visitor to the University;

3. violent, indecent, disorderly, threatening or offensive behaviour whilst on or external to University premises or engaged in any University activity;
4. fraud, deceit, deception or dishonesty in relation to the University or its staff
   or in connection with holding any office in the University, in the Students’
   Union or in relation to being a student of the University;

5. breach of professional conduct;

6. action likely to cause injury, impair safety or raise false alarm on University
   premises;

7. sexual, homophobic, racial or other unlawful harassment of any student or
   member of staff of the University or of any authorised visitor to the University;

8. breach of the Regulations which students accept as a condition of enrolment;

9. damage to, or defacement of, University property or the property of other
   members of the University community caused intentionally or recklessly, and
   theft or misappropriation of such property;

10. placing posters, signs or notices on any surface other than where authorised
    to do so in accordance with University policy;

11. dropping litter of any description on University premises whether inside or
    outside buildings or smoking in unauthorised areas;

12. misuse or unauthorised use of University premises or items of property;

13. breach of the University’s Social Media Policy;

14. the submission of a complaint found to be frivolous, vexatious or motivated
    by malice;

15. behaviour which renders the student unfit to practise any particular
    profession to which that student’s course of study leads directly (see Fitness
    to Practise) policy and procedure;

16. conduct which may be regarded as a breach of the criminal law where that
    conduct:

    a) took place on University premises, or
    b) affected or concerned other members of the University, or
    c) damages the good name of the University, or
    d) itself constitutes misconduct within the terms of these procedures, or
    e) is an offence of dishonesty, where the student holds an office of
       responsibility in the University;

17. behaviour which, in the reasonable opinion of the University, brings the
    University into disrepute;
18. failure to disclose name and registration details to an officer or employee of the University in circumstances when it is reasonable to require that such information be given;

19. failure to comply with a previously imposed penalty or instruction under these procedures or any other University procedure.

1.9 Where there is a breach of the University’s Attendance Monitoring Policy the School will invoke the Attendance Monitoring Disciplinary Procedure which can be found at the end of this section and http://www.hud.ac.uk/regs/.

1.10 The University reserves the right to continue under these procedures notwithstanding the instigation of criminal proceedings. In cases where it is considered that the alleged misconduct would also constitute a serious offence under the criminal law (i.e. one that is likely to attract an immediate custodial sentence if proved in a court of law), the Pro Vice-Chancellor (Teaching and Learning) may in his absolute discretion determine that no action (other than Suspension or Restriction) may be taken under these procedures pending any criminal investigation or prosecution.

1.11 Acquittal or discontinuance of criminal proceedings shall not preclude the University from continuing disciplinary action in respect of the alleged misconduct.

1.12 Where a finding of inappropriate conduct is made and the student has already been sentenced by a criminal court in respect of the same facts, the court’s penalty may be taken into account in determining the penalty under these procedures.

1.13 The Pro Vice-Chancellor (Teaching and Learning) may delegate his or her powers under these procedures to a nominee either generally or in respect of a particular case.

2. SUBMISSION OF COMPLAINTS OF MISCONDUCT

2.1 Complaints of misconduct either by one student against another or by a member of staff against a student, should wherever possible be dealt with informally by the School and in consultation with the persons concerned.

2.2 A formal complaint about behaviour of the kind described in 1.8 above may be made by any member of the University or person(s) responsible for a professional practice placement. The complaint must be made in writing and must be lodged with the Dean of the School which administers the course on which the student who is the subject of the complaint is enrolled.

3. PROCEDURES FOR DEALING WITH COMPLAINTS OF MISCONDUCT

3.1 The Dean in receipt of a complaint may decide that informal procedures ought to be followed in the first instance and may rule that the complaint be dealt with accordingly.

3.2 In order to establish and record facts:
a) which may be relevant to a decision as to whether or not the formal procedure should be followed; or

b) which may assist the application of an appropriate sanction under paragraphs 3.3 or 3.4;

the Dean will arrange for an investigation to be carried out by a member of staff who has no previous involvement with the case. Where the complaint involves breach of professional conduct, the Dean will refer the case for consideration under the Fitness to Practise procedure.

The investigator will meet with the complainant, the student and any other persons pertinent to the investigation. Where the complaint relates to a placement or work place matter, the investigator will not meet with service users or patients. A report will be prepared and submitted to the Dean and Head of Department normally within ten working days. If there is to be any delay in completing the investigation and/or submitting the report the student must be advised in writing and (not via email) by the investigator.

3.3 On receipt of the report and having sought advice from the Head of Registry, if the Dean considers that the complaint should be upheld, but that due to its relatively minor nature, referral to the Disciplinary Panel pursuant to paragraph 3.4 below is not required, the Dean may exercise discretion to apply one or more of the following sanctions:

   a) a formal written warning;
   b) a restriction notice
   c) a suspension of no more than two weeks or
   d) a fine of up to £200.

The Dean will advise the student in writing of his/her decision within 10 working days from receipt of the investigator’s report. The student may apply for leave to appeal the sanction imposed by the Dean. Such appeals must be made in writing to the Head of Registry not later than 10 working days from the date of the Dean’s letter to the student. Leave to appeal will only be granted if:

- the student can demonstrate a material irregularity has occurred; or
- the student presents Extenuating Circumstances which for very good reason could not be presented during the process outlined at 3.2 above.

Disagreement with the severity of the sanction imposed by the Dean will not of itself constitute grounds for appeal. If leave to appeal is granted the student will be invited to a formal Disciplinary Panel and will follow the procedure as laid out in paras (8 to 8.7)

3.4 Where the Dean, having received the report referred to in para 3.2 above and having received advice from Registry, considers that, matter should be referred to the Disciplinary Panel, the complaint must be referred to the Pro Vice-Chancellor (Teaching and Learning) and to the Head of Registry and the procedure set out at
para 3.6 will be followed. In reaching his decision the Dean should have regard to, amongst other considerations, the complexity of the matter; and whether, should the complaint be upheld, an appropriate sanction might exceed the scope of the sanctions authorised to be applied by the Dean under para 3.2. Such additional sanctions could include exclusion.

3.5 In determining whether alleged misconduct should be dealt with under the provisions of 3.3 or 3.4 above the Dean may take advice from the University Solicitor.

3.6 Following referral of the complaint to the Pro Vice-Chancellor (Teaching and Learning) and the Head of Registry under para 3.4, a Disciplinary Panel will be convened and will normally meet within twenty working days of receipt of the complaint in Registry. The student will be supplied with a copy of the complaint and will be entitled to appear before the Disciplinary Panel accompanied by one other person as a supporter, normally a member of the University community or the Students’ Union Advisory Service. A supporter will not normally act as an advocate. Notification of the date of the Disciplinary Panel will be forwarded to the student at least ten working days in advance of the meeting. The student must ensure that any additional evidence or mitigation is delivered to the Head of Registry at least five working days before the Disciplinary Panel meets. This date will be indicated on all letters to students.

4. RESTRICTION AND SUSPENSION PENDING A HEARING

4.1 A student who is the subject of a complaint of misconduct or against whom a criminal charge is pending or who is the subject of police investigation may be suspended or restricted by the Pro Vice-Chancellor (Teaching and Learning) or deputy acting under the delegated authority of the Vice-Chancellor and pending the Disciplinary Panel hearing or the trial.

4.2 Written requests for such action must be made by the Dean in writing to the Head of Registry.

4.3 When the Pro Vice-Chancellor has delegated the power under this section, a full report shall be made to the Vice-Chancellor of any Restriction or Suspension under this section.

4.4 Restriction or Suspension pending a hearing shall not be used as a penalty. The power to restrict or suspend under this provision is to protect the members of the University community in general or a particular member or members and the power shall be used only where the Pro Vice-Chancellor or deputy is of the opinion that it is urgent and necessary to take such action. Written reasons for the decision shall be recorded and made available to the student.

4.5 Where a student is restricted or suspended he or she will be advised of his/her right to make representations in writing to the Vice-Chancellor.
4.6 In cases of great urgency, the Pro Vice-Chancellor or deputy shall be empowered to suspend a student with immediate effect, provided that the opportunities mentioned in 4.5 above are given and the matter reviewed within ten working days.

4.7 A decision to restrict or suspend from academic activities associated with the student’s course of study shall be subject to review, at the request of the student, where it has continued for ten working days. Such a review will not involve a hearing or submissions made in person, but the student shall be entitled to submit written representations. The review will be conducted by the Deputy Vice-Chancellor where the decision to suspend or restrict has been made by someone else, and by the Vice-Chancellor where the decision has been made by the Deputy Vice-Chancellor.

4.8 The Pro Vice-Chancellor or other person who took the original decision shall review the Suspension or Restriction every ten working days in the light of any developments and of any representations made by the student or anyone else on his or her behalf.

5 WITNESS STATEMENTS

5.1 If the student wishes to supply witness statements, it is the responsibility of the student to supply the witness statements and to ensure that any witnesses are informed of the date of the Disciplinary Panel hearing and that they are available to attend. The student should also inform Registry of any witnesses he/she wishes to call. Where appropriate, students should be advised that the names of service users or any other means of identifying service users should not be included in their statement or those of their witnesses. Any details identified in documents received from the student will be removed prior to the Disciplinary Panel hearing. Vulnerable persons will not normally be asked to produce statements or attend the Disciplinary Panel hearing. For example, students who fear intimidation, harassment or other reasonable fear of reprisal may request via Registry that their names and addresses be removed from any statements provided to the Disciplinary Panel hearing and to the student.

5.2 The evidence provided to tribunals may be oral or in writing. It is expected that anyone wishing their evidence to be heard would attend a tribunal. In the event that a person having provided evidence does not wish to attend a tribunal, any statement submitted must be signed and dated. In these circumstances tribunals must give due consideration to the fact that the witness has not been present to respond to questioning.

6 ATTENDANCE AT DISCIPLINARY PANEL HEARINGS

6.1 If a student has indicated that they are attending but is prevented from doing so for good reason, which can be evidenced, and the student advises the Head of Registry before the meeting, the hearing will be deferred to a later date.
6.2 If the student has indicated that they are attending but fails to attend and does not inform the Head of Registry prior to the hearing, the hearing will go ahead and a decision will be reached based on the information available to the Disciplinary Panel.

6.3 If a student fails to confirm attendance and all attempts to contact the student have failed, the hearing will go ahead and a decision will be reached based on the information available to the Disciplinary Panel. Attempts to contact the student will be recorded on ASIS/WISDOM, copy letters will be held on file and receipts for recorded delivery letters will be requested.

6.4 A student who does not attend the hearing without good reason waives the right of appeal.

6.5 Students who have been asked to attend a Disciplinary Panel hearing and who withdraw from the course before the date of the hearing, will not be allowed to return to any University course until the hearing has taken place and the outcome is known. Any references provided about the student will record that a disciplinary hearing is outstanding.

7 STUDENTS WITH HEALTH RELATED ISSUES

7.1 If at the initiation of an interview with a student under para 3.2 or at a Disciplinary Panel hearing it appears that the student may be experiencing health difficulties that materially affect their behaviour and/or judgement, then the Student Services Wellbeing Team should be consulted by the student. It is the student’s responsibility to ensure that s/he is properly supported throughout the process and that the misconduct procedure is informed by a clear understanding of the significance of the student's health for the allegation being considered. The School and Registry are not normally obliged to contact Student Services on behalf of the student unless they believe that the student may be at risk of harm to themselves or others.

7.2 If a student is to be Restricted or Suspended pending a School investigation or Disciplinary Panel hearing and the University has actual knowledge that the student has health related issues, the student must be directed to the Student Services Wellbeing Team. The School and Registry are not normally obliged to contact Student Services on behalf of the student unless they believe that the student may be at risk of harm to themselves or others.

7.3 In all cases reasonable adjustments should be made to take into account the student’s health or known disability. This may include:
- additional support at any meetings, tribunals for example signer, note taker;
- tribunals may need to take place with the student being given a break of at least 15 minutes in between school, student and witness representations;
- adjournment of tribunals to another date.

8 OUTCOMES OF DISCIPLINARY PANEL HEARINGS
8.1 If the allegation/s made against the student is upheld or upheld in part by the Disciplinary Panel, the Disciplinary Panel may apply one or more of the following sanctions:

a) final written warning;
b) Suspension, for a period to be determined by the Disciplinary Panel;
c) fine of up to £500;
d) payment of an amount required to reimburse the University for losses suffered, for example, for cost of replacement equipment, repair or redecoration costs;
e) revocation of credit;
f) revocation of award;
g) permanent exclusion from the University.

Note: any Overseas Student suspended indefinitely or excluded from the University will be reported to the Home Office once the request for review period has passed.

9 CONDUCT OF DISCIPLINARY PANEL HEARINGS

9.1 All parties to the Disciplinary Panel hearing procedure shall ensure that confidentiality is maintained throughout and after the proceedings. The student must receive all the documentation that will be considered at the hearing at least ten working days prior to the date of the hearing to give the student time to consult with a supporter.

9.2 The meeting must include the Panel as provided in para 7A. Other attendees will include:

a) the student;
b) if required by the student, the student’s supporter who will not normally act as an advocate;
c) the investigator and/or the complainant, normally the Head of Department or Dean;
d) witnesses for the School or the student; and
e) the note taker.

9.3 The Chair shall ensure that all parties are given at least 10 working days’ notice of the date of the Disciplinary Panel hearing. The agenda and notice of the Disciplinary Panel hearing which must be sent to all parties shall include:

- details of the membership of the Disciplinary Panel, who the other attendees will be and in what capacity they are attending;
- details of the alleged misconduct;
- a summary of the events thus far from the School;
- minutes of relevant meetings undertaken as part of the School’s investigation and copies of relevant evidence;
- any statements submitted by either party including witness statements;
- the procedures that will apply at the Disciplinary Panel hearing and the student’s rights under this procedure.

9.4 The student has the right:
• to attend the Disciplinary Panel hearing;
• to be accompanied by a supporter who will not normally act as an advocate;
• to be present whilst evidence is given;
• to challenge any evidence presented to the Disciplinary Panel;
• to submit additional evidence at least 5 working days in advance of the hearing; tabled evidence will not be accepted;
• to question those giving evidence;
• to supply written witness statements to the Panel at least 5 working days in advance of the hearing; tabled evidence will not be accepted;
• to make an oral statement to the Disciplinary Panel.

9.5 Subject to paragraph 7.3 or unless there are good reasons to the contrary (which reasons will be explained to the School and to the student), the tribunal will proceed as follows:

a) Following introductions the Chair will invite the School to present its case.

b) The student and Disciplinary Panel have the opportunity to challenge both the evidence and the allegations brought by the School.

c) Any witnesses for the School are asked to join the hearing and present evidence.

d) The student and Disciplinary Panel have the opportunity to question the School witness.

e) The School witness(es) will leave the hearing.

f) The student is asked to present his/her defence and or mitigation to the Disciplinary Panel.

g) The School and Disciplinary Panel have the opportunity to challenge the student’s statement or mitigation.

h) Any witnesses for the student are asked to join the hearing and present evidence.

i) The School and Disciplinary Panel have the opportunity to question the student’s witnesses.

j) The student’s witness(es) will leave the hearing.

k) The School is asked to summarise the complaint.

l) The student is asked to summarise his/her response.

m) The School representative/s and student and supporter are asked to leave the hearing.
9.6 The Chair acting under the delegated authority of the Vice-Chancellor and, in consultation with Disciplinary Panel members, will have a private meeting to consider the evidence presented and will inform the parties of its decision in writing within ten working days. The decision of the hearing will be sent to the student by first class post to their home address normally, within 10 working days from the date of the Disciplinary Panel hearing. In exceptional circumstances, the Disciplinary Panel may adjourn the hearing for no more than 15 working days to obtain additional evidence or clarification.

9.7 In cases where the Disciplinary Panel concludes that the student should be excluded from the University, no further consideration of that student by an Assessment Board may take place. The student may normally, retain any credit or award which has been formally conferred by the Assessment Board up to and including the date of the tribunal but no further conferment of credit or award may be considered.

10 REQUESTS FOR REVIEW OF DECISIONS REACHED BY DISCIPLINARY PANEL

10.1 A student who has been the subject of a complaint may request a review of a decision reached by the Disciplinary Panel. Such a request must rest on the grounds either that there is evidence to show that the Disciplinary Panel was not conducted fairly or that there is new material evidence which ought to be taken into account that, for good reason, could not have been divulged before the hearing. A request for a review of a decision reached by the Disciplinary Panel must be made in writing to the Vice-Chancellor within 20 working days from the date of the Disciplinary Panel hearing.

10.2 Disagreement with the severity of a sanction imposed by a Disciplinary Panel will not of itself constitute grounds for a review.

10.3 Following receipt of a request for a review of a decision of the Disciplinary Panel, the Vice-Chancellor (or his delegate) will conduct such enquiries as seem appropriate and will determine within twenty working days whether the request will be upheld. Where a request is upheld, the Disciplinary Panel will be advised of the grounds on which this has been done and will be required to review its decision.

11 SCHOOL ATTENDANCE MONITORING DISCIPLINARY PROCEDURE

11.1 SPOT CHECK DISCIPLINARIES

11.1.1 All Schools will record spot check discrepancies in the Attendance Monitoring Database, via the associated ‘flag’. All flagged students will be issued with a standard caution email advising that if it happens again the student will be required to attend a School Attendance Monitoring Disciplinary Panel (AMD) hearing. A record of the email must be kept in the School. If a student proves to the School’s satisfaction that it was an administrative error on the part of the School and that the student had been in attendance, the flag will be removed.
11.1.2 If the student responds to the email stating concerns about the process and disputing his or her absence, the Attendance Monitoring Disciplinary Panel (AMD) Panel responsible staff will ask them if they would like to invoke the appeals procedure and attend a School AMD Panel hearing.

11.1.3 If students are identified as absent from a class register for a second time, having swiped into the class, they will be invited to a School AMD Panel hearing.

11.1.4 If students are identified as absent from a class register for a third time, having swiped into the class and having already attended a School AMD Panel hearing, they will be invited to a University Disciplinary Panel hearing, conducted in accordance with para 9.

11.2 FRAUDULENT ACTIVITY

11.2.1 The following applies to students who are caught by a member of staff swiping into a class and then leaving, swiping in for another student who is not present or signing the register for a student not present. The member of staff or student making the allegation of fraud will provide a brief report to the AMD Panel responsible staff or appointed nominee detailing the situation and how the student(s) was caught.

11.2.2 If following investigation by the School, the student is found to have involved another student in their deception, for example, passing their card to another student to swipe or asking another student to sign the register for them, the student will be referred to a University Disciplinary Panel hearing, conducted in accordance with para 9.

THE SCHOOL AMD PANEL HEARING

11.3 NOTICE OF THE HEARING

11.3.1 Students will be given 10 clear working days’ notice of the hearing. The student will be supplied with a copy of the allegation against him/her and will be entitled to appear before the School AMD Panel accompanied by one other person, normally a member of the University community or the Students’ Union Advisory Service. A supporter will not normally act as an advocate. The student must ensure that any additional evidence or mitigation is delivered to the School at least five working days before the hearing meets. This date will be indicated on all letters to students. The notice will require the student to confirm his/her attendance and if he/she will be accompanied.

11.4 CONDUCT OF THE HEARING

11.4.1 The School AMD Panel hearing will follow the format as detailed in para 9 (Conduct of Disciplinary Panel hearings).

11.5 OUTCOMES OF SCHOOL PANEL HEARINGS
11.5.1 If the allegation made against the student is upheld or upheld in part the School AMD Panel may apply one or more of the following sanctions:

a) a written caution;

b) a fine of £100;

c) referral to the Pro Vice-Chancellor (Teaching & Learning) and Registry under para 3.4 above.

11.5.2 The decision and notes of the School AMD Panel hearing must be approved by the Panel and the decision letter forwarded to the student via email within 10 working days and the notes of the School AMD Panel hearing forwarded to the student via email within 20 working days.

11.6 REQUESTS FOR REVIEW OF DECISIONS REACHED BY SCHOOL AMD PANEL

11.6.1 A student who has attended a School AMD Panel hearing may request a review of a decision reached by the Panel. Such a request must rest on the grounds either that there is evidence to show that the hearing was not conducted fairly or that there is new material evidence which ought to be taken into account that, for good reason, could not have been divulged before the hearing. A request for a review of a decision reached by the School AMD Panel must be made within 20 working days from the date of the hearing and addressed to the Office of the Head of Registry. The Head of Registry, or their delegate, will conduct such enquiries as seem appropriate and will determine within twenty working days whether the request will be upheld.

11.6.2 Disagreement with the severity of a sanction imposed by a School hearing/University hearing will not of itself constitute grounds for a review.

11.6.3 Where a request for a review of a decision of a School AMD Panel is upheld, the School AMD Panel will be notified of the grounds on which this has been done and a University Disciplinary Panel hearing will be convened to review the decision, following the procedure set out at para 3.6 above. The student will be invited to attend the University Disciplinary Panel hearing. The decision of the University Disciplinary Panel made following a request under para 11.7.1 will be final and not subject to further review within the University.
SECTION 8

STUDENT COMPLAINTS PROCEDURE

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students’ Union and the Students’ Union Advice Centre.

1 INTRODUCTION AND CONTEXT

1.1 The student complaints procedure enables students to bring matters of concern about their learning experience to the attention of the University, and provides mechanisms through which those concerns may be resolved. The procedure comprises three stages:

Stage 1: an informal approach with emphasis on conciliation and local resolution within the School/Service;

Stage 2: a formal Registry based procedure which may include mediation;

Stage 3: request for review of Stages 1 and 2 to the Pro Vice-Chancellor (Teaching and Learning) (PVC).

1.2 The University takes all complaints seriously and has designed this procedure to give an equitable approach to all concerned. If a student wishes to make a complaint, they will:

- be listened to - the concern, in most instances, being dealt with at an informal level in the School/Service;
- be encouraged to seek advice from the Students’ Union Advice Centre.

1.3 This procedure takes effect from 1 September 2014 and supersedes all previous procedures.

2 DEFINITION

2.1 A complaint is defined as an oral or written expression of dissatisfaction about an aspect of a service or facility, which is provided to registered students of the University. This procedure applies to undergraduate and postgraduate students, including those registered for research degrees.

3 PRINCIPLES AND SCOPE

3.1 The procedure aims to be simple, clear and fair to all parties involved, where informal resolution is encouraged. From both a student and staff point of view, complaints will be handled sensitively and with due consideration to confidentiality. Any person named in a complaint will be given details of the complaint as soon as is reasonably practicable and will have the right to reply as part of any investigation.
3.2 This complaints procedure is for students enrolled on University courses. A student who wishes to make a complaint must invoke the Informal Stage within one calendar month of the incident which is the cause for complaint. Students who have left the University may invoke this procedure within one month following termination of their academic studies.

3.3 Students studying at partner institutions away from the University are required to follow the University’s complaints procedure which, in the first instance, will be progressed by the partner institution. If issues remain unresolved through these local complaints procedures, then the student may refer to the University and will enter the procedure at Stage 2, the formal stage as described in 6.3.1 though it must be appreciated that the University will not always have the authority to determine matters at partner institutions.

3.4 No student bringing a complaint under this procedure, whether successfully or otherwise, will be treated less favourably by the University than if the complaint had not been brought. Likewise, any member of staff mentioned in a complaint will not be treated less favourably by the University than if the complaint had not been brought. If, however, the complaint against a member of staff is upheld, that member may be subject to disciplinary proceedings under University policy.

3.5 From time to time there will be the need to consider action under two different University procedures. For example, a student might wish to appeal against a charge of academic misconduct under the Students’ Handbook of Regulations and may also make a related complaint that would be considered under this procedure. Rather than delay the academic misconduct defence until the complaint has been resolved, it is possible that, with the express agreement of all parties, the two interlinking matters can be considered together by invoking this complaints procedure starting, as usual, with the informal approach under Section 6.2. If, however, the related complaint is considered to be of a serious nature by any of the parties, for example, disciplinary matters which should take precedence, the two actions must be considered separately. Should it not be clear which approach is the best for all parties, the matter should be referred to the Pro Vice-Chancellor for Teaching and Learning, whose decision will be final.

4 OPERATIONAL CONDITIONS

4.1 Anonymous Complaints

With reference to this procedure, such an investigation can only be effected satisfactorily if the investigator is able to collect all the background information. Clearly, this is not possible where the complaint is sent anonymously and so normally such complaints will not be considered.

4.2 Third Party Complaints

No investigation of a complaint made on behalf of a student will be undertaken unless a signed statement by the student is forwarded to Registry which must not be via email. This includes complaints made by the parent or spouse of the student
4.3 **Group Complaints**

Students wishing to submit a group complaint must nominate one student to communicate with the University on behalf of the group. The complaint form must be signed by the nominated person and a sheet attached to the complaint form containing the names and signatures of the complainants within the group. The evidence submitted to support the complaint must be agreed with the group and included with the complaint form. No additional evidence will be accepted once the complaint has been submitted.

4.4 **Complaints to the Vice-Chancellor and Other Senior Members of Staff**

Should the Vice-Chancellor’s Office or the Office of any Senior Manager receive a complaint, it will be acknowledged and referred to the Head of Registry who will ensure that it enters the procedure at the appropriate point. If no substantive attempt has been made by the complainant to resolve the complaint locally using the informal procedure as outlined in 6.2.1 below, the complainant will be advised to take up the issues raised with a Student Conciliator, or Head of Department or Dean as appropriate dependent on the nature of the complaint.

4.5 **Vexatious or Malicious Complaints**

The University may consider invoking the disciplinary procedures under the Student Handbook of Regulations, Section 9, in those cases where complaints are found to be vexatious or malicious. A vexatious or malicious complaint is defined as a complaint which is trivial or untrue, having been put forward so as to abuse the process of the complaints procedure or, for example, to attempt to defame the name or character of another person.

4.6 **Complaints Made by Students Under the Age of 18**

If a complaint is made under the formal procedure by a student who is under the age of 18, unless it is the student's express wish that this should not be done, the University will notify the parents or guardians of the student in writing, and keep them informed of the progress of the complaint. The University will permit the parents or guardians of the student to act on their behalf during the process, provided the student has confirmed agreement in writing beforehand.

4.7 **Complaints Made Against a Specific Member(s) of Staff**

It has been recognised that members of staff about whom a complaint is made, may be somewhat anxious upon hearing about the complaint whether or not it is justified. It is the University’s duty to ensure that its staff are also treated fairly throughout the process, and to that end:

- A member of staff has the right to be supported by his/her line manager or a trade union representative throughout the process. If the line manager is also involved in the complaint, then the respective Dean/Director or Head of Service will take
the lead in providing that support.

- Such members of staff will be advised at the outset of any complaint.
- A member of staff shall have the right to reply to any such complaint at any stage in the process.
- A member of staff shall have the right of access to any documentary evidence presented as part of or in support of any such complaint.

However, if any complaint made against a member of staff under this procedure is of a disciplinary nature or should in the view of the Pro Vice-Chancellor for Teaching and Learning be investigated under the University’s disciplinary procedures then the complaints procedure will be suspended immediately until the disciplinary matter has been concluded.

4.8 Complaints Made Against Staff in Partner Agencies

If a complaint is received about a student’s placement, the University will work with the placement provider to attempt to resolve the complaint by mutual consultation and negotiation, which may be achieved through the placement provider’s own staffing procedures where the student is employed by the placement provider. It is likely, in dealing with a complaint regarding a member of staff at the placement provider, that similar principles to those set out at para 4.7 above will be applied by the provider in respect of the support available to the member of staff that is the subject of the complaint. The information and evidence regarding the subject matter of the complaint that is received by the University provided to the placement provider and to that member of staff.

4.9 Changes to Policies or Procedures

The complaints procedure may not be appropriate if the complaint concerns the process or content of an established University policy or procedure relating to an Academic or Service Department. Issues of this nature should instead be channelled through the Dean/Director or Head of the Academic or Service Department or through course, school and University committee structures as appropriate. Students wishing to receive advice on which procedure is appropriate should contact the Head of Registry, the Students’ Union Advice Centre or a Student Conciliator.

4.10 Attendance at the Complaint Hearing

The Head of Registry (or nominee) may postpone the hearing if the student, who has made the complaint, or a member(s) of staff to whom a complaint is directed, can show good reason for not being able to attend at the originally specified time. However, the failure or inability of a student or member(s) of staff to attend the rearranged meeting will not preclude the panel from reaching a decision.

4.11 Reimbursement of Out of Pocket Expenses
If a complaint is upheld, the University will meet reasonable out of pocket expenses within the UK connected with the formal stage of the procedure, on production of receipts; this may include travel and subsistence costs in connection with the student's attendance at a complaint hearing.

4.12 Timing of all Communications

To ensure that all complaints are dealt with as promptly as possible, both the University and the complainant will respond to all correspondence within the number of days prescribed within the procedure. The University reserves the right to make reasonable extensions during vacation periods.

5 MONITORING, EVALUATION AND REVIEW

5.1 The Head of Registry will oversee the tracking of complaints progressed through the procedure in consultation with the Dean, Director or Head of Service and will ensure that records show the nature of the complaint, how it was dealt with, the time taken for each part and the outcome. All data held will be monitored in accordance with the University's Equal Opportunities and Diversity Policy and reported on an annual basis to the University Teaching and Learning Committee and the University Research Committee. This report will identify any issues that need prompt attention.

6 COMPLAINTS PROCEDURE FOR STUDENTS

6.1 The procedure is divided into three parts, Stage 1 which emphasises resolution at the 'local' point where the complaint arose, Stage 2, which involves the Head of Registry as manager and facilitator of the procedure and Stage 3 which is a request to the PVC for a review of the decision made at Stage 2. The role of the Head of Registry is to ensure that the formal procedure is operated according to these procedures and with regard to the set timescales aimed at resolving complaints within Part I and Part II as quickly as possible.

6.2 Stage 1 Local Resolution

6.2.1 Students are advised to seek help from the Students' Union Advice and Information Centre and/or the School Student Conciliator who have experience of dealing with complaints. At all stages of the complaints procedure the student may be accompanied by a Students' Union representative or the student representative for her/his course. Alternatively, the matter can be brought to the attention of the member of staff by the student representative for the course if it involves an issue of general rather than personal concern.

6.2.2 The student should in most cases seek to resolve the issue by discussing it with the member of staff concerned or a School Student Conciliator. Every effort will be made to resolve the matter at this stage and all parties should seek to find a mutually satisfactory resolution. If the complaint relates to a Head of Department and direct resolution is not appropriate/successful the matter should be raised with the Dean, Director or Head of Service.
6.2.3 If the matter cannot be resolved at this stage the student should complete Boxes A and B of the Student Complaint Form: http://www.hud.ac.uk/media/universityofhuddersfield/content/documents/registry/regulationsandpolicies/studentregulations/section8_complaints_form.pdf

setting out full details of her/his complaint. The form of resolution or redress sought should also be clearly indicated in Box B. The student should note this statement of complaint cannot be extended at a later date. This should be submitted to the Head of Department who will meet with all parties and make every effort to broker a mutually satisfactory resolution. If the complaint relates to the Head of Department and direct resolution is not appropriate/successful the complaint form should be referred to the Dean/Director or Head of Service.

6.2.4 Every effort will be made to resolve matters in a timely manner and the student will receive a full response from the School within twenty working days. The University reserves the right to make a reasonable extension to this timescale during student vacation periods.

6.3 Stage 2 Registry

6.3.1 If the student does not consider the complaint to have been resolved by the response to Stage 1, he/she may invoke Stage 2 by completing the Student Complaint Form, Boxes C and D: http://www.hud.ac.uk/media/universityofhuddersfield/content/documents/registry/regulationsandpolicies/studentregulations/section8_complaints_form.pdf, and submitting it to the Head of Registry within 10 working days from the date of the final response to Stage 1. The form should detail why it is necessary for the issue to be taken to Stage 2 and what has been done by the student to make a serious attempt at resolving the matter with the School/Service. It will be expected by all parties concerned that the matter will not be taken forward on a formal basis unless there is an indication that at least one meeting has been held with the Student Conciliator and Head of Department/Dean/Director or Head of Service. The Head of Registry will acknowledge receipt of the complaint form within five working days. Advice on the completion of the complaint form can also be obtained from the Registry or the Students’ Union Advice Centre.

6.3.2 The Head of Registry will attempt resolution at this stage either by correspondence between the parties, negotiation with the Head of Department/Dean/Director or Head of Service or other senior members of staff, or facilitation of a conciliatory or mediation meeting between the student(s) concerned and the Department/member(s) of staff against whom a complaint is made or convene a formal complaint hearing. The circumstances of the complaint will dictate which of these methods is considered most likely to result in a resolution of the complaint. Should a complaint concern services within the Registry or the work of the Head of Registry, the Pro Vice-Chancellor for Teaching and Learning will assign a senior manager to oversee the formal procedure.

6.3.3 It is anticipated that Stage 2 would normally be completed, with the outcome in writing from the Head of Registry, within two calendar months of the receipt date of the completed Student Complaint Form. The University reserves the right to make a reasonable extension during vacation periods. The Head of Registry will keep all
parties informed of any delay in proceedings, if applicable.

6.4 Stage 3 Request for Review

6.4.1 If the student does not consider the complaint to have been resolved by the response to Stage 2, he/she may apply to invoke Stage 3 for a review of the decision. The request should be made in writing, within ten working days from the date of the notification of the outcome of the correspondence, negotiation or meeting referred to in Stage 2. The request should be addressed to the Head of Registry outlining why the outcome of Stage 2 does not resolve the complaint. New evidence cannot be introduced at this point. Taking into account the substance of the complaint, the previous attempts at resolution and what can be achieved by an appeal, the Pro Vice-Chancellor for Teaching and Learning will then review the case and a decision will be made about the appropriateness of the matter being referred to a complaint hearing. His/her decision will be final. If a complaints hearing is not to be held, the student will be advised in writing within ten working days of the receipt of the appeal request, giving the reason(s) for not taking the matter forward and a Completion of Procedures letter will be issued. In complaints where exceptionally it is considered by the Pro Vice-Chancellor for Teaching and Learning that it is appropriate that further effort be made to resolve the matter under Stage 2 (for example where weighty and significant new evidence is presented) he/she may refer the case back to the Head of Registry to mediate with all the parties.

6.4.2 Should a complaint hearing be appropriate, it will be chaired by a Dean/Head of Academic Department from outside the student's School, or a Director/Head of Service Department from another service area. A Panel will be convened, consisting of one other member of academic or support staff, drawn from academic or service departments unrelated to the complaint and a representative from the Students’ Union. The Head of Registry or his/her nominee will act as technical adviser and note-taker to the Panel. The Department may be represented by up to two members. Notes for Guidance on the conduct of a complaint hearing can be found at the end of this section.

6.4.3 The Complaints Panel shall meet, normally within 20 working days (excluding University vacations) of the referral from Part I, and communicate its conclusions to the student and the Department within 20 working days. The Head of Registry will explain reasons for any necessary extension of the timescale, for example, if an adjournment in the proceedings is necessary. The decision of the Complaints Panel is final and not subject to appeal.

7 OUTCOMES OF THE COMPLAINTS PROCEDURE

7.1 On completion of the process, the complainant and any person, whether staff or student, complained against will have the outcomes conveyed to them simultaneously. For the student, the Head of Registry will communicate the response and issue a Completion of Procedures letter. In the case of an individual member of staff, this will be through their respective Dean/Director or Head of Service. The response will be in a form appropriate to the level of the procedure at which the complaint is dealt with and accordingly a written or verbal acknowledgement will be made within ten working days and a full response within twenty working days. The
University reserves the right to make a reasonable extension during vacation periods.

7.2 Should a complaint be upheld, the Chair of the Complaints Panel may make recommendations to the Dean/Director or Head of the Academic or Service Department.

7.3 Recommendations may also be made to University committees in respect of quality assurance procedures or policies.

7.4 If a complaint is not upheld, the complainant will be informed in writing with reasons for its rejection. Any conclusions and recommendations on how the matter can be remedied and to prevent such an occurrence in the future will also be communicated in writing by the Head of Registry to the complainant and the Dean//Director/Head of the Academic or Service Department.

7.5 A report on each case which comes before the Complaints Panel will be prepared by the Head of Registry for the Pro Vice-Chancellor for Teaching and Learning, to assist in monitoring the effectiveness of the complaints procedure and to identify relevant quality assurance issues. A follow-up after six months will be made by the Head of Registry to verify that any proposed new arrangements have been introduced, a report of which will also be sent to the Pro Vice-Chancellor for Teaching and Learning.

8 INDEPENDENT REVIEW OF STUDENT COMPLAINTS

8.1 The Office of the Independent Adjudicator (OIA) provides an independent scheme for the review of student complaints to current students of the University. If a complaint is not upheld, the complainant can ask the OIA to review the complaint. The OIA will not consider a complaint if:

1. it relates to Admissions;
2. it relates to a matter of academic judgement;
3. student employment;
4. matters which have already been considered by a court or tribunal and where the proceedings have been concluded;
5. matters which are being considered by a court or tribunal where the proceedings have not been stayed;
6. matters which we consider have not materially affected the complainant as a student;
7. matters which the OIA has already dealt with;
8. it concerns a student employment matter;
9. it relates to an institution which is not a higher education institution;
10. matters where the main issues complained about took place more than three years before the complaint is received by the OIA.

8.2 For further information on the scheme:

1. write to the Head of Registry, CSB Level 9 at the University

2. see Office of the Independent Adjudicator on the Registry website: http://www.hud.ac.uk/registry/a-zsitelisting/#O

3. see the OIA website on www.oiahe.org.uk

9 TRAINING AND AWARENESS

9.1 The Registry will organise activities to raise awareness of the complaints procedure and how it is to be used amongst the student body. The Head of Registry will also provide support and guidance for departments in handling complaints and resolving them as closely as possible to their point of origin.

9.2 This policy will be reviewed on a regular basis.
STUDENT COMPLAINT FORM

This form is in two sections. Boxes A and B should be completed when attempting to resolve a complaint at Stage 1 via the School or Service department. This section must be completed before referral to the School/Service and Registry.

Boxes C and D should be completed if the student does not consider the complaint to have been resolved by the response to Stage 1 via the School or Service department and should be sent to the Head of Registry.

Advice on completion of the form can also be obtained from the Students’ Union Advice Centre.

COMPLETE IN BLOCK CAPITALS OR TYPE

Personal Details

Full Name:…………………………………………………Enrolment No:………………………….

Course and year: ………………………………………………………………………………………

Address for correspondence in connection with the complaint:
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………

Postcode:………………………… Telephone/Mobile number:……………………………………

Email: …………………………………...
STAGE 1
BOX A: Details of complaint, including dates of actions and any supporting evidence for example; any correspondence, Extenuating Circumstances forms (please use additional sheets if necessary):

BOX B: Please indicate what outcome or further action you are expecting:
Note: this cannot be added to at a later date
STAGE 2
To be completed if the student does not consider the complaint to have been resolved by the response to Stage 1 of the procedure via the School or Service department.

BOX C: Please explain why you are unsatisfied with the response you have received:


BOX D: Please explain here what steps you have taken, together with dates and supporting evidence, to resolve your complaint locally (as per Stage 1 of the procedure):


As part of the investigation of your complaint, any members of staff mentioned, for example, the course team will be made aware of the complaint, as will the Dean/Director/Head of the Academic or Service Department involved.

Declaration
I declare that the information given in this form is true, and that I am willing to answer further questions relating to it if necessary.

Signed:…………………………………….. Date:………………………………….
Notes for Guidance on the Conduct of a Complaint Hearing
(to be provided to all parties)

1. Purpose

1.1 The purpose of the Complaint Hearing shall be to hear both the complaint and the response. Taking into account previous attempts to resolve issues, the Panel shall determine whether the student's complaint is justified and whether the Department/member(s) of staff has provided a reasonable response or resolution.

2. Process

2.1 A Complaint Hearing may be convened by the Head of Registry following a request in writing by the student who has brought the complaint, as Stage 2 of the complaints procedure.

2.2 Membership of the Panel, which shall be determined by the Head of Registry in consultation with senior colleagues, shall consist of a Dean, Director or Head of Department as Chair, one other member of staff and a representative of the Students’ Union. The Chair and staff members shall be drawn from outside the Department involved in the complaint and may be academic or support staff, depending on the nature of the complaint. The Head of Registry shall act in the capacity of technical adviser and note-taker to the Panel.

3. Documentation

3.1 The Panel will have access to all previous documentation in connection with the complaint. In addition, the complainant and the Department/member(s) of staff are each asked to produce an A4 synopsis in Arial 12, single line spacing, of their case for distribution to the Panel and the other party, together with statements from any witnesses pertinent to the case. The synopsis must be in Registry five working days prior to the hearing. No additional documents may be tabled at the hearing.

4. Witnesses

4.1 If the student wishes to supply witness statements, it is the responsibility of the student to supply the witness statements and to ensure that any witnesses are informed of the date of the hearing and that they are available to attend. The student should also inform the Head of Registry of any witnesses he/she wishes to call. Students should be advised that the names of service users or any other means of identifying services users should not be included in their statement or those of their witnesses. Any details identified in documents received from the student will be removed prior to the hearing.

4.2 Vulnerable persons will not normally be asked to produce statements or attend the hearing. For example students who fear intimidation, harassment or other reasonable fear of reprisal may request via the Registry that their names and addresses be removed from any statements provided to the hearing and the student.
4.3 The evidence provided to hearings may be oral or in writing. It is expected that anyone wishing their evidence to be heard would attend a hearing. In the event that a person having provided evidence does not wish to attend a hearing, any statement submitted must be signed and dated. In these circumstances panels must give due consideration to the fact that the witness has not been present to respond to questioning.

5 Order of Proceedings

5.1 The Order of Proceedings is as follows:

i) Introduction of those present – noting that, at the discretion of the Chair of the Panel, not everyone involved in the process need be present for all the time.

ii) The Chair outlines the purpose of the complaint hearing and explains the format of the hearing.

iii) Confirmation of the documents.

iv) Complainant presentation.

v) Opportunity to question complainant's presentation by Panel and Department/member(s) of staff.

vi) Department/member(s) of staff presentation.

vii) Opportunity to question Department/member(s) of staff presentation by Panel and complainant.

viii) If appropriate the witness for the complainant joins the hearing to give evidence and leaves the hearing following any questions from the panel/student.

ix) If appropriate the witness for the Department/member(s) of staff joins the hearing to give evidence and leaves the hearing following any questions from the panel/student.

x) Complainant summing up.

New evidence is not admissible at this time.

xi) Department/member(s) of staff summing up.

New evidence is not admissible at this time.

xii) Adjournment - Chair and Panel to consider the submission in private. Either side may be required to be available to provide further information or clarification of matters to the Panel.
6. Conclusions and Recommendations

6.1 Should the Panel uphold the complaint, it may make any recommendations which it sees fit to the Department.

6.2 Recommendations may also be made to University committees.

6.3 It may be determined that the Department or member(s) of staff has no case to answer and acted reasonably during the earlier part of the complaints procedure.

6.4 Any conclusions and recommendations will be communicated in writing to the complainant and the appropriate Dean/Director/Head of Service simultaneously. In the case of a student, the Head of Registry will communicate the response. Where the complaint involves individual members of staff, the Dean/Director/Head of Service will personally report the findings to those members.
Section 9

Regulations governing breach of professional standards and professional conduct

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the students’ union and students’ union advice centre.

1. Policy
1.1 All university students are required to comply with the regulations of the University regarding conduct. These are presented in the latest edition of the Students’ Handbook of Regulations. Students entering a course that leads to a professional qualification may have additional responsibilities placed upon them by professional or statutory bodies regarding not only their conduct but also their professional suitability. The code of conduct required by professional and statutory bodies is issued to all students following those courses at the point of registration and subsequently in course handbooks.

The law, university regulations and professional and statutory bodies all provide frameworks within which appropriate conduct and the consequences of misconduct are defined in a number of general and specific ways. The University differentiates between conduct which calls into question professional suitability and/or issues of professional misconduct and those aspects of misconduct which would normally be progressed through the Student Disciplinary Procedures. These regulations have been developed to address issues of professional suitability and professional misconduct.

1.2 It is acknowledged that some behaviour which might give rise to concern about professional suitability or might amount to professional misconduct may be attributable to the health or disability of a student. The University will consider the matter in a way which is supportive of the health of the student. However, the protection of the public and the reputation of the course of study must be the overriding concern in any decisions which are taken in respect of the student.

The University recognises the possibility that any allegation relating to professional unsuitability or professional misconduct may be vexatious or malicious. It therefore assures any respondent of fair process, and gives the undertaking that any allegations found to be vexatious or malicious may be referred to the University disciplinary procedures for students or staff.

1.3 There may be occasions when minor misconduct and/or breach of professional standards occur during a student’s learning. In these cases opportunities for the student to learn from the experience shall be made available and a facilitative rather than punitive approach will be taken.

In the event of one or more allegations of misconduct that indicate that the student may not be suitable to become a professional in their chosen field, the Fitness to Practise Procedure shall be invoked. This Procedure is separate from the assessment process and if, as a result of its application, registration on the course is terminated, the student may be allowed to transfer accumulated credit to a non-professional course at the University.
The choice of the framework within which to deal with any specific case of misconduct is not necessarily straightforward. There will inevitably be overlaps and occasions where more than one set of regulations/procedures will be used.

- Allegations of academic misconduct that reflect upon the student’s professional suitability and dealt with under the Academic Misconduct Procedure may lead to this Fitness to Practise procedure; and may then, also lead to proceedings under the University’s Student Disciplinary Procedures and/or criminal proceedings.

- Allegations arising from inappropriate conduct or unsafe practices in a placement will be considered under this procedure. A student’s level of competence in an area of assessed practice is a matter for the Course Assessment Board, who may exercise their discretionary powers to recommend to the Dean that the student should be invited to a Cause for Concern hearing (Students’ Handbook of Regulations E3.4). In all cases this may lead to the University’s Student Disciplinary Procedures and/or criminal proceedings.

- Other allegations that demonstrate a breach of the relevant professional body’s Code of Practice will be considered under this procedure and may also lead to proceedings under the University’s Student Disciplinary Procedures and/or criminal proceedings.

1.4 The University reserves the right to continue under this procedure notwithstanding the instigation of criminal proceedings. In cases where it is considered that the alleged misconduct would also constitute a serious offence under the criminal law (i.e. one that is likely to attract an immediate custodial sentence if proved in a court of law), the Pro Vice-Chancellor (Teaching and Learning) may in his absolute discretion determine that no action (other than suspension or restriction may be taken under this Code pending any criminal investigation or prosecution.

Acquittal or discontinuance of criminal proceedings shall not preclude the University from continuing disciplinary action in respect of the alleged misconduct.

Where a finding of inappropriate conduct is made and the student has already been sentenced by a criminal court in respect of the same facts, the court’s penalty shall be taken into account in determining the penalty under this Code.

The Pro Vice-Chancellor (Teaching and Learning) may delegate his or her powers under this Code to a nominee either generally or in respect of a particular case.

1.5 Students are advised to seek impartial help, advice, guidance and support from staff in the Students’ Union Advice Centre, Student Services, Student Services Wellbeing Team, as appropriate, and/or sabbatical officers in the Students’ Union.

1.6 The procedures related to Professional Suitability or Professional Misconduct are laid out in the Fitness to Practice Handbook and distributed to students following their enrolment on the course.
1.7 The courses covered by the above whilst not exhaustive are detailed on the following pages:
Courses to be covered under Fitness to Practise Regulations With Placement

<table>
<thead>
<tr>
<th>School and Professional Development</th>
<th>Course</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applied Sciences</td>
<td>Mpharm</td>
</tr>
<tr>
<td>Education</td>
<td>CertEd/PGCE Lifelong Learning Pre-service</td>
</tr>
<tr>
<td></td>
<td>PGCE Secondary</td>
</tr>
<tr>
<td></td>
<td>BA Early Primary Education/BA Primary Education (Early Years and Key Stage 1)</td>
</tr>
<tr>
<td></td>
<td>BA Youth and Community Work</td>
</tr>
<tr>
<td></td>
<td>FdA/BA Early Years (UCB)</td>
</tr>
<tr>
<td></td>
<td>MA Professional Studies (Youth Work) (full-time)</td>
</tr>
<tr>
<td></td>
<td>MA Professional Studies (Guidance) (full-time)</td>
</tr>
<tr>
<td></td>
<td>CertEd/PGCE Lifelong Learning In-service</td>
</tr>
<tr>
<td></td>
<td>FdA/BA Early Years</td>
</tr>
<tr>
<td></td>
<td>Certificates in Adult Basic Skills</td>
</tr>
<tr>
<td></td>
<td>FdA/BA Educational Management and Administration</td>
</tr>
<tr>
<td></td>
<td>FdA/BA Learning Support</td>
</tr>
<tr>
<td></td>
<td>BA Early Years</td>
</tr>
<tr>
<td></td>
<td>BA Education and Professional Development</td>
</tr>
<tr>
<td></td>
<td>Diploma in Professional Studies Youth and Community Work (part-time)/MA Professional Studies (Youth Work) (part-time)</td>
</tr>
<tr>
<td></td>
<td>Postgraduate Diploma in Guidance (part-time)/MA Professional Studies (Youth Work)</td>
</tr>
<tr>
<td></td>
<td>BA Childhood Studies</td>
</tr>
</tbody>
</table>

| Human & Health Sciences            | DipHE Operating Department Practice |
|                                    | BSc (Hons) Occupational Therapy |
|                                    | BSc (Hons)/PGDip Physiotherapy |
|                                    | BSc (Hons) Podiatry FT and PT |
|                                    | BSc (Hons) Social Work |
|                                    | MSc Social Work |
|                                    | BSc (Hons) Nursing/DipHE Nursing: Child/Adult/Mental Health/Learning Disabilities |
|                                    | BSc (Hons) Midwifery Studies |
|                                    | BSc (Hons) Midwifery |
|                                    | MSc Advanced Nurse Practitioner (Primary Care) |
|                                    | MSc Community Nursing Practise (District Nursing) |
|                                    | PG Cert/MSc Cognitive Behaviour Therapy (CBT) |
|                                    | MSc Public Health Nursing Practice |
Courses to be covered under Fitness to Practise Regulations
Without Placement

<table>
<thead>
<tr>
<th>School</th>
<th>Course</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education and Professional Development</td>
<td>EdD</td>
</tr>
<tr>
<td></td>
<td>PhD</td>
</tr>
<tr>
<td></td>
<td>MA Professional Development (all routes)</td>
</tr>
<tr>
<td></td>
<td>PgCert/PgDip/MSc Multimedia &amp; E-learning</td>
</tr>
<tr>
<td></td>
<td>BA(Hons) Religion &amp; Education</td>
</tr>
<tr>
<td></td>
<td>BEd Education in Development (offered in China only)</td>
</tr>
<tr>
<td></td>
<td>BA(Hons) Childhood Studies</td>
</tr>
<tr>
<td>Human &amp; Health Sciences</td>
<td>Independent &amp; Supplementary Nurse Prescribing</td>
</tr>
<tr>
<td></td>
<td>Diploma Perioperative Practice</td>
</tr>
<tr>
<td></td>
<td>BSc (Hons) Perioperative Studies</td>
</tr>
<tr>
<td></td>
<td>MSc Podiatry</td>
</tr>
<tr>
<td></td>
<td>MSc Theory of Podiatric Surgery</td>
</tr>
<tr>
<td></td>
<td>Supplementary Prescribing for AHP</td>
</tr>
<tr>
<td></td>
<td>Cervical Screening</td>
</tr>
<tr>
<td></td>
<td>Forensic Podiatry PG Cert</td>
</tr>
<tr>
<td></td>
<td>MSc Health and Social Care</td>
</tr>
<tr>
<td></td>
<td>MSc Child Welfare and Safeguarding</td>
</tr>
<tr>
<td></td>
<td>BSc (Hons) Nursing Studies</td>
</tr>
<tr>
<td></td>
<td>Nurse Prescribing from the Community</td>
</tr>
<tr>
<td></td>
<td>Practitioners Formulary (V100 mode 2 and V150)</td>
</tr>
<tr>
<td></td>
<td>Practice Teaching</td>
</tr>
<tr>
<td></td>
<td>Supporting Learning in Practice</td>
</tr>
<tr>
<td></td>
<td>MA Child Safeguarding</td>
</tr>
<tr>
<td></td>
<td>MSc Health and Social Care</td>
</tr>
</tbody>
</table>
Section 10

REGULATIONS GOVERNING THE USE OF COMPUTING FACILITIES

The aim of these regulations is to help ensure that the University computing facilities can be used safely, lawfully and equitably.

The issues covered by these regulations are complex and you are strongly urged to read the accompanying guidance document, available at https://www.hud.ac.uk/staff/it/policy/regulationguidance/

This gives more detailed information that you will find useful. Any user still in doubt regarding their use of the University computing facilities must seek further advice from IT Support before proceeding (email: itsupport@hud.ac.uk; tel: 01484 473737.

Definitions used in these regulations

Appropriate authority refers to the Director of Computing and Library Services in respect of the general computing facilities and to the dean of school or director or head of service in respect of specific computing facilities.

Computing facilities includes:

- IT hardware that the University provides, such as PCs, laptops, tablets, smart phones and printers;
- Software that the University provides, such as operating systems, office application software, web browsers etc. It also includes software that the institution has arranged for you to have access to, for example special deals for students on commercial application packages;
- Data that the University provides, or arranges access to. This might include online journals, data sets or citation databases;
- Access to the network provided or arranged by the institution. This would cover, for example, network connections on-campus, WiFi, or connectivity to the internet from University PCs;
- Online services arranged by the University such as Office 365 and Google Apps, JSTOR, or any of the Jisc online resources; and
- IT credentials.

General computing facilities refers to computing facilities provided or arranged by Computing and Library Services.

IT refers to ‘information technology’, the common term used to refer to anything related to computing technology, such as hardware, software, networking, the internet or comporting services and support.

IT credentials means the use of your University login, or any other token (email address, smartcard, dongle) issued by the University to identify yourself when using the University computing facilities. For example, you may be able to use drop-in facilities or WiFi connectivity at other institutions using your usual username and password through the
eduroam system. While doing so, you are subject to the Computing Regulations, as well as the regulations at the institution you are visiting.

*Specific computing facilities* refers to computing facilities provided or arranged and networks managed by a school or service.

*University computing facilities* means the general computing facilities and the specific computing facilities.

1. **Scope**
   These regulations apply to anyone using the University computing facilities. Every effort is made to ensure that University computing facilities are available in accordance with times published on notice boards and on web pages. In general, services like e-mail and web access are always available. However, the means of delivery might not be, depending on opening hours and the reliability of hardware and software. Occasionally, University computing facilities are unavailable because of system maintenance and upgrades; in such cases users will be informed in advance whenever possible.

   Unless specific arrangements have been made, data is periodically removed under standard procedures carried out by system managers, for example at the end of a University session. Users must make themselves familiar with the arrangements in force regarding any data they store on University computing facilities.

   Except as may be required by law, the University accepts no liability for any direct, indirect or consequential loss, including loss of profits, damage, costs or expenses arising from, or relating to, acts or omissions of users of the University computing facilities, their guests, members of the public or intruders; neither does the University accept any liability for any consequences arising out of the unavailability of University computing facilities and related services, or loss of data, no matter how caused.

2. **Governance**
   When using University computing facilities, you remain subject to the same laws and regulations as in the physical world.

   It is expected that your conduct is lawful. Furthermore, ignorance of the law is not considered to be an adequate defence for unlawful conduct.

   When accessing services from another jurisdiction, you must abide by all relevant local laws, as well as those applicable to the location of the service.

   You are bound by the University’s general policies and regulations when using the University computing facilities, available at [http://www.hud.ac.uk](http://www.hud.ac.uk)

   You must abide by the regulations applicable to any other organisation whose services you access such as Janet, Eduserv and Jisc Collections.

   When using services via eduroam, you are subject to both the regulations of the University and the institution where you are accessing services.
Some software licences procured by the University will set out obligations for the user – these should be adhered to. If you use any software or resources covered by a Chest agreement, you are deemed to have accepted the Eduserv User Acknowledgement of Third Party Rights. (See accompanying guidance for more detail.)

Breach of any applicable law or third party regulation will be regarded as a breach of these computing regulations.

3 Authority

Authority relating to general computing facilities lies with the Director of Computing and Library Services. Authority relating to specific computing facilities lies with the appropriate dean, director or head of service. These people are responsible for their interpretation and enforcement, and they may also delegate such authority to other people.

You must comply with any reasonable written or verbal instructions issued by people with delegated authority in support of these regulations. If you feel that any such instructions are unreasonable or are not in support of these regulations, you may appeal using the Complaints Procedure outlined at https://www.hud.ac.uk/it/contact/.

Persons who are not students or employees of the University may be authorised to use University computing facilities at the absolute and sole discretion of the appropriate authority. Those who arrange access on behalf of persons who are not students or employees must ensure that they are made aware of these regulations prior to access being authorised and that they can be individually identified.

4 Intended Use

The University computing facilities are provided for use in furtherance of the mission of the University; for example to support a course of study, research or in connection with your employment by the University.

Use of the University computing facilities for personal activities (provided that it does not infringe any of the regulations, and does not interfere with others’ valid use) is permitted, but this is a privilege that may be withdrawn at any point. Individuals using the University computing facilities for commercial purposes do so at their own risk.

Use of the University computing facilities for non-institutional commercial purposes or for personal gain requires the explicit approval of the appropriate authority and can be revoked at any time. The University reserves the right to levy charges in accordance with University policies.

Use of certain licences is only permitted for academic use and where applicable to the code of conduct published by the Combined Higher Education Software Team (CHEST) http://www.eduserv.ac.uk/services/Chest-Agreements. See the accompanying guidance for further details.
5 Identity
You must take all reasonable precautions to safeguard any IT credentials (for example a username and password, email address, smart card or other identity hardware) issued to you. You must not allow anyone else to use your IT credentials. No-one has the authority to ask you for your password, and you must not disclose it to anyone.

You must not attempt to obtain or use anyone else’s credentials. You must not impersonate someone else or otherwise disguise your identity when using the IT facilities.

You must be prepared to identify yourself to members of staff on duty in order to help protect the integrity of the University computing facilities. Campus cards must be carried at all times when using the University computing facilities.

6 Infrastructure
You must not do anything to jeopardise the integrity of the IT infrastructure by, for example, doing any of the following without approval:

- Damaging, reconfiguring or moving equipment;
- Loading software on the University’s equipment other than in approved circumstances;
- Reconfiguring or connecting equipment to the network other than by approved methods;
- Setting up servers or services on the network;
- Deliberately or recklessly introducing malware;
- Attempting to disrupt or circumvent IT security measures.

7 Information
If you handle personal, confidential or sensitive information, you must take all reasonable steps to safeguard it and must observe the University’s Data Protection and Information Security policies and guidance, available at http://www.hud.ac.uk/informationgovernance/ particularly with regard to removable media, mobile, and privately owned devices.

Do not store protected information in personal cloud services such as Dropbox. Further information on the use of generic cloud computing services is available in the guidance notes to these regulations.

You must not infringe copyright, or break the terms of licences for software or other material.

You must not attempt to access, delete, modify or disclose information belonging to other people without their permission, or explicit approval from the appropriate authority.
You must not create, download, store or transmit unlawful material, or material that is indecent, offensive, threatening or discriminatory. The University has procedures to approve and manage valid activities involving such material; please refer to the relevant school committee.

You must abide by any University guidelines when using the University computing facilities to publish information.

8 Behaviour
Real world standards of behaviour apply online and on social networking platforms, such as Facebook, Blogger and Twitter.

You must not cause needless offence, concern or annoyance to others.

You should also adhere to the University’s social media policy. Guidance for students is available at http://www.hud.ac.uk/media/universityofhuddersfield/content/documents/registry/regulationsandpolicies/policiesandguidance/Social_Networking_Policy.pdf and guidance for staff is available at http://hr.hud.ac.uk/downloads/policies/pdf/1000311.pdf.

You must not send spam (unsolicited bulk email).

You must not recklessly consume excessive IT resources such as processing power, bandwidth or consumables.

You must not use the University computing facilities in a way that interferes with others’ valid use of them.

You must abide by any local regulations concerning eating or drinking in open access University computing facilities.

9 Monitoring
The University monitors and records the use of the University computing facilities including for the purposes of:

- The effective and efficient planning and operation of the University computing facilities;
- Detection and prevention of infringement of these regulations;
- Investigation of alleged misconduct.

The University will comply with lawful requests for information from government and law enforcement agencies.

You must not attempt to monitor the use of the computing facilities without explicit approval from the appropriate authority.

10 Infringement
Infringing these regulations may result in sanctions under the University’s disciplinary procedures. Penalties may include withdrawal of services and/or fines. Offending material will be taken down.

Information about infringement may be passed to appropriate law enforcement agencies, and any other organisations whose regulations you have breached.

The University reserves the right to recover from you any costs incurred as a result of your infringement.

You must inform the appropriate authority or a member of staff in Computing and Library Services if you become aware of any infringement of these regulations.
Guidance Notes to be used in conjunction with Section 11 regulations governing the use of University computing facilities (the ‘Computing Regulations’)

This guidance expands on the principles set out in the Computing Regulations https://www.hud.ac.uk/staff/it/policy/computingregulations/. It gives many examples of specific situations and is intended to help you relate your everyday use of the University computing facilities.

Where a list of examples is given, these are just some of the most common instances, and the list is not intended to be exhaustive.

Where the terms similar to Authority, Authorised, Approved or Approval appear, they refer to authority or approval originating from the person or body identified in section 3, Authority or anyone with authority delegated to them by that person or body.

Definitions used in the Computing Regulations and in these guidance notes

Appropriate authority refers to the Director of Computing and Library Services in respect of the general computing facilities and to the dean of school or director or head of service in respect of specific computing facilities.

Computing facilities includes:

- IT hardware that the University provides, such as PCs, laptops, tablets, smart phones and printers;
- Software that the University provides, such as operating systems, office application software, web browsers etc. It also includes software that the institution has arranged for you to have access to, for example special deals for students on commercial application packages;
- Data that the University provides, or arranges access to. This might include online journals, data sets or citation databases;
- Access to the network provided or arranged by the institution. This would cover, for example, network connections on-campus, WiFi, or connectivity to the internet from University PCs;
- Online services arranged by the University such as Office 365 and Google Apps, JSTOR, or any of the Jisc online resources; and
- IT credentials.

General computing facilities refers to computing facilities provided or arranged by Computing and Library Services.

IT refers to ‘information technology’, the common term used to refer to anything related to computing technology, such as hardware, software, networking, the internet or comporting services and support.

IT credentials means the use of your University login, or any other token (email address, smartcard, dongle) issued by the University to identify yourself when using the University computing facilities. For example, you may be able to use drop-in facilities or WiFi.
connectivity at other institutions using your usual username and password through the eduroam system. While doing so, you are subject to the Computing Regulations, as well as the regulations at the institution you are visiting.

*Specific computing facilities* refers to computing facilities provided or arranged and networks managed by a school or service.

*University computing facilities* means the general computing facilities and the specific computing facilities.

1 **SCOPE**

The Computing Regulations apply to **anyone** using the University computing facilities. This means more than students and staff. It could include, for example:

- Visitors to the University’s web site, and people accessing the University’s online services from off campus;
- External partners, contractors and agents based on site and using the University’s network, or offsite and accessing the institution’s systems;
- Tenants of the institution using the University’s computers, servers or network;
- Visitors using the University’s WiFi;
- Students and staff from other institutions logging on using eduroam.

2 **GOVERNANCE**

It is helpful to remember that using IT has consequences in the physical world. Your use of IT is governed by IT-specific laws and regulations (such as these), but it is also subject to general laws and regulations such as The University of Huddersfield’s general policies and regulations.

2.1 **DOMESTIC LAW**

Your behaviour is subject to the laws of the land, even those that are not apparently related to IT such as the laws on fraud, theft and harassment. There are many items of legislation that are particularly relevant to the use of IT, including:

- Obscene Publications Act 1959 and 1964
- Protection of Children Act 1978
- Police and Criminal Evidence Act 1984
- Copyright, Designs and Patents Act 1988
- Criminal Justice and Immigration Act 2008
- Computer Misuse Act 1990
- Human Rights Act 1998
- Data Protection Act 1998
- Prevention of Terrorism Act 2005
- Terrorism Act 2006
So, for example, you may not:

- Create or transmit, or cause the transmission of, any offensive, obscene or indecent images, data or other material, or any data capable of being resolved into obscene or indecent images or material;
- Create or transmit material with the intent to cause annoyance, inconvenience or needless anxiety;
- Create or transmit material with the intent to defraud;
- Create or transmit defamatory material;
- Create or transmit material such that this infringes the copyright of another person or organisation;
- Create or transmit unsolicited bulk or marketing material to users of networked facilities or services, save where that material is embedded within, or is otherwise part of, a service to which the user or their user organisation has chosen to subscribe;
- Deliberately (and without authorisation) access networked facilities or services.

There is an excellent set of overviews of law relating to IT use available at www.jisclegal.ac.uk/LegalAreas

2.2 FOREIGN LAW

If you are using services that are hosted in a different part of the world, you may also be subject to their laws. It can be difficult to know where any particular service is hosted from, and what the applicable laws are in that locality.

In general, if you apply common sense, obey domestic laws and the regulations of the service you are using, you are unlikely to go astray.

2.3 GENERAL INSTITUTIONAL REGULATIONS

You should already be familiar with the University’s general regulations and policies. These are available at http://www.hud.ac.uk

2.4 THIRD PARTY REGULATIONS

If you use the University computing facilities to access third party services or resources you are bound by the regulations associated with that service or resource (the association can be through something as simple as using your institutional username and password).
Very often, these regulations will be presented to you the first time you use the service, but in some cases the service is so pervasive that you will not even know that you are using it.

Two examples of this would be:

- **Using Janet, the IT network that connects all UK higher education and research institutions together and to the Internet**
  When connecting to any site outside the University you will be using Janet, and subject to the Janet Acceptable Use Policy, [https://community.ja.net/library/acceptable-use-policy](https://community.ja.net/library/acceptable-use-policy) the Janet Security Policy, [https://community.ja.net/library/janet-policies/security-policy](https://community.ja.net/library/janet-policies/security-policy) and the Janet Eligibility Policy [https://community.ja.net/library/janet-policies/eligibility-policy](https://community.ja.net/library/janet-policies/eligibility-policy)

  The requirements of these policies have been incorporated into the Computing Regulations and these guidance notes, so if you abide by the Computing Regulations you should not infringe the Janet policies.

- **Using Chest agreements**
  Eduserv is an organisation that has negotiated many deals for software and online resources on behalf of the UK higher education community, under the common banner of Chest agreements. These agreements have certain restrictions, that may be summarised as: non-academic use is not permitted; copyright must be respected; privileges granted under Chest agreements must not be passed on to third parties; and users must accept the User Acknowledgement of Third Party Rights, available at [www.eduserv.org.uk/services/Chest-Agreements/about-our-licences/user-obligations](http://www.eduserv.org.uk/services/Chest-Agreements/about-our-licences/user-obligations)

- **Licence agreements**

  There will be other instances where the University has provided you with a piece of software or a resource.

  Users shall only use software and other resources in compliance with all applicable licences, terms and conditions.

3 **AUTHORITY**

Authority relating to general computing facilities lies with the Director of Computing and Library Services. Authority relating to specific computing facilities lies with the appropriate dean, director or head of service. These people are responsible for their interpretation and enforcement, and they may also delegate such authority to other people.

Authority to use the University computing facilities is granted by a variety of means:

- the issue of a username and password or other IT credentials
- the explicit granting of access rights to a specific system or resource
- the provision of a facility in an obviously open access setting, such as a University web site; a self-service kiosk in a public area; or an open WiFi network on campus.
Following enrolment, students are authorised to use systems appropriate to their course of study. Automatic authorisation for students is extended to include some specific computing facilities; in other cases it is necessary to obtain authorisation from local system managers.

Employees are authorised to use systems appropriate to their work. The University reserves the right to deny or revoke authorisation to use its computing facilities.

Those who are not students or employees of the University may be authorised to use University computing facilities at the absolute and sole discretion of the appropriate authority. Those who arrange access on behalf of persons who are not students or employees must ensure that they are made aware of the Computing Regulations and these guidance notes and that the user can be individually identified.

If you have any doubt whether or not you have the authority to use a University computing facility you should seek further advice from IT Support in Computing and Library Services.

Attempting to use the University computing facilities without the permission of the relevant authority is an offence under the Computer Misuse Act.

4 INTENDED USE
The University computing facilities, and the Janet network that connects institutions together and to the Internet, are funded in part by the tax-paying public. They have a right to know that the facilities are being used for the purposes for which they are intended.

4.1 USE FOR PURPOSES IN FURTHERANCE OF THE UNIVERSITY’S MISSION
The University computing facilities are provided for use in furtherance of the University’s mission. Such use might be for learning, teaching, research, knowledge transfer, public outreach, the commercial activities of the University, or the administration necessary to support all of the above.

4.2 PERSONAL USE
You may currently use the University computing facilities for personal use provided that it does not breach the Computing Regulations, and that it does not prevent or interfere with other people using the computing facilities for valid purposes (for example using a PC to update your Facebook page when others are waiting to complete their assignments).

However, this is a concession and can be withdrawn at any time. Employees using the University computing facilities for non-work purposes during working hours are subject to the same HR policies as for any other type of non-work activity and should refer to the Staff Handbook for further information.

4.3 COMMERCIAL USE AND PERSONAL GAIN
Use of University computing facilities for non-institutional commercial purposes or for personal gain, such as running a club or society, requires the explicit approval of the appropriate authority. The provider of the service may require a fee or a share
of the income for this type of use. For more information, contact the Director of Computing and Library Services or other appropriate authority.

Even with such approval, the use of licences under the Chest agreements for anything other than teaching, studying or research, administration or management purposes is prohibited, and you must ensure that licences allowing commercial use are in place. This restriction includes work undertaken on behalf of a placement employer by a student.

5  IDENTITY

Many of the computing services provided or arranged by the University require you to identify yourself so that the service knows that you are entitled to use it. This is most commonly done by providing you with a username (issued at the time of authorisation) and password, but other forms of IT credentials may be used, such as an email address, a smart card or some other form of security device.

5.1 PROTECT IDENTITY

You must take all reasonable precautions to safeguard any IT credentials issued to you.

You must change passwords when first issued and at regular intervals as instructed. You should not use obvious passwords, and do not record them where there is any likelihood of someone else finding them. Do not use the same password as you do for personal (i.e. non-institutional) accounts. Do not share passwords with anyone else, even IT staff, no matter how convenient and harmless it may seem. Further guidance on the choosing, using and protecting passwords can be found in the University’s IT Security Procedure Manual: https://www.hud.ac.uk/staff/it/policy/itsecurityprocedure/

If you think someone else has found out what your password is, change it immediately and report the matter to IT Support.

Do not use your username and password to log in to web sites or services you do not recognise, and do not log in to web sites that are not showing the padlock symbol.

Do not leave logged in computers unattended, even for short periods. You should always log out before leaving a computer unattended. Don’t forget to log out properly when you are finished.

Don’t allow anyone else to use your Campus card or other security hardware. Take care not to lose them, and if you do, report the matter to IT immediately.

5.2 IMPERSONATION

Never use someone else’s IT credentials, or attempt to disguise or hide your real identity when using the University computing facilities.

However, it is acceptable not to reveal your identity if the system or service clearly allows anonymous use (such as a public facing website).
5.3 **ATTEMPT TO COMPROMISE OTHERS’ IDENTITIES**
You must not attempt to use, borrow, corrupt or destroy someone else’s *IT credentials*.

6. **INFRASTRUCTURE**
The IT infrastructure is all the underlying *items* that makes IT function. It includes servers, the network, PCs, printers, operating systems, databases and a whole host of other hardware and software that has to be set up correctly to ensure the reliable, efficient and secure delivery of IT services.

You must not do anything to jeopardise the IT infrastructure.

6.1 **PHYSICAL DAMAGE OR RISK OF DAMAGE**
Do not damage, or do anything to risk physically damaging the IT infrastructure, such as being careless with food or drink at a PC.

6.2 **RECONFIGURATION**
Do not attempt to change the setup of the IT infrastructure without authorisation, such as changing the network point that a PC is plugged in to, connecting devices to the network (except of course for WiFi or Ethernet networks specifically provided for this purpose) or altering the configuration of the University’s PCs. Unless you have been authorised, you must not add software to or remove software from PCs. Do not move equipment without authority.

6.3 **NETWORK EXTENSION**
You must not extend the wired or WiFi network without authorisation. Such activities, which may involve the use of routers, repeaters, hubs or WiFi access points, can disrupt the network and are likely to be in breach of the Janet Security Policy.

6.4 **SETTING UP SERVERS**
You must not set up any hardware or software that would provide a service to others over the network without permission. Examples would include games servers, file sharing services, IRC servers or web sites.

6.5 **INTRODUCING MALWARE**
You must take all reasonable steps to avoid introducing malware to the infrastructure.

The term malware covers many things such as viruses, worms and Trojans, but is basically any software used to disrupt computer operation or subvert security. It is usually spread by visiting websites of a dubious nature, downloading files from untrusted sources, opening email attachments from people you do not know or inserting media that have been created on compromised computers.

If you avoid these types of behaviour, keep your anti-virus software up to date and switched on, and run scans of your computer on a regular basis, you should not fall foul of this problem.
6.6 SUBVERTING SECURITY MEASURES
The University has taken measures to safeguard the security of its IT infrastructure, including things such as anti-virus software, firewalls, spam filters and so on. You must not attempt to subvert or circumvent these measures in any way.

7 INFORMATION

7.1 PERSONAL, SENSITIVE AND CONFIDENTIAL INFORMATION
During the course of their work or studies, staff and students (particularly research students) may handle information that comes under the Data Protection Act 1998, or is sensitive or confidential in some other way. For the rest of this section, these will be grouped together and described as ‘protected information’.

Safeguarding the security of protected information is a highly complex issue, with organisational, technical and human aspects. The University has policies and procedures on Data Protection and information governance generally, including in relation to Research Data Management and Records Management, and if your role is likely to involve handling protected information, you must make yourself familiar with and abide by these policies.

Additional guidance on the provisions of the Data Protection Act 1998 and how The University of Huddersfield ensures compliance with it is available at: http://www.hud.ac.uk/informationgovernance/dataprotection/.

7.1.1 TRANSMISSION OF PROTECTED INFORMATION
When sending protected information electronically, you must use a method with appropriate security. Email is not inherently secure and should not be used to transfer University payment card details; instead use the phone or fax the details. Advice about how to send protected information electronically is available in The University of Huddersfield’s IT Security Policy: https://www.hud.ac.uk/staff/it/policy/itsecuritypolicy/ and in the IT Security Procedure Manual https://www.hud.ac.uk/staff/it/policy/itsecurityprocedure/ and from IT Support http://www.hud.ac.uk/library/help/itsupport/.

7.1.2 REMOVABLE MEDIA AND MOBILE DEVICES
Protected information must not be stored on removable media (such as USB storage devices, removable hard drives, CDs, DVDs) or mobile devices (laptops, tablet or smart phones) unless it is encrypted or password-protected, and the key kept securely. A backup copy should also be kept.

If protected information is sent using removable media, you must use a secure, tracked service so that you know it has arrived safely. Advice on the use of removable media and mobile devices for protected information is available in The University of Huddersfield’s IT Security Policy https://www.hud.ac.uk/staff/it/policy/itsecuritypolicy/ and in the IT Security Procedure Manual https://www.hud.ac.uk/staff/it/policy/itsecurityprocedure/, and from IT Support http://www.hud.ac.uk/library/help/itsupport/.
7.1.3 REMOTE WORKING
If you access protected information from off campus, you must make sure you are using an approved connection method that ensures that the information cannot be intercepted between the device you are using and the source of the secure service. You must also be careful to avoid working in public locations where your screen can be seen.

Advice on working remotely with protected information is available in the University’s IT Security Policy [https://www.hud.ac.uk/staff/it/policy/itsecuritypolicy/] and in the IT Security Procedure Manual [https://www.hud.ac.uk/staff/it/policy/itsecurityprocedure/], and from IT Support [http://www.hud.ac.uk/library/help/itsupport/].

7.1.4 Personal or Public Devices and Cloud Services
Even if you are using approved connection methods, devices that are not fully managed by the University cannot be guaranteed to be free of malicious software that could, for example, gather keyboard input and screen displays. You should not therefore use such devices to access, transmit or store protected information.

Do not store protected information in personal cloud services such as Dropbox. Cloud computing using generic services such as Dropbox is not currently compliant with data protection legislation, particularly given that data stored by such providers is likely to be transferred outside of the European Economic Area. It is therefore not appropriate for the storage of personal data relating to staff, students or research subjects. If you require any further guidance on using cloud computing services for the storage of information, you should contact IT Support.

7.2 COPYRIGHT INFORMATION
Almost all published works are protected by copyright. If you are going to use material (images, text, music, software), the onus is on you to ensure that you use it within copyright law. This is a complex area, and guidance is available at [http://www.hud.ac.uk/library/policy/copyright/]. The key point to remember is that the fact that you can see something on the web, download it or otherwise access it does not mean that you can do what you want with it.

7.3 OTHERS’ INFORMATION
You must not attempt to access, delete, modify or disclose protected information belonging to other people (including data, emails, software, systems or services) without their permission, unless it is obvious that they intend others to do this, or you are specifically authorised to do so in writing by the appropriate authority. All users must restrict the use of such data to the purpose defined. Accessing personal data stored on a computer as a precursor to committing a criminal act is a criminal act in itself.

Where information has been produced in the course of employment by the University and the person who created or manages it is unavailable, the responsible line manager may give permission for it to be retrieved for work purposes. In doing so, care must be taken not to retrieve any private information in the account, nor to compromise the security of the account concerned.
Private information may only be accessed by someone other than the owner under very specific circumstances governed by institutional and/or legal processes.

Further information about the monitoring of e-mail and internet use by staff can be found in the Staff Handbook.

7.4 INAPPROPRIATE MATERIAL
You must not create, download, store or transmit unlawful material, or material that is indecent, offensive, defamatory, threatening or discriminatory.

The University of Huddersfield has procedures to approve and manage valid activities involving such material for valid research purposes where legal and with the appropriate ethical approval. For more information, please refer to the relevant School ethics committee.

There is also an exemption covering authorised IT staff involved in the preservation of evidence for the purposes of investigating breaches of the University’s policies and procedures relating to the computing facilities, including the Computing Regulations, or breaches of the law.

7.5 PUBLISHING INFORMATION
Publishing means the act of making information available to the general public; this includes through web sites, social networks and news feeds. Whilst the University generally encourages publication, there are some general guidelines you should adhere to:

7.5.1 REPRESENTING THE UNIVERSITY
You must not make statements that purport to represent the University without the approval of the appropriate University authority.

The University logo must not be used for staff or student personal work or communications. It can, however, be used for student final-year work, project work or research posters.

You must abide by the law and by these regulations when engaged in sending internal or external e-mail. Having a University email address is a privilege akin to using a University letterhead and you must not debase the reputation of the University. You must be certain that e-mail has an entirely legitimate purpose and that it will not cause offence or nuisance.

7.5.2 PUBLISHING FOR OTHERS
You must not publish information on behalf of third parties using the University computing facilities without the approval of the appropriate authority.

8 BEHAVIOUR
The way you behave when using IT should be no different to how you would behave under other circumstances. Abusive, inconsiderate or discriminatory behaviour is unacceptable.
8.1 CONDUCT ONLINE AND ON SOCIAL MEDIA
THE UNIVERSITY’S POLICIES CONCERNING STAFF AND STUDENTS ALSO APPLY TO THE USE OF SOCIAL MEDIA AND YOU MUST FAMILIARISE YOURSELF WITH THE UNIVERSITY’S SOCIAL MEDIA POLICIES. OTHER RELEVANT POLICIES INCLUDE HUMAN RESOURCE POLICIES, CODES OF CONDUCT, ACCEPTABLE USE OF IT AND DISCIPLINARY PROCEDURES.

8.2 SPAM
You must not send unsolicited bulk emails or chain emails other than in specific circumstances. Advice on this is available from IT Support.

8.3 DENYING OTHERS ACCESS
If you are using shared computing facilities for personal or social purposes, you should vacate them if they are needed by others with work to do. Similarly, do not occupy specialist facilities unnecessarily if someone else needs them.

8.4 DISTURBING OTHERS
When using shared spaces, remember that others have a right to work without undue disturbance. Keep noise down (turn ‘phones to silent if you are in a silent study area), do not obstruct passageways and be sensitive to what others around you might find offensive.

8.5 EXCESSIVE CONSUMPTION OF BANDWIDTH / RESOURCES
Use resources wisely. Don’t consume excessive bandwidth by uploading or downloading more material (particularly video) than is necessary. Do not waste paper by printing more than is needed, or by printing single sided when double sided would do. Don’t waste electricity by leaving equipment needlessly switched on.

9 MONITORING AND PRIVACY

9.1 INSTITUTIONAL MONITORING
The University respects the privacy of its users and abides by the Regulation of Investigatory Powers Act 2000.

At the University, there is no routine monitoring of e-mail content or individual web use, although all web activity is logged, and access to sites which are likely to cause a breach of these regulations may be blocked. However, the Director of Computing and Library Services or other appropriate authority reserves the right to sanction investigation and inspection of electronic communications, under the terms of the Act, particularly where there is suspicion, or there appears to be evidence, of an infringement of the regulations or of illegal activity.

In addition to the above, the University monitors and logs the use of the University computing facilities for the purposes of monitoring the effective function of the facilities and their use by staff, students and others.
The University will comply with lawful requests for information from law enforcement and government agencies for the purposes of detecting, investigating or preventing crime, and ensuring national security.

Except as may be required by law, the University accepts no liability for any consequences whether direct, indirect or consequential, arising from a breach of privacy, no matter how caused and whether or not such breach was within the control of the University.

9.2 Unauthorised Monitoring
You must not attempt to monitor the use of the University computing facilities without the explicit permission of the appropriate authority.
This would include:

- monitoring of network traffic;
- network and/or device discovery;
- WiFi traffic capture;
- installation of key-logging or screen-grabbing software that may affect users other than yourself;
- attempting to access system logs or servers or network equipment.

Where IT is itself the subject of study or research, special arrangements will have been made, and you should contact your course leader / research supervisor for more information.

10 INFRINGEMENT

10.1 DISCIPLINARY PROCESS AND SANCTIONS
Breaches of the Computing Regulations will be handled by the University’s disciplinary procedures. For students, further details are available in Section 7 of the Students’ Handbook of Regulations [http://www.hud.ac.uk/registry/regulationsandpolicies/studentregs](http://www.hud.ac.uk/registry/regulationsandpolicies/studentregs) for staff further details are available at [http://hr.hud.ac.uk/downloads/policies/pdf/1000094.pdf](http://hr.hud.ac.uk/downloads/policies/pdf/1000094.pdf). This could have a bearing on your future studies or employment with the University and beyond.

Sanctions may be imposed if the disciplinary process finds that you have indeed breached the regulations, for example, imposition of restrictions on your use of University computing facilities; removal of services; withdrawal of offending material; fines and recovery of any costs incurred by the University as a result of the breach. Details of the sanctions that may be applied by the University under its Student Disciplinary Procedure are set out in the Students’ Handbook of Regulations [http://www.hud.ac.uk/registry/regulationsandpolicies/studentregs/](http://www.hud.ac.uk/registry/regulationsandpolicies/studentregs/)

10.2 REPORTING TO OTHER AUTHORITIES
If the University believes that unlawful activity has taken place, it will refer the matter to the police or other relevant enforcement agency or regulatory body.
10.3 REPORTING TO OTHER ORGANISATIONS
If the University believes that a breach of a third party’s regulations has taken place, it may report the matter to that organisation.

10.4 REPORT INFRINGEMENTS
If you become aware of an infringement of these regulations, you must report the matter to a member of staff in Computing and Library Services or the appropriate authority.
Section 11

REGULATIONS GOVERNING THE USE OF THE UNIVERSITY LIBRARY SERVICES

Introduction

It is the aim of these regulations to help all those who use the University library services to fully exploit the resources for teaching, learning and research.

1. ACCESS AND MEMBERSHIP

1.1 Access to all library and information services is dependent on compliance with the regulations.

1.2 Membership is open without charge to all staff and students currently employed by, or registered at the University, and to affiliates of the University.

1.3 Borrowing by members of another institution is limited to the terms of a formal agreement with the institution concerned, or the terms of any more general reciprocal borrowing agreement to which Computing and Library Services is a signatory.

1.4 Members of the general public may use the Libraries and Learning Resource Centres for reference purposes, but may not use databases supplied under licence for educational purposes or borrow books, except as permitted under the Public Membership scheme.

2. OPENING HOURS

2.1 Hours of opening and closing are posted at the entrance to the Libraries and Learning Resource Centres; they are also published on the Computing and Library Services web site and in a printed leaflet.

2.2 The University Archives and Special Collections which are housed within the Library and Computing Centre are available by appointment. Contact details are published on the Computing and Library Services web site and in a printed leaflet.

3. ARRANGEMENTS FOR BORROWING

3.1 Staff and student members must obtain a University Campus card, which they must carry at all times, and which must be presented in order to gain admission to the Library and Computing Centre. The card must be shown to Computing and Library Services staff if requested. University Campus cards are not transferable and the cardholder is responsible for all items borrowed against the card.

3.2 Student members of the University of Huddersfield should notify Computing and Library Services and the Admissions and Records team of any change of name and/or address.
3.3 Applications for membership from people who are neither staff nor students of the University of Huddersfield must complete a registration form in order to obtain a library card. Such members should notify Computing and Library Services of any change of name and/or address.

3.4 Lost or stolen cards should be reported to Computing and Library Services immediately to prevent fraudulent use. Student members of the University of Huddersfield will be provided with a replacement Campus card by the Admissions and Records team upon payment of £10.00; Staff members will be provided with a replacement card by Computing and Library Services. Other members will be provided with a replacement library card by Computing and Library Services upon payment of £10.00.

3.5 The borrowing entitlement varies according to student, postgraduate, research or staff status. The entitlement will be publicised on the Computing and Library Services web site and through other means as appropriate.

The borrowing entitlement of Affiliate members, i.e. members who are not students or staff of the University of Huddersfield, varies. New members will be informed of their entitlement upon registration.

3.6 Items may be renewed for a further period if not required by another reader.

3.7 Student members are required to return all items on loan to them before the end of their course.

3.8 Journals and reference materials may not be borrowed.

3.9 A senior member of Computing and Library Services staff may permit items not otherwise for loan to be borrowed.

3.10 Fines will be charged for late return of all items in accordance with the advertised scale of charges. If despite written requests for its return, an item remains outstanding, the member concerned will, additionally, be required to pay the cost of replacement.

3.11 A member shall pay the replacement cost of any item borrowed against his/her card which is lost, stolen (or otherwise irrecoverable) or is damaged.

3.12 Items not accessible from the Library’s own resources may be requested via the Inter-Library Loan service. Handling charges are made for this service and members will also be required to observe the terms and conditions relating to Inter-Library Loans which are outlined in a separate leaflet.

4. CONDUCT, SECURITY AND SAFETY

4.1 Users must act with courtesy and consideration for other users and for Computing and Library Services staff at all times. Computing and Library Services has a policy of Zero Tolerance towards aggressive or anti-social behaviour.
4.2 Users must comply with the requirements of the designated areas for silent study and quiet group study.

4.3 All mobile phones must either be switched off or switched to “silent” mode. Conversations on mobile phones may only be held in designated areas; text messaging is permitted throughout the Libraries and Learning Resource Centres.

4.4 The use of personal stereos or similar devices is permissible providing they do not disturb others.

4.5 Smoking is strictly prohibited. The consumption of food and hot drinks is permitted only in the Cyber-café; bottled water may be consumed throughout the Libraries and Learning Resource Centres.

4.6 No book or other item of University property shall be removed from Computing and Library Services without the knowledge and consent of staff designated by the Director of Computing and Library Services. Such staff have the authority to search bags being taken through the exits to satisfy themselves that this rule is being observed. However the right to search will only be invoked if the electronic security system normally used is unavailable or if staff have reasonable grounds to suspect an infringement.

4.7 No book or other item of University property shall be damaged in any way. Users will be required to pay for damage to University property.

4.8 Users must not prejudice the University’s legal obligations, particularly with regard to Copyright (e.g. photocopying), Data Protection (e.g. access to and use of information held in computer storage) and off-air recordings (all off-air broadcasts are to be used for educational purposes only). Users must comply with the directions of staff in these matters and seek their advice when in doubt.

4.9 Members must not divulge any Usernames or Passwords that are assigned to enable access to University computing systems and electronic resources.

4.10 In accordance with the University’s safety policy, all users must co-operate by taking proper care of the health and safety of themselves and others. Occupants must follow any directions of staff in the event of an evacuation or other emergency. Any accident or hazardous situation should be immediately reported to a member of staff.

4.11 Equipment such as laptop computers may be brought into the Libraries and Learning Resource Centres. Users must ensure the laptops are in good working condition, and do not pose any health and safety hazards e.g. through trailing cables. Computing and Library Services staff have the authority to ask users to remove any equipment which may cause a hazard to other users, or which may interfere with the University mains supply or networks.

5. INFRINGEMENT OF REGULATIONS
5.1 In the event of any infringement of these regulations the Director of Computing and Library Services, or other designated member of staff is empowered:

a) to require an individual to leave the premises
b) to suspend the borrowing rights of an individual
c) to disable an individual’s computer account

5.2 After an initial investigation, which must include an opportunity for the user to make representations, the Director of Computing and Library Services, or other designated member of staff is empowered to restore privileges, or to withdraw them, or to impose new conditions of use more restrictive than the regulations. The period of withdrawal will not exceed two weeks unless formal disciplinary procedures are commenced but new conditions of use could be imposed until the end of an academic session. Furthermore, the Director of Computing and Library Services may report a student to the dean of their school and a member of staff may be reported to their line manager via Human Resources.

5.3 In the event of an infringement by a student which is sufficiently serious, formal University Student Disciplinary Procedures will be invoked as detailed in the relevant handbook.

5.4 In the event of an infringement by a member of the University staff which is sufficiently serious, formal University Staff Disciplinary Procedures will be invoked as detailed in the relevant handbook.

5.5 In the event of an infringement by a member of the general public or an affiliate, a report will be made to the Director of Computing and Library Services and may be referred to the Vice-Chancellor.

5.6 If a formal warning is the result, any further infringement may lead to escalation of the disciplinary procedures.

5.7 Criminal acts may be reported to the police via the Pro Vice-Chancellor (Teaching and Learning).
APPENDIX 1 SECTION E - THE ASSESSMENT OF STUDENTS ON COURSES OF STUDY

Students are advised to seek impartial help, advice, guidance and support from sabbatical officers in the Students Union.

E1. GENERAL PRINCIPLES

E1.1 Course outcomes

The purpose of assessment is to enable students to demonstrate that they have addressed the learning outcomes of the course of study and achieved the standard required for the award they seek. All courses of study are subject to regulations which relate the assessment requirements of the course to its learning outcomes, and it is within these assessment regulations that examiners make their judgements on student performance.

E1.2 Confirmation of standard

Assessment must reflect the achievement of the individual student in addressing course learning outcomes, and at the same time relate that achievement to a consistent national standard of awards. It must therefore be carried out by competent and impartial examiners, and by methods which enable them to assess students fairly. In order to achieve this end, External Examiners must be associated with all assessments which may count towards an award; their particular role is to ensure that the standard of awards is maintained.

E1.3 Examiners' judgement

1. Assessment is a matter of judgement, not simply of computation. Marks, grades and percentages are not absolute values but symbols used by examiners to communicate their judgement of different aspects of a student's work, in order to provide information on which the final decision on a student's fulfilment of course learning outcomes may be based. It is particularly important for students to understand the nature of examiners' discretion and judgement when details of individual marks are available to them.

2. Within the constraints imposed by the requirements of E1.1 and subject to guidance issued by the Senate, examiners have discretion in reaching decisions on the awards to be recommended for individual candidates. They are responsible for interpreting the assessment regulations for the course if any difficulties arise, and their academic judgements cannot, in themselves, be questioned or overturned.

E1.4 Information for students

1. The University will ensure that the assessment requirements for courses of study are made known to students. The assessment scheme of an individual course of study is subject to both institution-wide regulations and regulations specific to that course, and students will be made aware of the detailed requirements of both sets of regulations.
2. The University will make available to students information about the grounds on which they may request that Assessment Boards be asked to review their decisions and about the arrangements for dealing with any such requests.

**E1.5 Responsibilities of students**

1. It is the responsibility of students to attend examinations and submit work for assessment by the agreed submission date and to provide the examiners in advance of their meeting with any relevant information on personal circumstances which may have affected performance and which they wish the examiners to take into account. By attending the examination, a student is confirming that he or she is fit to undertake that examination.

2. If a student fails to attend examinations or submit work for assessment without good cause, the examiners have authority to deem the student to have failed the assessments concerned. The submission of work is receipted. In cases of dispute over submission, claims by students to have submitted work will only be considered in cases where the student provides a copy of the receipt to demonstrate submission.

3. Assessed work which is submitted late but within five working days of the agreed submission date will be accepted and the maximum mark available for that piece of assessment will be 40%. This facility does not apply to the submission of assessed work relating to Tutor Reassessment, referral or deferral requirements but does apply to previously agreed extended or renegotiated deadlines.

4. If a student fails, without good cause, to provide the examiners in advance of their meeting with information about any personal circumstances that may have affected performance in assessments, the Senate or other body authorised by it to consider appeals against an examiner’s decision has authority to reject the appeal on those grounds.

5. If a student is found to have cheated or acted in a way which may have resulted in an unfair advantage, the Academic Integrity Officer, Deputy Academic Integrity Officer and the Academic Integrity Committee have authority to deem the student to have failed part or all of the assessments and the authority to determine whether or not the student shall be permitted to be reassessed.

**E1.6 Extenuating Circumstances**

1. Course Assessment Boards may take remedial action if the Extenuating Circumstances Panel is satisfied that a student’s absence from an examination, or failure to submit work for assessment by the agreed submission date, or failure to pass one or more elements of the course work assessment can be attributed either to illness or to other circumstances of a personal nature. By attending an examination it will be assumed that the student has declared that he or she is fit to sit that examination and a claim for extenuating circumstances will not normally be accepted.

2. Where the student has failed to secure a pass mark for the module(s) concerned, remedial action is to permit another attempt at the assessment(s) for which an EC
claim has been approved. The results of this reassessment will be considered at
the next scheduled Course Assessment Board.

3. Where the student has secured a pass in the module(s) concerned but has not
submitted work for one or more element(s) of assessment (as defined in the module
specification) for which an EC claim has been approved, remedial action for
this/these element(s) of assessment is to permit another attempt at the
assessment(s) concerned. The results of this reassessment will be considered at
the next scheduled Course Assessment Board. No further discretion will be applied
against this/these element(s) of assessment.

4. Where the student has secured a pass in the module(s) concerned and has
submitted work for one or more element(s) of assessment (as defined in the module
specification) for which an EC claim has been approved, remedial action for
this/these element(s) of assessment will be for the Course Assessment Board to
take the approved EC claim into account when deciding a candidate’s classification
in accordance with University guidelines. Submission against an element of
assessment includes either partial or full submission. No further attempts at
this/these element(s) of assessment will be granted.

5. If a student suffers from a short-term illness or experiences serious personal
difficulties which warrant a request for an extension of course work submission
dates, he or she must submit a written request for such an extension as soon as
possible and no later than two working days after the agreed submission date (other
than in exceptional circumstances agreed by the Course Assessment Board).
Extensions cannot be applied to deadlines set for Tutor Reassessment or work that
has been formally referred or deferred by an Assessment Board.

6. Students who wish to claim that either

i) failure to attend an examination, or
ii) failure to submit work by the agreed submission or extension date, or
iii) poor performance in any element of the coursework assessment

was due to illness or other extenuating circumstances must make such a claim in
writing within five working days of the submission or examination date. The
written claim must be submitted to the School Office of the School responsible for
the course.

7. The claims that are submitted will first be considered by the Extenuating
Circumstances Panel. That panel will consider the claims and submit its decisions
to the Course Assessment Board.

8. When considering an approved claim for extenuating circumstances, the Course
Assessment Board will not attempt to judge how a student might have performed in
different circumstances with a view to awarding extra marks.
E2. REGULATIONS GOVERNING ASSESSMENT IN THE CREDIT ACCUMULATION AND TRANSFER SCHEME

E2.1 The award of credit

1. Candidates are awarded credit at an appropriate Course Assessment Board for each module that they pass, including a condoned pass. Where a student is an associate student and is not linked to a named course, Schools must make arrangements to assign responsibility for the award of credit to such students to an appropriate Course Assessment Board. Subject to the provisos contained in E2.9 and E3.12.3 candidates may not be required to retake a module which they have passed.

2. Candidates are not permitted to retake a module which they have passed with a view to obtaining a higher mark.

E2.2 Graded and non-graded modules

1. Each module must have the status either of being graded or of being non-graded.

2. The classification of honours degrees must be calculated so that all Intermediate level modules carry a weighting of one and all Honours level modules carry a weighting of two. All Honours level modules contributing to a classified award must be graded. A maximum of 40 Intermediate level credits may be ungraded. An exception to this rule will be permitted in the case of existing ungraded placement Intermediate level modules.

3. Candidates who obtain an overall mark of 40% or more on a graded module will be deemed to have passed that module, unless additional criteria have been explicitly approved as part of the validated module specification. Candidates studying health or social work related modules with a professional practice component, and for which Professional and Statutory Bodies have set a requirement that these be passed the following rule will apply:

1. Where the theory and practice components are 40% or above overall and the practice element has been passed, the credit will be awarded with the appropriate full mark and grade;

2. Where the theory component is 40% plus and the practice component has been referred the credit will not be awarded until the practice component has been passed and the full theory mark and grade will be awarded.

3. Where the theory component is referred and the practice component has been passed the credit will not be awarded until the theory component has been passed, and the mark and grade will be capped at 40%.

4. Where either the practice and/or theory component is failed after referral the standard University regulations for retaking modules will apply and the mark and grade will be capped at 40%.
E2.3 Referral, failure and tutor re-assessment

1. The decision as to whether the result should be declared as deferred, referred, condoned or failed lies with the Course Assessment Board. These decisions apply to graded and ungraded modules. The nature of the assessment to retrieve a referred module is at the discretion of the Assessment Board and may reflect whether or not the student submitted the original attempt. The maximum mark available for a graded module following referral is 40%.

Undergraduate awards

2. Candidates on undergraduate awards who at any point in their studies fail to achieve a pass in a single 20 credit module or a single 30 credit module or in two 10 credit modules but who have passed all other modules in that level of award (i.e. Foundation, Intermediate or Honours level) will be awarded a condoned pass in the module(s) in question provided that:

1. the mark achieved in the module(s) in question is in the range of 30% to 39%
2. the module has not been identified as compulsory for that course
3. the candidate has achieved the learning outcomes, educational aims and all other modules of the level as a whole
4. the student would otherwise have been referred, remained referred (through deferral) or failed the module in question
5. the overall average achieved by the candidate for all modules at that level exceeds 40%
6. the module is not currently subject to a proven allegation that the student has failed to abide by the academic integrity regulations
7. the total condoned credits for the candidate do not exceed 60 credits across a 360 credit honours award (pro rata for awards of fewer credits)

Condonement is not permitted on ungraded modules, pre-foundation modules or awards, or on postgraduate modules or awards.

3. On undergraduate awards, candidates who achieve an overall mark of 39% or below in a graded module or who fail to secure a pass in an ungraded module will normally be referred by the Course Assessment Board in the first instance, unless the module has satisfied the condonement criteria in section E2.3.2. The nature of the assessment to retrieve a referred module is normally the submission of a reworked attempt of the initial component(s) of assessment which have scored 39% or below. The maximum mark available for a graded module following referral is 40%.

4. On undergraduate awards, candidates who achieve an overall mark of 39% or below in a graded module or who fail to secure a pass in an ungraded module will normally be failed by the Course Assessment Board in the second instance, unless the module has satisfied the condonement criteria in section E2.3.2.
Postgraduate awards

5. Subject to the provisions of E2.2.3, in graded modules on postgraduate awards, candidates who achieve an overall mark within the range 30% to 39% will normally be referred by the Course Assessment Board. Candidates who achieve an overall mark of 29% or below will normally be failed by the Course Assessment Board. In the light of a candidate’s good overall performance, a Course Assessment Board may require that a candidate who has achieved a mark of 29% or below should be referred provided that:

1. the module in question has not been identified as ‘not open for Approved Referral’

2. the module in question carries a value of 30 credits or below

3. the profile of Approved Referral for an individual student does not exceed a total of 30 credits across the 180 of a full MA/MSc (pro rata for PGDip or PGCert or other), or 30 credits across the 120 M level credits within the M level stage of an integrated masters award

4. the student’s profile to date does not include a breach of the academic integrity regulations at master’s level

5. all other modules taken to date on the course have been passed at a minimum of 50%

This should be recorded as an Approved Referral. The nature of the re-assessment is at the discretion of the Course Assessment Board. The maximum mark available for the module following referral or approved referral is 40%.

6. Subject to the provisions of E2.2.3, where a candidate fails a module the candidate will have to undertake a new and different full set of assessment activities, normally when the module is next offered in a subsequent academic session. Exceptionally and for dissertation or project modules only, an Assessment Board may require a candidate who has failed a dissertation or project module to rework the original assessment rather than undertake a new and different assessment. The maximum mark available for a module taken for a second time is 40%.

All awards

7. **Tutor Re-assessment** is where a candidate is given the opportunity to resubmit once a piece of work and for it to be re-marked prior to the meeting of the Course Assessment Board at which the module is to be considered. In calculating the mark for a module following a Tutor Re-assessment, the higher of the marks achieved for the assessment will be the mark used in the calculation of the overall module mark, subject to the provisions of section E2.3.10. Tutor Reassessment is not available for formal examinations but may be available for in-class tests.

8. A Tutor Re-assessment may only be applied when:

   i) A candidate achieves a mark of between 0 and 39% in any assessment other than a formal examination;

   ii) It is possible for the candidate to complete the work and for it to be marked and moderated before the Assessment Board meets.
9. A Tutor Re-assessment will not be offered to a candidate who fails to submit a piece of work for the original assessment.

10. The maximum mark for a successful Tutor Re-assessment will be 40%.

11. Assessments other than formal examinations and end assessments as identified in the Assessment and Feedback Strategy should be marked and made available for return to candidates within three term-time weeks of the submission date – in cases of extensions or renegotiated deadlines, the return date should be within three term-time weeks of the revised submission date.

12. Other than in the case of a Tutor Re-assessment, deferred or referred work can only be considered after the initial result has been formally published as a deferral or referral by a Course Assessment Board. Assessment of deferred or referred modules must be completed by a standard time as specified in the University’s assessment timetable published by the Head of Registry. Where a candidate is deferred or referred in a pre-requisite module the work should normally be assessed before the candidate starts the post-requisite module. Where a piece of work submitted for Tutor Re-assessment attains a mark less than 40% and the candidate’s overall mark for the module is less than 40%, the Course Assessment Board will follow the regulations set out in E2.3.2-E2.3.6.

13. In calculating the mark for a module following a referral or deferral, the higher of the marks achieved for each element of assessment will be the mark used in the calculation of the overall mark.

14. When a graded module is passed following a referral, the grade recorded for the module as a whole will be no higher than 40% (grade D) regardless of the actual grade received.

15. When an overall mark of less than 40% is obtained in a module following referral, the candidate will be deemed to have failed that module.

16. Subject to the provisions of E1.5.3, if a student fails to attend an examination or to submit assessed work by the agreed submission date (after allowing for any extension that might have been granted) the Course Assessment Board will record a mark of zero, leading to failure in that examination or assessed work, unless it is satisfied that there are good grounds for treating the student differently.

E2.4 Condonement

1. Condonement applies to Foundation, Intermediate and Honours level modules only.

2. In all cases where a module has been condoned, the credit for the module will be awarded, and the actual mark achieved will be recorded.

3. Where a module has been condoned, the module will be accepted as a prerequisite for subsequent relevant modules.
E2.5 Progression

**Full-time undergraduate awards**

1. At all times, progression shall be subject to the provision that it is still possible for the candidate to complete the course within the maximum specified period.

2. Candidates at the point of initial consideration by the Assessment Board shall have the right to be referred in any module where credit has not been awarded.

3. Candidates at the point of initial consideration by the Assessment Board who have been awarded a total of 120 credits for the current stage of assessment may progress.

4. Progression decisions for all other candidates at the point of initial consideration by the Assessment Board will be deferred pending the outcome of referral assessments.

5. Candidates at the point of second consideration or subsequent by the Assessment Board who have been awarded a total of 120 credits for the current stage of assessment may progress.

6. Candidates at the point of second consideration or subsequent by the Assessment Board who have been awarded a minimum total of 90 credits for the current stage of assessment may progress with any failed modules to be retrieved in the subsequent session.

7. Candidates at the point of second or subsequent consideration by the Assessment Board who have been awarded a total of 80 credits for the current stage of assessment may progress with a failed module to be retrieved in the subsequent session provided that the failed 40 credits is a single module in which the candidate has achieved a minimum overall mark of 30%.

8. Candidates at the point of second or subsequent consideration by the Assessment Board who have been awarded a total of 80 credits for the current stage of assessment may progress with incomplete modules to be retrieved in the subsequent session provided that the profile of incomplete modules includes a decision of deferral (from either the first or second instance of consideration by the Assessment Board).

9. Candidates at the point of second or subsequent consideration by the Assessment Board who have been awarded at least 50 credits for the current stage of assessment but who do not fall into one of the categories outlined in points E2.5.6, E2.5.7 or E2.5.8 above may not progress but will be permitted to return in the subsequent session to retrieve failed modules.

10. Candidates at the point of second consideration or subsequent by the Assessment Board who have been awarded 40 or fewer credits for the current stage of assessment shall be deemed to have failed the course and lose any opportunity for further reassessment.
11. **Part-time undergraduate** candidates shall be subject to the same progression principles outlined above, taking account of the maximum number of credits permitted for registration by a part-time candidate.

**All awards**

12. Subject to relevant progression regulations, candidates at whatever point in their course of study shall have the right, following a first failure, to repeat and be reassessed once only (including, where appropriate, Tutor Reassessment and referral) in the failed module, provided that it is still possible to complete the course within the maximum specified period.

13. Candidates may, following a first failure in an optional module (and in accordance with the appropriate course regulations), choose to substitute a different optional module in preference to exercising their entitlement to reassessment. For the purpose of these regulations, such modules will be termed *substituted modules*. Candidates who elect to study substituted modules will, in so doing, sacrifice their entitlement to a second attempt in their failed module(s).

14. *Timing of initial reassessments of failed modules*

A second attempt at a failed module will normally take place in the subsequent session or in the case of postgraduate awards, when the module is next offered.

15. Subject to the provisions of E2.2.3, in graded modules, the grade awarded for the module on reassessment should be no higher than 40% (grade D) regardless of the actual grade achieved. The candidate’s transcript will record the grade awarded on the second attempt of the module.

16. **Failure to achieve an award**

i) Candidates who, after exercising their entitlement to a second attempt at a failed module, fail to achieve a pass in undergraduate modules totalling 60 credit points at any level or combination of levels, shall normally lose their right to count their existing credits towards any award on which they are enrolled and for which they have not yet become eligible.

ii) Candidates who, after exercising their entitlement to a second attempt at a failed module, fail to achieve a pass in modules totalling 30 credit points at postgraduate level, shall normally lose their right to count their existing credits towards any award on which they are enrolled and for which they have not yet become eligible.

iii) A candidate’s registration for an award of the University will be terminated if two academic years (including standard resit periods) elapse without the award of credit. The Assessment Board will confer any interim award to which the student is entitled.

**E2.6 Subsequent reassessment of modules**

1. Exceptionally and with the approval of the relevant Course Assessment Board, a candidate may be permitted, following failure in a second attempt at a failed module, to undertake a third attempt at the module in question. This does not apply to modules on some professional courses.
2. Where a candidate has failed a second attempt at a core or compulsory module, the relevant Course Assessment Board may refuse an application for a third attempt even though the candidate has not yet reached the limits of failure laid down in E2.5.16.

E2.7 Changed modules

Undergraduate awards
1. Module assessment requirements may change from year to year. An undergraduate candidate who is undertaking a module for a second time should normally expect to be assessed using the same evidence and criteria which were current at the point of assessment on the first attempt. In cases where it is not practicable for candidates to be reassessed using the same assessment requirements as at the first attempt, the appropriate assessment board may, at its discretion, make such special arrangement as it deems appropriate.

Postgraduate awards
2. A candidate who is undertaking a module for a second time may not demand reassessment using evidence and criteria which are no longer current in the module. The appropriate assessment board may, at its discretion, make such special arrangement as it deems appropriate in cases where it is not practicable for candidates to be reassessed using the same assessment requirements as at the first attempt.

E2.8 Registration for modules

1. Full-time undergraduate students will normally register for tuition in no more than 120 credit points each year. Full-time postgraduate students will normally register for tuition in no more than 180 credits.

2. Full-time students shall be progressed from one stage to the next provided 90 credit points have been recorded in the earlier stage.

3. In exceptional circumstances, at the discretion of the Course Assessment Board, a student may be registered for tuition in 160 credit points.

4. Part-time undergraduate students will normally register for tuition in no more than 80 credit points per academic session except at the explicit and recorded discretion of the Course Assessment Board. Part-time postgraduate students will normally register for tuition in no more than 90 credit points per academic session.

5. The responsibility for ensuring that module choices have been made and correctly recorded rests with the student.

6. The Head of Registry will publish an annual timetable by which continuing and new students must record their modules for the academic session.

7. Students do not have the right to change their module choices. Exceptionally, a student may be allowed to change up to the end of the third week of the academic session. However, to make such exceptional module changes, the student will need to obtain the express permission of the course leader and to complete all the
necessary paperwork. Students must note that any agreed change(s) can only be accommodated within the timetable slot(s) as originally allocated.

8. A student is entitled to be assessed only in those modules on which he or she is formally enrolled. If a student changes modules without seeking approval and/or without changing registration, any work in connection with such module(s) will not be formally assessed.

9. If a student fails to confirm his or her recorded module choices, he or she will only be assessed in those modules which have been registered.

10. If a student enrolls for a module which is subsequently not taken, the Course Assessment Board will record a fail in that module.

E2.9 Registration for awards

Any specific credit accumulated by a candidate shall normally be deemed to be general credit if the candidate has not converted that specific credit into an award of the University within a period of six years following the award of the specific credit.

E2.10 The classification of Bachelor’s degrees awarded with honours

1. In a course leading to the award of a Bachelor’s degree with honours, classification will be based on a weighted numerical average of marks awarded in graded I and H level credits undertaken in a student’s course of study, with the best marks totalling 100 credits at each level being included in the calculation. Subject to the provisions of E2.4, candidates must have achieved a pass mark in all modules. For candidates returning to complete an honours degree having previously accepted an interim award, classification will include those intermediate and honours level modules which formed part of the interim award.

2. In calculating the weighted numerical average for the Bachelor’s degree with honours, the calculation shall be conducted on a pro rata basis with H level credits counting to the calculation will carrying a weighting of two and graded I level credits counting to the calculation carrying a weighting of one (subject to the provisions of E2.2.2).

3. The Integrated Master’s Degree comprises a first and second cycle award. In calculating the numerical average for the classified first cycle award of Bachelor’s degree with honours, all H level credits counting to the calculation will carry a weighting of two and all graded I level credits counting to the calculation will carry a weighting of one (subject to the provisions of E2.2.2). Confirmation of the first cycle award is recorded by the Course Assessment Board on the completion of H level modules but its conferment is deferred until the conclusion of the student’s registration for the course or the conferment of the second cycle award.

4. In the case of a designated sandwich course, weighted marks attached to S level credits may also play a part in determining the classification of a degree with honours. Such S level credits will be weighted at one.

5. In a course leading to the award of a Bachelor’s degree with honours where the student has received accreditation for prior learning, other than by virtue of an end
award and subject to the provisions of E2.10.1, the classification will be based on a numerical average of marks awarded in up to 100 graded I and 100 H level credits undertaken in the student’s course of study as a registered student of the University. Subject to the provisions of E2.4, candidates must have achieved a pass mark in all modules.

6. Within a 0.5% discretion band below a higher classification banding and subject to the published criteria, a Course Assessment Board may exercise academic judgement (including that relating to poor performance due to recognised extenuating circumstances) in determining classifications, and may also take account of a profile of the marks that have contributed to the overall numerical average. In cases where a student profile includes a module with an unretrieved approved extenuating circumstance, a 1.5% discretion band will apply provided that at least one other criterion is satisfied. Course Assessment Boards must be guided by the following mark bands in assigning classifications:

- 69.5% and above: First Class
- 59.5% to 69.49%: Upper Second Class
- 49.5% to 59.49%: Lower Second Class
- 40% to 49.49%: Third Class

E2.11 The classification of foundation degrees

1. In a course leading to the award of foundation degree, classification will be based on a numerical average of the overall marks awarded at intermediate level, with the best marks totalling 100 credits at intermediate level being included in the calculation. Subject to the provisions of E2.4, candidates must have achieved a pass mark in all modules.

2. Within a 0.5% discretion band below a higher classification banding and subject to the published criteria, a Course Assessment Board may exercise academic judgement (including that relating to poor performance due to recognised extenuating circumstances) in determining classifications, and may also take account of a profile of the marks that have contributed to the overall numerical average. In cases where a student profile includes a module with an unretrieved approved extenuating circumstance, a 1.5% discretion band will apply provided that at least one other criterion is satisfied. Course Assessment Boards must be guided by the following mark bands in assigning classifications:

- 69.5% and above: Distinction
- 59.5% to 69.49%: Merit
- 40% to 59.49%: Pass

E2.12 The classification of non-honours qualifications

In a course leading to an award other than an honours qualification, classification will be based on a numerical average of the overall marks awarded. Within a 0.5% discretion band below a higher classification banding and subject to the published criteria, a Course Assessment Board may exercise academic judgement (including that relating to poor performance due to recognised extenuating circumstances) in
determining classifications, and may also take account of a profile of the marks that have contributed to the overall numerical average. In cases where a student profile includes a module with an unretrieved approved extenuating circumstance, a 1.5% discretion band will apply provided that at least one other criterion is satisfied. Course Assessment Boards must be guided by the following mark bands in assigning classifications

<table>
<thead>
<tr>
<th>Marks</th>
<th>Classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>69.5% and above</td>
<td>Distinction</td>
</tr>
<tr>
<td>59.5% to 69.49%</td>
<td>Merit</td>
</tr>
<tr>
<td>40% to 59.49%</td>
<td>Pass</td>
</tr>
</tbody>
</table>

When calculating the classification average for merit or distinction for an interim award, the average to be used must be drawn from the marks achieved for the required modules at the level of study of the award.

**E2.13 Failure to meet the requirements for an Integrated Master’s Degree**

Where a candidate fails to meet the requirements for an Integrated Master’s Degree, the candidate will be considered for the award of a bachelor’s degree with honours. This award will be subject to the provisions of E2.10 and will exclude marks awarded in modules taken in the final year of the Integrated Master’s Degree course.

**E3. EXTENUATING CIRCUMSTANCES, ASSESSMENT BOARDS AND EXTERNAL EXAMINERS**

**E3.1 Extenuating Circumstances**

An Extenuating Circumstances (EC) Panel is responsible to the UTLC for overseeing all matters relating to the approval of EC claims and onward reporting to the relevant Assessment Board. Authority to make decisions on EC claims in accordance with processes and criteria prescribed and monitored by the EC Panel is delegated to Registry. The EC Panel’s specific responsibilities are:

i) To establish and oversee procedures for the submission and receipt of EC claims by students in accordance with the University’s regulations.

ii) To develop and ensure the dissemination of a strategy for ensuring that staff and students are aware of their rights and responsibilities in relation to processes for the submission of EC claims.

iii) To oversee procedures for the consideration and conclusion regarding the acceptability of submitted EC claims in accordance with the University regulations.

iv) To oversee the establishment of criteria regarding the required supporting evidence*.
v) To monitor recommendations to the CAB regarding appropriate submission dates which may be in excess of the standard resit period in cases where the grounds presented for the EC claim are ongoing.

vi) To oversee processes for keeping full and accurate records of the decisions taken in respect of EC claims.

vii) To ensure the maintenance of the confidentiality of all submitted claims and evidence.

viii) To ensure effective and timely notification to the student and, where relevant, the Assessment Board of the outcome of the consideration of an EC claim.

* On very rare occasions and in exceptional circumstances only (such as situations involving extreme abuse or severe domestic violence) independent documentary evidence may not be available, although the normal expectation would be for a medical or counselling note to be forthcoming. In such cases, direct communication between the chair of the EC Panel (or nominee) and the student concerned may result in a written statement to the EC Panel by the chair (or nominee) confirming the existence of confidential circumstances that justify the approval of an EC claim.

E3.2 Appointment of assessment boards

1. For every course of studies approved as leading to an award there must be an Assessment Board whose constitution and terms of reference accord with the approved regulations for the course and which includes the External Examiner(s) approved by the Senate. The constitution of the Board may include provision for the appointment of subsidiary examination committees and the same Board may be responsible for more than one course of study.

2. The assessment boards are appointed in accordance with procedures determined by the Senate and are accountable to that body for the fulfilment of their terms of reference.

E3.3 Student membership of assessment boards

No student may be a member of an assessment board or attend an examiners' meeting other than as a candidate for assessment.

E3.4 Course Assessment Boards

1. A Course Assessment Board will not change moderated marks brought before it but is responsible for:

i) reaching decisions about the performance of candidates (passed, referred, deferred, condoned or failed) in modules based on the moderated marks brought forward to the Board,

ii) confirming moderated marks,
iii) making decisions (where appropriate) on extenuating circumstances relating to student performance both in particular modules and across an entire course,

iv) (where appropriate) exercising quality control within modules and across courses to review the comparability and fairness of marks,

v) making decisions about student progression between stages,

vi) deciding on classifications and making recommendations for the conferment of awards,

vii) exercising various discretionary powers.

No other body has authority to recommend conferment of an award, nor to amend the decision of an approved and properly constituted Course Assessment Board acting within its terms of reference and in accordance with the regulations for the courses of study. A Course Assessment Board may, however, be required to review a decision or may have that decision annulled under the terms of E3.8.

The Chair has the authority to act on behalf of the Assessment Board except in the cases of the conferment of an award. The action must be recorded and reported to the next meeting of the Assessment Board.

Queries from students relating to unconfirmed marks should be addressed in accordance with Section C of Appendix 4 in this Handbook.

2. Course Assessment Boards may be responsible for either a single course or for two or more closely related courses which have a similar structure and a high proportion of common modules.

3. The membership of each Course Assessment Board will normally comprise the Chair nominated by the Dean of School and who will be independent of the course being considered, the course leader(s), module leader(s) as necessary and the Course External Examiner(s). Any members who have a private relationship with any candidate to be considered must declare their interest at the start of the Assessment Board and may be required to leave the Board at the point of consideration of that candidate or that candidate’s cohort.

4. The Chair, course leader and External Examiner should be in attendance for the Course Assessment Board to be quorate. If the External Examiner cannot attend a module leader should attend in place of the External Examiner. Where a University award is to be conferred an External Examiner must be in attendance. Where for very good reason this is not possible the External Examiner must confirm any awards to be made in writing. The Board may not proceed in cases where it is not quorate.

**E3.5 Module Leaders**

1. The responsibility for managing the assessment of modules which are completed shall lie with the designated Module Leader.
2. **The Module Leader will be responsible for:**

   i) the collation of marks,

   ii) oversight of all second marking and other moderation procedures required to ensure the full and proper assessment of student performance,

   iii) authorisation and arrangements for Tutor Reassessments in appropriate units of reassessment;

   iv) ensuring that the External Examiner has access to all necessary information and scripts to enable him or her to carry out full and proper moderation of students’ work on the module,

   v) ensuring that the External Examiner has detailed knowledge of the moderation processes undertaken by the module teaching team,

   vi) confirming a final and complete set of marks with the agreement of the External Examiner.

3. Each School shall be responsible for ensuring that mechanisms are in place for ensuring that Module Leaders perform the tasks laid out above in E3.5.2.

**E3.6 External Examiners**

1. External Examiners will be appointed in the first instance to modules on the basis of the relevance of their academic expertise. External Examiners will also be assigned to one or more Course Assessment Boards. As members of Course Assessment Boards, External Examiners will exercise both an oversight of students’ overall performance and carry out a responsibility for monitoring the comparability and fairness of the assessment processes for all the modules which comprise the Course.

2. The External Examiner will not comment on the marks awarded to individual students when seen as part of a sample selection but will:

   i) undertake moderation of student performance within modules,

   ii) assure and comment on the comparability of marks between the modules ascribed to him or her,

   iii) monitor the effectiveness of the processes used to moderate scripts, and, where necessary, make recommendations to improve or develop these processes.

3. External Examiners need not be associated with the assessment of performance at foundation level or pre-foundation level with the following exceptions:

   i) where foundation level or pre-foundation level modules lead to a University award – an External Examiner must be appointed to the course
ii) in the case of foundation level modules, when examining modules on foundation degrees.

4. External Examiners must attend the Course Assessment Boards ascribed as their responsibility at which awards are due to be conferred.

5. No recommendation for the conferment of an award may be made without the written consent of the approved External Examiner(s).

6. On any matter which the External Examiner(s) have declared a matter of principle, the decision of those examiner(s) shall either be accepted as final by the Course Assessment Board or shall be referred to the Chair of University Teaching and Learning Committee. Any unresolved disagreement between External Examiners shall be referred to the Senate.

E3.7 Secretary of assessment boards

The Senate shall ensure that arrangements are made to appoint a secretary to each assessment board and shall require the secretary to maintain detailed and accurate records of the board’s proceedings.

E3.8 Appeal against a decision of an assessment board

1. The Senate, or a body authorised by it to act as an Appeals Committee, may in the following circumstances require an assessment board to reconsider its decision:

   i) if a candidate requests such a reconsideration and establishes to the satisfaction of the Senate or Appeals Committee that his or her performance in the assessment was adversely affected by illness or other factors which he or she was unable, or for valid reasons unwilling, to divulge before the assessment board reached its decision. The candidate’s request must be supported by medical certificates or other documentary evidence acceptable to the Senate or Appeals Committee;

   ii) if the Senate or Appeals Committee is satisfied on evidence produced by a candidate or any other person that there has been a material administrative error, or that the assessments were not conducted in accordance with the current regulations for the course, or that some other material irregularity relevant to the assessments has occurred.

2. Disagreement with the academic judgement of an assessment board in assessing the merits of an individual piece of work or in reaching any assessment decision based on the marks, grades and other information relating to a candidate’s performance cannot in itself constitute grounds for a request for reconsideration by a candidate.

3. If after reconsideration, in the circumstances detailed in E3.8.1ii), the assessment board does not modify its decision, the Senate may annul that decision if in its opinion due and proper account has not been taken of those circumstances.

4. In cases of procedural or other irregularity, or where it is not possible to reconvene an assessment board, the Senate shall have power to annul a decision of the
assessment board without making a prior request for reconsideration. If an error or irregularity is found to have affected more than one candidate, the Senate may annul the whole assessment or any part of it.

5. When a decision has been annulled it is the responsibility of the Senate to take action, including if necessary the appointment of new External Examiners, to ensure that recommendations are made to it in respect of the candidate(s) concerned by an approved assessment board.

6. The Senate shall ensure that adequate permanent arrangements are established for dealing with any requests by candidates or with other evidence which may lead to the reconsideration or annulment of a decision.

E3.9 Viva voce examination

External Examiners have a right to examine any student viva voce in addition to the assessments specified in course regulations. This form of assessment may only be used to assist in determining borderline cases at the point of classification.

E3.10 Valid reasons for poor performance

If it is established to the satisfaction of an assessment board that a student’s performance has been adversely affected by authenticated extenuating circumstances the Board shall act under 1 to 4 below (subject to the provisions of E1.6).

1. A student in this situation has the right to be reassessed as if for the first time in any or all of the elements of assessment, as specified by the Assessment Board. If an assessment was itself a second attempt the student shall be permitted to resit as if for the second time.

2. Where a Course Assessment Board is satisfied that there is sufficient evidence of the student’s achievement, or this evidence is subsequently obtained, the student may be recommended for the award for which he or she is a candidate, with or without honours, classification or Distinction as appropriate. In order to reach a decision a Board may assess the candidate by whatever means it considers appropriate.

3. An Aegrotat award may be recommended, where it is available, when the Course Assessment Board does not have enough evidence of the student’s performance to recommend the award for which the student was a candidate or a lower award specified in the course regulations, but is satisfied that but for illness or other valid cause the student would have reached the standard required.

4. Before an award resulting from a recommendation under 2 or 3 above is conferred, the student must have signified that he or she is willing to accept the award and understands that this implies waiving the right to be reassessed under 1 above.
E3.11 Disability

If a student is unable, through disability, to be assessed by the normal methods, examiners may vary the methods as appropriate, bearing in mind the learning outcomes of the course and the need to assess the student on equal terms with other students.

E3.12 Academic Integrity (including cheating and plagiarism)

1. The Senate will establish procedures under which allegations that students have committed an offence relating to academic integrity will be investigated fairly and impartially with a view to establishing the facts.

2. Where a case of a breach of the University’s academic integrity regulations is suspected the assessment board will not reach a decision on the student's performance until the facts have been established.

3. Where it is established that a student has committed an offence relating to a breach of the University’s academic integrity regulations or otherwise sought to gain an unfair advantage the Academic Integrity Officer or Academic Integrity Committee shall assign the appropriate penalty in accordance with the University of Huddersfield Penalties Tariff.

E4. REGULATIONS ON EXTERNAL EXAMINERS

External Examiners are appointed to ensure that all students are treated fairly and equitably, that appropriate standards of assessment are maintained, and that assessments are conducted in accordance with approved regulations.

E4.1 The rights and responsibilities of External Examiners in relation to modules

1. The role of the External Examiner(s) is to advise the subject group with regard to standards and fairness of assessment and, when appropriate, to consider the results of individual students in the context of the University’s current regulations.

2. In order to carry out these responsibilities, the External Examiner(s) will:

   i) attend the University External Examiner’s Induction briefing prior to or following appointment. Where this is not possible, a signed acknowledgement for receipt of the induction pack must be supplied;

   ii) offer advice impartially without being influenced by previous association with the staff or any of the students;

   iii) compare and comment on the standard of assessments with that of similar modules in higher education elsewhere;

   iv) comment on the set of assessment activities for any particular module, in the light of the need to ensure that all students are assessed fairly in relation to the module specifications;
v) have the right to inspect all forms of assessed work in line with paragraph C1.8.2;

vi) see the work of all students proposed for failure, and samples of the work of students proposed to each other grade, in order to ensure that each student is placed fairly in relation to the rest of the cohort. In cases where five or fewer students are proposed for the highest grade, the work for all of the students in that grade must be included in the sample sent;

vii) have the right to make recommendations with regard to the moderation of marks/grades awarded by internal examiners;

viii) have the right to conduct a viva voce examination of any candidate in line with paragraph E3.9;

ix) comment on the way assessments are conducted, and share in developmental discussions with module teams where appropriate;

x) complete the external examiner’s template report in full, following the course assessment board or more frequently if appropriate, which reflects upon their duties;

xi) maintain confidentiality of all course materials and student results;

xii) report to the Chair of the University Teaching and Learning Committee on any matters of serious concern arising from the assessments, which put at risk academic standards.

3. To carry out these responsibilities the External Examiner(s) will be:

i) expert in the field of study concerned;

ii) competent in assessing students’ knowledge and skills at higher education level;

iii) impartial in judgement;

iv) fully briefed on their role, in line with the University’s procedures (E4.3.7) having attended the University’s External Examiner Induction Programme.

E4.2 The rights and responsibilities of External Examiners in relation to courses

1. The role of the External Examiner(s) is to advise the Course Assessment Board with regard to standards and fairness of assessment and, when appropriate, to consider the results of individual students in the context of the University’s current regulations.

2. In order to carry out these responsibilities, the External Examiner(s) will:

i) attend the University External Examiner’s Induction briefing prior to or following appointment;
ii) offer advice impartially without being influenced by previous association with the course, the staff, or any of the students;

iii) compare in overall terms the performance of students with that of their peers on similar courses of higher education elsewhere;

iv) be consulted and will respond about any proposed changes to the approved Course assessment regulations which will directly affect students currently on the Course(s);

v) offer advice on progression and awards based on the agreed module grades and in the light of discussion at the Course Assessment Board;

vi) have the right to conduct a viva voce examination of any candidate in line with paragraph E3.9;

vii) attend the meetings of the Course Assessment Board at which decisions on recommendations for award are made and ensure that those recommendations have been reached in line with the University’s regulations and normal practice in higher education;

viii) participate as required in any reviews of decisions about individual students’ results during the examiner’s period of office;

ix) complete the external examiner’s template report in full, following the course assessment board or more frequently if appropriate, which reflects upon their duties;

x) maintain confidentiality of all course materials and student results;

xi) report to the chair of the University Teaching and Learning Committee on any matters of serious concern arising from the assessments, which put at risk the standard of the award.

3. To carry out these responsibilities the External Examiner(s) will be:

i) expert in one of the fields of study associated with the course;

ii) competent in assessing students’ knowledge and skills at higher education level;

iii) impartial in judgement;

iv) briefed on their role, in line with the University’s procedures (E4.3.7); having attended the University’s External Examiner Induction Programme.

v) an External Examiner for a group of modules involved in the Course.

4. All recommendations for the conferment of awards must be signed by the Chair of the Course Assessment Board and all External Examiner(s) present at the meeting.
E4.3 The appointment of External Examiners

1. All External Examiner appointments must be approved by the Teaching and Learning Committee acting on behalf of the Senate. An assessment board which does not include approved External Examiners is not authorised, subject to C1.8.2, to assess students for an award or to recommend the conferment of an award upon a student.

2. The School Board must normally submit External Examiner nominations for approval by the Teaching and Learning Committee at least six months before the date of the first assessments with which the proposed appointee is to be associated.

3. New External Examiners should take up their appointments on or before the retirement of their predecessors. They should remain available after the last assessments with which they are to be associated in order to deal with any subsequent reviews of decisions.

4. Normally, appointments will run from the September before the first assessments to the September after the last assessments. The usual term of office will be one which allows the External Examiner to assess four successive cohorts of students; this will normally mean four calendar years but may be longer where, for example, in the case of a new course, the first output will not occur in the first year of appointment.

5. External Examiners should not normally hold more than the equivalent of two substantial undergraduate appointments at the same time.

6. In approving the appointment of External Examiners the Senate will be seeking to ensure that they will be competent and impartial.

7. New External Examiners must be briefed on their task as soon as possible after appointment and must attend the University’s External Examiner Induction Programme. The briefing will cover as appropriate: the dates of meetings, their role in relation to the examining team as a whole, the learning outcomes of the course, the module specifications including the methods of assessment and marking scheme, the regulations for the course, and the University’s assessment regulations and requirements and conditions of award as set out in this handbook.

8. Any decision to request termination of an appointment prematurely must be referred by the Dean of the School to the Pro Vice-Chancellor (Teaching and Learning) in writing giving reasons for the request. The Pro Vice-Chancellor (Teaching and Learning) will advise the School and Registry of his/her decision. Registry will inform the External Examiner.

E4.4 Reports of External Examiners
1. External Examiners are required to report promptly to the Senate at the end of each academic year on the conduct of the assessments and on issues related to assessment, including:

i) the overall performance of the students in relation to their peers on similar courses/modules;

ii) the quality of knowledge and skills (both general and subject specific) demonstrated by the students;

iii) the overall standard of assessments;

iv) the overall approach to teaching, learning and assessment as indicated by student performance;

v) any other recommendations arising from the assessment.

2. The purpose of the report is to enable the Senate to judge whether the course is meeting its stated learning outcomes and to make any necessary improvements, whether immediately or at the next review as appropriate.

3. External Examiners have authority to report direct to the chair of the Senate if they are concerned about standards of assessment and performance, particularly where they consider that assessments are being conducted in a way that jeopardises either the fair treatment of students or the standard of awards.

E4.5 Courses which lie outside the CATS framework

The Senate may exceptionally give approval for the design of courses of study leading to awards of the University which lie outside the CATS framework. In such cases an External Examiner(s) will be appointed and the functions of the Course Assessment Board will be discharged by a Board of Examiners for the course.

E.5 GRADING SCALES

E5.1 Modules in undergraduate courses

The following grading scale may be used as an alternative to percentages in connection with both the grading of modules at P, F, I, S or H levels and the determination of Honours degree classifications.

<table>
<thead>
<tr>
<th>Published Grade</th>
<th>(% Mark)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A - (Outstanding)</td>
<td>(80 and above)</td>
</tr>
<tr>
<td></td>
<td>(75 - 79)</td>
</tr>
<tr>
<td></td>
<td>(70 - 74)</td>
</tr>
<tr>
<td>B - (Above Average)</td>
<td>(67 - 69)</td>
</tr>
<tr>
<td></td>
<td>(64 - 66)</td>
</tr>
<tr>
<td></td>
<td>(60 - 63)</td>
</tr>
<tr>
<td>C - (Average)</td>
<td>(57 - 59)</td>
</tr>
<tr>
<td></td>
<td>(54 - 56)</td>
</tr>
</tbody>
</table>
E5.2 Modules in postgraduate courses

The following grading scale may be used as an alternative to percentages in connection with the grading of M level modules.

<table>
<thead>
<tr>
<th>Published grade</th>
<th>(% mark)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A - (Outstanding)</td>
<td>(70 and above)</td>
</tr>
<tr>
<td>B - (Above average)</td>
<td>(60 - 69)</td>
</tr>
<tr>
<td>C - (Average)</td>
<td>(50 - 59)</td>
</tr>
<tr>
<td>D - (Satisfactory)</td>
<td>(40 - 49)</td>
</tr>
<tr>
<td>R/F - (Refer/Fail)</td>
<td>(30 - 39)</td>
</tr>
</tbody>
</table>

(initial CAB consideration allows referral between 30-39%)
(second CAB consideration concludes fail between 30%)

(initial CAB consideration allows referral between 0-39%)
(second CAB consideration concludes fail between 0-39%)
APPENDIX 2: Section F REGULATIONS GOVERNING RESEARCH DEGREES

F1.1 General

1. The University awards the degrees of:
   - Postgraduate Diploma by Research (PGDip(Res))
   - Master in Research (MRes),
   - Master of Enterprise (MEnt),
   - Master of Arts by Research (MA(Res)),
   - Master of Science by Research (MSc(Res)),
   - Master of Philosophy (MPhil),
   - Professional Doctorates,
   - Doctor of Philosophy (PhD) including the publication route
   - Doctor of Enterprise (EntD)

to candidates who have successfully completed approved programmes of supervised research.

2. All of the University’s research degrees may be awarded posthumously, on the basis of a thesis completed by the candidate which is ready for submission for examination. In such cases evidence will be sought that the candidate would have been likely to have been successful had the oral examination taken place.

Named awards

3. All research awards may be offered as named awards, subject to approval by the University Research Committee and the Senate. Such awards will be assessed and conferred in line with standard regulations.

Scope

4. Programmes of research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners. All proposed research programmes will be considered on their academic merits and without reference to the concerns or interests of any associated funding body.

5. Research degrees will not normally include a taught element which extends over more than one third of the total period of enrolment. Confirmation of the satisfactory completion of the taught element will form part of the progression monitoring exercise.

External links

6. Wherever possible the University encourages co-operation with industrial, commercial, professional or research establishments for the purposes of research leading to research degree awards.

7. Co-operation may be formalised with one or more external bodies. Formal collaboration normally involves the candidate’s use of facilities and other resources, including supervision, which are provided jointly by the University and an external body. For the purpose of the research degree regulations these are referred to as Collaborating Establishments.
F1.2 ENROLMENT AND ADMISSION

1 In considering applications for enrolment the Senate, or the University Research Committee acting on its behalf, will satisfy itself that all of the following requirements are fulfilled:

i) candidates are suitably qualified in terms of their ability and experience to undertake research in the proposed field;

ii) candidates are embarking on viable research programmes;

iii) supervision is adequate and likely to be sustained;

iv) the research environment is suitable.

2 Applications from candidates holding qualifications other than those specified will be considered on their merits and in relation to the nature and scope of the programme of work proposed. Such candidates must include in the application the names of two suitable persons who can be consulted concerning the candidate’s academic attainment and fitness for research.

3 All candidates are required to demonstrate at least a minimum level of attainment in English language equivalent to IELTS 6.0. Candidates may also be required to complete formal English language assessment and training in advance of or as an outcome of progression monitoring.

4 Candidates are expected to be based at the University for the completion of their research degree, except as provided for under the arrangements established for Collaborating Establishments. The Senate, or the University Research Committee acting on its behalf, may exceptionally consider applications from students proposing to work outside the UK, provided the following conditions are fulfilled:

i) the candidate is UK-based or establishes close links with the University;

ii) there is satisfactory evidence as to the facilities available abroad for the research;

iii) the arrangements proposed for supervision enable frequent and substantial contact between the candidate and the supervisor(s) based in the University, including adequate face-to-face contact with the supervisor(s). Excluding participation in activities associated with enrolment, re-registration and progression monitoring, the candidate should spend normally not less than an average of ten working days per year in the University.

5 Candidates may enrol on a full-time or part-time basis. Full-time candidates are expected to devote on average at least 35 hours per week to their research; part-time candidates on average at least 17.5 hours per week. Candidates for the award of PhD (by publication) shall enrol on a part-time basis.

6 Except in cases involving foreign language research where permission must be secured for part/all of the thesis/submission to be in another language, all assessment and submission must be in English.
7 Where a research degree project is part of a piece of funded research, the Senate, or the University Research Committee acting on its behalf, will establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the candidate’s research degree.

8 Where a candidate has previously undertaken research as a candidate for a research degree the Director of Graduate Education may approve a shorter than usual enrolment period which takes account of all or part of the time already spent by the candidate on such research. In some cases transfer from another Institution may be possible. This must have the agreement of both Institutions involved.

9 The Senate, or the University Research Committee acting on its behalf, may permit a candidate to enrol for another course of study concurrently with the research degree provided that, in its opinion, the dual enrolment will not detract from the research.

10 Where a candidate or the Collaborating Establishment wishes the thesis to remain confidential for a period of time after completion of the work, application for approval must normally be made when the application for examination arrangements is submitted.

F1.3 Examinations: General

1 No member of a candidate’s supervisory team, including advisers, may act as an internal examiner.

2 Normally, an examining team will consist of one internal examiner who has undergone University training for the role, and one external examiner. Where the candidate is a current member of University staff, a second external examiner will be appointed.

3 The candidate may request the presence of one member of the supervisory team at the oral examination, but this person must withdraw prior to the deliberations of the examiners on the outcome of the examination.

4 In any instance where the University Research Committee is made aware of a failure to comply with all the procedures of the examination process, it may declare the examination null and void and appoint new examiners.

5 Oral examinations are normally held at the University. However, in special cases approval may be given for the examination to take place elsewhere in the UK or abroad. Oral examinations may be held by video link subject to the approval of all participants.

6 The arrangements for the candidate’s examination, including the proposed examiners, must be approved by the School’s Director of Graduate Education and the University Research Committee before the examination takes place. At the discretion of a subject area, an independent chair may be appointed as part of the examining team.

7 In cases where an oral examination is required, where for reasons of sickness, disability or comparable valid cause, the University Research Committee is satisfied that a candidate would be under serious disadvantage if required to undergo an oral
examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that the candidate’s knowledge of the language in which the thesis is presented is inadequate.

**The candidate’s responsibilities**

8 It is the responsibility of the candidate to ensure that all elements of submission required for assessment are supplied to the appropriate officer before the end of the submission pending period.

9 The submission of a thesis or publications for examination is at the sole discretion of the candidate.

10 Candidates must take no part in the arrangement of their examination and have no contact with the external examiner(s) in connection with their research between the appointment of the examiners and the oral examination.

11 Candidates must ensure that the thesis or publications’ format is in accordance with the relevant regulations. It is the candidate’s responsibility to ensure that at least one durable backup copy of material submitted for examination is retained in a secure location away from University property.

12 The candidate must confirm, through the submission of a declaration form, that the thesis or publications have not been submitted for a comparable academic award. However, the candidate is not precluded from incorporating in a thesis covering a wider field work which has already been submitted for a degree or comparable award, provided that it is indicated, on the declaration form and also in the thesis, which work has been so incorporated.

13 In accordance with the Students’ Handbook of Regulations, if a student wishes to claim that either:

   i) failure to attend a progression monitoring meeting, or

   ii) failure to submit work by the agreed submission date, or

   iii) failure to attend an oral examination

was due to illness or to other circumstances of a personal nature, the student must make a claim for extenuating circumstances (ECs) within five working days of the assessment in question. Remedial action for ECs in cases where an assessment has been affected is to permit a fresh attempt at the assessment(s) concerned. By attending a formal assessment activity, such as a progression monitoring meeting or an oral examination, it will be assumed that the student has declared that he or she is fit to undertake that assessment and a claim for ECs will not normally be approved.

14 In the absence of an approved EC claim, if a student fails to attend an assessment meeting or to submit the required documentation by the agreed submission date (after allowing for any extension that might have been granted) the body overseeing the assessment will conclude that the student has failed to satisfy them.
Examiners

15 The examination team as a whole must be able to demonstrate appropriate prior experience or training in the examination procedure.

16 Examiners must be experienced in research in the general area of the candidate’s thesis/submission and, where practicable, have experience as a specialist in the topic(s) to be examined.

17 An external examiner should have expertise in the area of the work to be examined; be experienced in research, and have published, or have equivalent professional experience; have experience of the examination process at the level of award being examined and normally have been an examiner for a degree at that level; hold a research degree at the level s/he is examining, or have equivalent professional experience; hold/have held an appointment within the university system, although it is permissible to appoint an appropriate person from outside the university system, e.g., a senior industrial scientist or professional practitioner.

18 An external examiner shall not have acted previously as the candidate’s supervisor or adviser. An external examiner shall not normally be either a supervisor of another candidate or an external examiner on a taught course in the same department.

19 An external examiner shall not have had a close link with the University during the previous five years, for example as an employee or as a student.

20 An external examiner shall not normally have had a close involvement in the candidate’s previous studies as a teacher.

21 No person who is enrolled for a research degree may act as an examiner.

Examination arrangements

22 Each examiner shall read and examine the thesis or submission and present an independent preliminary report on it before any oral examination is held. In completing the preliminary report, each examiner must consider whether the thesis or submission provisionally satisfies the requirements of the degree and make an academic assessment of the quality of the thesis, ensuring that it meets the requirements for the award of the degree.

23 Following the oral examination the examiners shall, where they are in agreement, present a joint report and recommendation relating to the award of the degree. Where the examiners are not in agreement, separate reports and recommendations shall be submitted.

24 Where the examining team is unable to agree on a recommendation, the University Research Committee may:

   i) accept a majority recommendation;

   ii) accept the recommendation of the external examiner;

   iii) require the appointment of an additional external examiner whose appointment must be proposed in the normal way. Consideration by the
additional external examiner will be considered part of the candidate’s first submission – including, if deemed necessary at this point, a further oral examination.

F1.4 Submission for final examination
1 Candidates are required to submit their thesis and associated documentation in accordance with the criteria specified by the University Research Committee.

F1.5 Submission after successful completion of final examination
1 Following the award of the degree one copy of the thesis must be lodged in the University Repository or, where necessary, in the library of both the University and any Collaborating Establishment. Candidates are required to submit their thesis and associated documentation in accordance with the criteria specified by the University Research Committee.

2 Where the Senate, or the University Research Committee acting on its behalf, has agreed that the confidential nature of the candidate’s work is such as to preclude the thesis being made freely available in the library it shall be held on restricted access and only be available to those who were directly involved in the project for a time not exceeding the approved period.

3 Where a candidate’s research programme is part of a collaborative group project, the thesis must indicate clearly the candidate’s individual contribution and the extent of the collaboration.

4 The copyright of the thesis is vested in the candidate, except for the abstract for which copyright rests with the University.

F1.6 Appeal against the recommendation of examiners
1 Candidates may in the circumstances set out in the Students’ Handbook of Regulations request a review of the examiners’ recommendation, whether at the first examination or on re-examination.

F1.7 Complaints by candidates
Candidates considering the submission of a complaint are advised to consult the Students’ Handbook of Regulations.

F1.8 Research misconduct (including plagiarism)
The Students’ Handbook of Regulation sets out the process that will be invoked when it is alleged that a candidate has acted dishonestly or unethically or otherwise conducted research in an inappropriate manner. This includes allegations of academic misconduct (including but not limited to falsification or plagiarism) in the preparation of the thesis or other irregularities in the conduct of the examination which come to light subsequent to the recommendation of the examiners.

F2 The Postgraduate Diploma by Research award
F2.1 The award
1 The Postgraduate Diploma by Research is awarded to a candidate who, having successfully completed an approved programme of training and research which combines advanced study, research methodology and a substantial research project, or series of research projects in a chosen field, has presented a thesis to
the satisfaction of the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

2. The text of the thesis should not normally exceed 18,000 words (excluding ancillary data). Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written commentary should normally be a minimum of 5,000 words.

F2.2 Enrolment periods
1 The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>8 months</td>
<td>up to 2 months</td>
</tr>
<tr>
<td>part-time</td>
<td>16 months</td>
<td>up to 2 months</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F2.3 Admission criteria
1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) an upper second class honours degree from a UK university or a qualification of an equivalent standard, in a discipline appropriate to that of the proposed programme to be followed.

F2.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification at least equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.
2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

F2.5 Research Support Plan
1 No later than two months after enrolment for full-time students and four months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 An option to register for study on taught modules in addition to the research award is not available.

F2.6 Re-registration
1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.

F2.7 Examination
1 For a named Postgraduate Diploma by Research award, an external examiner(s) may act as examiner for the whole cohort of students within an academic year but may not then return to act as an examiner until after the following academic year.

2 The examination for Postgraduate Diploma by Research consists of the assessment of the thesis by the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

3 Following the completion of the examination including an oral defence where required, the examiners may recommend:

i) that the candidate be awarded the degree;
ii) that the candidate be referred to complete minor amendments to the thesis with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all minor amendments must be completed to the satisfaction of the internal examiner within four weeks from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within two months from the date of the notification of the outcome of the examination.

iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within two months from the date of the notification of the outcome of the examination.

v) that the candidate be not awarded the degree.

4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within four months as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

5 Only one opportunity for re-submission is permitted.

F2.8 Re-submission and Re-examination
1 On re-submission the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be not awarded the degree.

F2.9 Extensions to standard periods for re-submission
1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F3 The MEnt award
F3.1 The award
1 The MEnt is awarded to a candidate who, having successfully completed an approved programme of enterprise training and research which combines advanced study, research methodology and a substantial research project, or series of
research projects in a chosen field, has presented a thesis to the satisfaction of the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

2 The text of the thesis (excluding ancillary data) should not normally exceed 15,000 words. Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written commentary should normally be a minimum of 5,000 words.

F3.2 Enrolment periods
1 The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>12 months</td>
<td>up to 4 months</td>
</tr>
<tr>
<td>part-time</td>
<td>24 months</td>
<td>up to 4 months</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F3.3 Admission criteria
1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) an upper second class honours degree from a UK university or a qualification of an equivalent standard, in a discipline appropriate to that of the proposed programme to be followed.

F3.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification at least equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.
2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

F3.5 Research Support Plan
1 No later than two months after enrolment for full-time students and four months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 An option to register for study on taught modules in addition to the research award is not available.

F3.6 Re-registration
1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.

F3.7 Examination
1 For a named MEnt award an external examiner(s) may act as examiner for the whole cohort of students within an academic year but may not then return to act as an examiner until after the following academic year.

2 The examination for MEnt consists of the assessment of the thesis by the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

3 Following the completion of the examination including an oral defence where required, the examiners may recommend:
i) that the candidate be awarded the degree;

ii) that the candidate be referred to complete minor amendments to the thesis with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of the internal examiner within six weeks from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

v) that the candidate be not awarded the degree.

4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within six months as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

5 Only one opportunity for re-submission is permitted.

6 A distinction, credit or pass will be awarded to a candidate where the thesis has met the University’s relevant minimum criteria for that classification.

7 The maximum classification awarded on re-examination shall be no more than a pass.

F3.8 Re-submission and Re-examination
1 On re-submission the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be not awarded the degree.
F3.9 Extensions to standard periods for re-submission
1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F4 The MA by Research and MSc by Research award
F4.1 The award
1 The MA by Research or MSc by Research is awarded to a candidate who, having successfully completed an approved programme of training and research which combines advanced study, research methodology and a substantial research project, or series of research projects in a chosen field, has presented a thesis to the satisfaction of the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

2. The text of the thesis should not normally exceed 25,000 words (excluding ancillary data). Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written commentary should normally be a minimum of 5,000 words.

F4.2 Enrolment periods
1 The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>12 months</td>
<td>up to 4 months</td>
</tr>
<tr>
<td>part-time</td>
<td>24 months</td>
<td>up to 4 months</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F4.3 Admission criteria
1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) an upper second class honours degree from a UK university or a qualification of an equivalent standard, in a discipline appropriate to that of the proposed programme to be followed.

F4.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification at
least equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.

2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

**F4.5 Research Support Plan**

1 No later than two months after enrolment for full-time students and four months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 An option to register for study on taught modules in addition to the research award is not available.

**F4.6 Re-registration**

1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.
F4.7 Examination

1 For a named MA by Research or MSc by Research award, an external examiner(s) may act as examiner for the whole cohort of students within an academic year but may not then return to act as an examiner until after the following academic year.

2 The examination for MA by Research and MSc by Research consists of the assessment of the thesis by the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

3 Following the completion of the examination including an oral defence where required, the examiners may recommend:

   i) that the candidate be awarded the degree;

   ii) that the candidate be referred to complete minor amendments to the thesis with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all minor amendments must be completed to the satisfaction of the internal examiner within six weeks from the date of the notification of the outcome of the examination;

   iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

   iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

   v) that the candidate be not awarded the degree.

4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within six months as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

5 Only one opportunity for re-submission is permitted.

6 A distinction, credit or pass will be awarded to a candidate where the thesis has met the University’s relevant minimum criteria for that classification.
The maximum classification awarded on re-examination shall be no more than a pass.

**F4.8 Re-submission and Re-examination**

1. On re-submission the options available to the examiners are to recommend:
   
   i) that the candidate be awarded the degree;
   
   ii) that the candidate be not awarded the degree.

**F4.9 Extensions to standard periods for re-submission**

1. The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

**F5 The MPhil award**

**F5.1 The award**

1. The MPhil is awarded to a candidate who, having critically investigated and evaluated an approved topic and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

2. The text of the thesis should not normally exceed the following length (excluding ancillary data):
   
   - in Science and Engineering and Art and Design: 20,000 words
   - in Arts, Social Sciences and Education: 40,000 words
   
   Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written commentary should normally be a minimum of 5,000 words.

**F5.2 Enrolment periods**

1. The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>12 months</td>
<td>up to 12 months</td>
</tr>
<tr>
<td>part-time</td>
<td>24 months</td>
<td>up to 12 months</td>
</tr>
</tbody>
</table>

2. Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3. Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4. Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.
F5.3 Admission criteria
1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

   i) an upper second class honours degree from a UK university or a qualification of an equivalent standard, in a discipline appropriate to that of the proposed programme to be followed.

F5.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification at least equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:
   - at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
   - at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.

2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

F5.5 Research Support Plan
1 No later than two months after enrolment for full-time students and four months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 The plan may include registration for a maximum of 60 credits of master’s level modules.

F5.6 Re-registration
1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.
2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.

F5.7 Transfer from MPhil to PhD
1 Candidates who enrolled initially for MPhil and who wish to transfer to PhD must apply to transfer when they have made sufficient progress on the work to provide evidence of the development to PhD.

2 In support of the application, the candidate shall prepare a full progress report on the work undertaken. The progress report should typically

- be 3,000 to 6,000 words in length
- include brief review and discussion of the work already undertaken;
- include a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.

3 The application should normally be made directly to the School’s Director of Graduate Education and should be concluded no later than 12 months after initial enrolment for full-time candidates or 24 months after enrolment for part-time candidates. When approving the application, the School’s Director of Graduate Education must be satisfied that the candidate has made sufficient progress and that the proposed programme provides a suitable basis for work at PhD standard which the candidate is capable of pursuing to completion.

F5.8 Examination
1 The examination for MPhil has two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral examination.

2 Following the completion of the examination the examiners may recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be referred to complete minor amendments to the thesis with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of the internal examiner within six weeks from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections
are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

v) that the candidate be not awarded the degree.

3 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within one year as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

4 Only one opportunity for re-submission is permitted.

F5.9 Re-submission and Re-examination
1 On re-submission the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be not awarded the degree.

F5.10 Extensions to standard periods for re-submission
1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F6 The Professional Doctorate award incorporating the MRes award
F6.1 The Professional Doctorate award
1. A Professional Doctorate is awarded to a candidate who, having successfully completed an approved programme of study, and having critically investigated and evaluated an approved topic resulting in an independent and original contribution to knowledge in a relevant professional discipline, and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners. The available designations for a Professional Doctorate awarded by this University are listed in Section G.

2. The text of the thesis should not normally exceed 50,000 words (excluding ancillary data).
The MRes award

3 The MRes is an exit qualification awarded to a candidate for a Professional Doctorate who, having successfully completed the compulsory taught element, has presented a thesis to the satisfaction of the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

4 The text of the thesis should not normally exceed 15,000 words (excluding ancillary data).

F6.2 Enrolment periods

1 The maximum periods of enrolment and additional submission pending for the award of professional doctorate are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>36 months</td>
<td>up to 12 months</td>
</tr>
<tr>
<td>part-time</td>
<td>84 months</td>
<td>A</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F6.3 Admission Criteria

Professional Doctorates (other than EdD)

1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) a Postgraduate Diploma from a UK University or equivalent, in a discipline appropriate to the proposed programme to be followed, and

ii) a recognised professional qualification or equivalent for the title award, and

iii) a minimum of three years’ postgraduate professional experience directly relevant to the named professional doctoral degree for which enrolment is sought.

Professional Doctorate: EdD

2 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) a Master's degree from a UK University or equivalent, in a discipline appropriate to the proposed programme to be followed
F6.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification at least equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.

2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

F6.5 Research Support Plan
1 No later than three months after enrolment for full-time students and six months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 The plan may include registration for a maximum of 60 credits of masters level modules.

F6.6 Re-registration
1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of
F6.7 Progression monitoring

1 The purpose of progression monitoring is to determine the suitability of the student to remain registered on a research award.

2 Satisfactory completion of progression monitoring is required before re-registration can be undertaken. Failure to complete progression monitoring satisfactorily will lead to a termination of the candidate’s registration.

3 Full-time students are required to complete progression monitoring satisfactorily before re-registration for the second year of study and again before re-registration for the third year of study.

4 Part-time students are required to complete progression monitoring satisfactorily before re-registration for the third year of study and again before re-registration for the fifth year of study.

5 The schedule of progression monitoring will be concurrent with the research element of the programme.

6 Candidates who fail to submit progress reports on the required schedule will be administratively withdrawn, subject to consideration of any extenuating circumstances by the Director of Graduate Education.

7 Satisfactory completion of progression monitoring is demonstrated by:
   i) A progress report completed by the candidate and submitted to their supervisor at least three months before the relevant re-registration point.
   ii) Satisfactory engagement with the research support plan
   iii) An oral defence of the progress report by the candidate in front of a panel comprising two members appointed by the Director of Graduate Education at least one of whom is independent of the student’s supervisory team
   iv) Confirmation by the progression monitoring panel that the candidate is able to proceed to the subsequent re-registration.

8 The progress report should typically be equivalent to 3,000 to 6,000 words in length and include:
   i) a brief review and discussion of the work already undertaken;
   ii) a brief statement of the intended further work, including an indication of the original contribution to knowledge which is likely to emerge.

9 Candidates who fail to complete this process satisfactorily may re-submit no later than six weeks after the first progression panel.
10 Candidates who do not receive permission to proceed after resubmission and re-examination will be withdrawn.

11 Candidates may in the circumstances set out in the Students’ Handbook of Regulations request a review of the progression panel’s recommendation, whether at the first assessment or on re-assessment.

12 A candidate who is enrolled for a Professional Doctorate and who is unable to complete the approved programme of work, may, at any time prior to the submission of the thesis for examination, apply for the enrolment to be changed to that for the degree of MPhil.

F6.8 Examination: MRes

1 For a named MRes award an external examiner(s) may act as examiner for the whole cohort of students within an academic year but may not then return to act as an examiner until after the following academic year.

2 The examination for MRes comprises: the examination of the taught element and the assessment of the thesis by the examiners. A requirement for an oral defence of the thesis is at the discretion of the examiners.

3 Following the completion of the examination including an oral defence where required, the examiners may recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be referred to complete minor amendments to the thesis with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of the internal examiner within six weeks from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within four months from the date of the notification of the outcome of the examination.

v) that the candidate be not awarded the degree.

4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may
recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within six months as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

5 Only one opportunity for re-submission is permitted.

6 A distinction, credit or pass will be awarded to a candidate where the thesis has met the University’s relevant minimum criteria for that classification.

7 The maximum classification awarded on re-examination shall be no more than a pass.

F6.9 **Re-submission and Re-examination: MRes**

1 On re-submission the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be not awarded the degree.

F6.10 **Extensions to standard periods for re-submission: MRes**

1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F6.11 **Examination: Professional Doctorate**

1 The examination for Professional Doctorates comprises: the examination of the taught element, the submission and preliminary assessment of the thesis and, where specified, an impact statement and a journal article prepared for publication followed by its defence by oral examination. The taught element must be completed subject to the satisfaction of its associated examiners, including at least one external examiner, prior to the submission of the thesis for examination.

2 Following the completion of the final examination the examiners may recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be referred to complete minor amendments to the submission with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All minor amendments must be completed subject to the satisfaction of the internal examiner within three months from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.
iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.

v) that the candidate be referred to complete a re-write of the submission and to re-submit for the degree within one year and be re-examined. In such circumstances, the examiners must indicate to the candidate in writing the deficiencies of the thesis which require addressing. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vi) that the candidate be referred to complete amendments to the submission and to re-submit for the award of MPhil. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All amendments must be completed to the satisfaction of the examiners within six months from the date of the notification of the outcome of the examination. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vii) that the candidate be not awarded the degree.

3 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within one year as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

4 Where the Senate, or the University Research Committee acting on its behalf, decides, on the recommendation of the examiners, that the degree be not awarded and no re-examination be permitted, the examiners must prepare an agreed statement of the deficiencies of the thesis and the reason for their decision, which will be forwarded to the candidate.

5 Only one opportunity for re-submission is permitted.

F6.12 Re-submission and Re-examination: Professional Doctorate
1 On re-submission the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners;

iii) that the candidate be not awarded the degree.
F6.13 Extensions to standard periods for re-submission: Professional Doctorate
1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F7 The PhD award
F7.1 The award
1. The PhD is awarded to a candidate who, having critically investigated and evaluated an approved topic resulting in an independent and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field, has presented and defended a thesis, by oral examination, to the satisfaction of the examiners.

2. The PhD by the publication route is awarded to a candidate who, having submitted works completed before enrolment constituting a coherent programme of research and making a significant contribution to knowledge consistent with the award of a research degree at this level, has presented and defended the work, by oral examination, to the satisfaction of examiners. A PhD by the publication route reflects the same academic standards as that which operates for a traditional PhD based upon an approved programme of supervised research.

3. Other than PhD by the publication route, the text of the thesis should not normally exceed the following length (excluding ancillary data):
   - in Science and Engineering and Art and Design: 40,000 words
   - in Arts, Social Sciences and Education: 80,000 words

4. Where the submission is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written commentary should normally be a minimum of 10,000 words.

F7.2 Enrolment periods
1 The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>24-36 months</td>
</tr>
<tr>
<td>part-time</td>
<td>48-72 months</td>
</tr>
<tr>
<td>PhD by the publication route</td>
<td></td>
</tr>
<tr>
<td>part-time</td>
<td>12 months</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa (where available) their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study.
Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F7.3 Admission criteria

PhD

1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) a Master's degree from a UK University or equivalent, in a discipline appropriate to the proposed programme to be followed, or

ii) an upper second class honours degree from a UK university in a discipline appropriate to that of the proposed programme to be followed, or

iii) appropriate research or professional experience at postgraduate level, which has resulted in published work, written reports or other appropriate evidence of accomplishment.

PhD by the publication route

2 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) a body of published work which \textit{prima facie} is appropriate for the award of a doctorate

F7.4 Supervision

1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.

- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.

2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.
F7.5 **Research Support Plan**

1. No later than three months after enrolment for full-time students and six months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2. The plan may include registration for a maximum of 60 credits of masters level modules.

F7.6 **Re-registration**

1. Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2. Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.

F7.7 **Progression monitoring**

1. The purpose of progression monitoring is to determine the suitability of the student to remain registered on a research award.

2. Satisfactory completion of progression monitoring is required before re-registration can be undertaken. Failure to complete progression monitoring satisfactorily will lead to a termination of the candidate’s registration.

3. Full-time students are required to complete progression monitoring satisfactorily before re-registration for the second year of study and again before re-registration for the third year of study.

4. Part-time students are required to complete progression monitoring satisfactorily before re-registration for the third year of study and again before re-registration for the fifth year of study.

5. Candidates who fail to submit progress reports on the required schedule will be administratively withdrawn, subject to consideration of any extenuating circumstances by the Director of Graduate Education.

6. Satisfactory completion of progression monitoring is demonstrated by:
   
i) A progress report completed by the candidate and submitted to their supervisor at least three months before the relevant re-registration point.
   
ii) Satisfactory engagement with the research support plan
iii) An oral defence of the progress report by the candidate in front of a panel comprising two members appointed by the Director of Graduate Education at least one of whom is independent of the student’s supervisory team.

iv) Confirmation by the progression panel that the candidate is able to proceed to the subsequent re-registration.

7 The progress report should typically be equivalent to 3,000 to 6,000 words in length and include:

i) a brief review and discussion of the work already undertaken;

ii) a brief statement of the intended further work, including an indication of the original contribution to knowledge which is likely to emerge.

8 Candidates who fail to complete this process satisfactorily may re-submit no later than six weeks after the first progression panel.

9 Candidates who do not receive permission to proceed after resubmission and re-examination will be withdrawn.

10 Candidates may in the circumstances set out in the Students’ Handbook of Regulations request a review of the progression panel’s recommendation, whether at the first assessment or on re-assessment.

11 A candidate who is enrolled for PhD and who is unable to complete the approved programme of work, may, at any time prior to the submission of the thesis for examination, apply for the enrolment to be changed to that for the degree of MPhil.

F7.8 Examination (excluding PhD by the publication route)

1 The examination for PhD has two stages: firstly the submission and preliminary assessment of the thesis and secondly its defence by oral examination.

2 Following the completion of the examination the examiners may recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be referred to complete minor amendments to the submission with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All minor amendments must be completed subject to the satisfaction of the internal examiner within three months from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.
iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.

v) that the candidate be referred to complete a re-write of the submission and to re-submit for the degree within one year and be re-examined. In such circumstances, the examiners must indicate to the candidate in writing the deficiencies of the thesis which require addressing. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vi) that the candidate be referred to complete amendments to the submission and to re-submit for the award of MPhil. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All amendments must be completed to the satisfaction of the examiners within six months from the date of the notification of the outcome of the examination. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vii) that the candidate be not awarded the degree.

3 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within one year as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

4 Where the Senate, or the University Research Committee acting on its behalf, decides, on the recommendation of the examiners, that the degree be not awarded and no re-examination be permitted, the examiners must prepare an agreed statement of the deficiencies of the thesis and the reason for their decision, which will be forwarded to the candidate.

5 Only one opportunity for re-submission is permitted.

F7.9 Re-submission and Re-examination (excluding PhD by the publication route)

1 On re-examination the options available to the examiners are to recommend:

i) that the candidate be awarded the degree;

ii) that the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners;

iii) that the candidate be not awarded the degree;
F7.10 Examination: PhD by the publication route

1 For the award of PhD by the publication route, the candidate shall be examined by at least two external examiners, one of whom should normally have had experience of examining PhD by the publication route, and one internal examiner who has undergone University training for the role.

2 The examination for PhD by the publication route has two stages: firstly the submission of the actual publications with a commentary which puts the total work in context and an abstract, and secondly its defence by oral examination. A literature survey should be included in the submission and the work must illustrate evidence of contemporary publications. The commentary should normally be in the range of 5,000 to 10,000 words. The submission must be made within one year of enrolment.

3 All candidates shall attend an oral examination.

4 Following the completion of the oral examination the examiners may recommend:
   i) that the candidate be awarded the degree;
   ii) that the candidate be referred to complete minor amendments to the commentary and/or possible additions to the publications with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All minor amendments must be completed subject to the satisfaction of the internal examiner within three months from the date of the notification of the outcome of the examination;
   iii) that the candidate be referred to complete minor amendments to the commentary and/or possible additions to the publications with a requirement for a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination;
   iv) that the degree be not awarded - no re-submission allowed.

5 Candidates are not permitted to submit a new application within two years from the date of the original examination. A second or subsequent application must include evidence of additional work.

F7.11 Extensions to standard periods for re-submission

1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.

F8 The EntD award

F8.1 The award

1 The EntD is awarded to a candidate who, having critically investigated and evaluated an approved topic resulting in an independent and original contribution to
knowledge associated with enterprise, has presented and defended a thesis and business plan, by oral examination, to the satisfaction of the examiners.

2 The text of the thesis should not normally exceed 50,000 words (excluding ancillary data).

F8.2 Enrolment periods
1 The maximum periods of enrolment and additional submission pending are as follows:

<table>
<thead>
<tr>
<th>Degree</th>
<th>Duration</th>
<th>Submission pending</th>
</tr>
</thead>
<tbody>
<tr>
<td>full-time</td>
<td>36 months</td>
<td>up to 12 months</td>
</tr>
<tr>
<td>part-time</td>
<td>72 months</td>
<td>up to 12 months</td>
</tr>
</tbody>
</table>

2 Where candidates change from full-time to part-time study or vice versa their enrolment period is calculated on a pro rata basis.

3 Candidates seeking a change or extension of a research degree programme must apply to the Director of Graduate Education for approval.

4 Where the candidate is prevented - by ill health or other cause - from making progress with the research, enrolment may be interrupted, normally for not more than twelve months at a time and for no more than twenty-four months in total. Any period of interruption is excluded when calculating the maximum period of study. Periods of interruption should be as short as is necessary to deal with the circumstances. Interruptions will not normally be backdated.

F8.3 Admissions criteria
1 In addition to the general criteria, normally the minimum level of attainment required for entry is:

i) a Master's degree from a UK University or equivalent, in a discipline appropriate to the proposed programme to be followed, and

ii) knowledge and experience of business planning and business start-up, and/or experience of starting up a new service requiring substantial project and financial planning.

F8.4 Supervision
1 A candidate shall have one Principal Supervisor who must be a member of University staff and must normally have successfully completed a qualification equivalent to the level of the award being supervised. The Principal Supervisor will normally be part of a supervisory team comprising up to three members:

- at least one member of the supervisory team must have successfully supervised a completed award at the appropriate level. Completion of an accredited training in research supervision will be deemed to be equivalent to one successful supervision.
- at least one member of the supervisory team must be currently engaged in research in the relevant discipline(s) so as to ensure that the direction and monitoring of the student’s progress is informed by up to date subject knowledge and research developments.
2 The principal supervisor shall have responsibility to supervise the candidate on a regular and frequent basis.

3 Each candidate shall be assigned a mentor who is qualified to be a Principal Supervisor, but who is not working in a research field related to that of the candidate or the Principal Supervisor.

4 In addition to the supervisors, an adviser or advisers may be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

5 Proposals for change in supervision arrangements should be made to the Director of Graduate Education.

F8.5 Research Support Plan
1 No later than 3 months after enrolment for full-time students and six months after enrolment for part-time students, the student and the supervisor must have documented the student’s proposed research support plan. This plan must set out the programme of related studies necessary for the attainment of competence in research methods and of knowledge related to the subject of the thesis.

2 The plan may include registration for a maximum of 60 credits of masters level modules.

F8.6 Re-registration
1 Following enrolment with the University, candidates must re-register annually for the duration of their period of study. A candidate eligible to re-register who fails to do so will be contacted by an authorised officer of the University. Failure to respond positively to this approach will be deemed evidence of the candidate’s withdrawal.

2 Candidates who have been withdrawn due to failure to re-register will be notified in writing. The candidate will have the right to appeal the decision and any appeal must be submitted in writing to the Pro Vice-Chancellor (Research & Enterprise) within two weeks of the date of the letter notifying the candidate of the withdrawal. An appeal will only be considered in cases where a candidate has provided evidence of a procedural irregularity or an unavoidable inability to have engaged with the process. The case made by a candidate must be made in full at the time of submission of the appeal and must be supported by relevant independent evidence. The decision of the Pro Vice-Chancellor will be final.

F8.7 Progression monitoring
1 The purpose of progression monitoring is to determine the suitability of the student to remain registered on a research award.

2 Satisfactory completion of progression monitoring is required before re-registration can be undertaken. Failure to complete progression monitoring satisfactorily will lead to a termination of the candidate’s registration.

3 Full-time students are required to complete progression monitoring satisfactorily before re-registration for the second year of study and again before re-registration for the third year of study.
Part-time students are required to complete progression monitoring satisfactorily before re-registration for the third year of study and again before re-registration for the fifth year of study.

Candidates who fail to submit progress reports on the required schedule will be administratively withdrawn, subject to consideration of any extenuating circumstances by the Director of Graduate Education.

Satisfactory completion of progression monitoring is demonstrated by:

i) A progress report completed by the candidate and submitted to their supervisor at least three months before the relevant re-registration point. For EntD candidates progression monitoring will include assessment of an appropriate stage business plan

ii) Satisfactory engagement with the research support plan

iii) An oral defence of the progress report by the candidate in front of a panel comprising two members appointed by the Director of Graduate Education at least one of whom is independent of the student’s supervisory team

iv) Confirmation by the progression panel that the candidate is able to proceed to the subsequent re-registration.

The progress report should typically be equivalent to 3,000 to 6,000 words in length and include:

i) a brief review and discussion of the work already undertaken;

ii) a brief statement of the intended further work, including an indication of the original contribution to knowledge which is likely to emerge.

Candidates who fail to complete this process satisfactorily may re-submit no later than six weeks after the first progression panel.

Candidates who do not receive permission to proceed after resubmission and re-examination will be withdrawn.

Candidates may in the circumstances set out in the Students’ Handbook of Regulations request a review of the progression panel’s recommendation, whether at the first assessment or on re-assessment.

F8.8 Examination

1 At least one examiner must have appropriate enterprise experience.

2 The examination for EntD has two stages: firstly the submission and preliminary assessment of the thesis and final business plan, and secondly their defence by oral examination.

Following the completion of the examination the examiners may recommend:

i) that the candidate be awarded the degree;
ii) that the candidate be referred to complete minor amendments to the submission with no further requirement for an oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All minor amendments must be completed subject to the satisfaction of the internal examiner within three months from the date of the notification of the outcome of the examination;

iii) that the candidate be referred to complete major amendments to the thesis without a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.

iv) that the candidate be referred to complete major amendments to the thesis with a further oral examination. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. The re-submission addressing all amendments and the further oral examination must be completed to the satisfaction of all examiners within six months from the date of the notification of the outcome of the examination.

v) that the candidate be referred to complete a re-write of the submission and to re-submit for the degree within one year and be re-examined. In such circumstances, the examiners must indicate to the candidate in writing the deficiencies of the thesis which require addressing. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vi) that the candidate be referred to complete amendments to the submission and to re-submit for the award of MPhil. In such circumstances, the examiners must indicate to the candidate in writing what amendments and corrections are required. All amendments must be completed to the satisfaction of the examiners within six months from the date of the notification of the outcome of the examination. On receipt of the resubmitted thesis the examiners will determine if a further oral examination is required.

vii) that the candidate be not awarded the degree.

4 Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the oral examination is dispensed with and refer the thesis for further work to be completed within one year as a resubmission. In such cases the examiners must provide written guidance concerning the deficiencies of the thesis for the candidate. The examiners may not recommend that a candidate fail outright without holding an oral examination.

5 Where the Senate, or the University Research Committee acting on its behalf, decides, on the recommendation of the examiners, that the degree be not awarded and no re-examination be permitted, the examiners must prepare an agreed statement of the deficiencies of the thesis and the reason for their decision, which will be forwarded to the candidate.
6 Only one opportunity for re-submission is permitted.

F8.9 Re-submission and Re-examination
1 On re-examination the options available to the examiners are to recommend:
   
i) that the candidate be awarded the degree;
   
ii) that the candidate be awarded the degree of MPhil subject to the presentation of the thesis amended to the satisfaction of the examiners;
   
iii) that the candidate be not awarded the degree.

F8.10 Extensions to standard periods for re-submission
1 The Senate, or the University Research Committee acting on its behalf, may, where there are good reasons, approve an extension of the standard period for re-submission.
Appendix 3  ACADEMIC INTEGRITY: TARIFF OF PENALTIES

Penalty #1: (not available for allegations relating to examinations)
Available at pre-foundation and foundation level for a first upheld offence
- The student is issued with an official warning
- The submission is marked as presented ignoring offending paragraphs
- Subsequent option for Tutor Reassessment remains available if a pass mark for the assessment is not achieved
- The offence is recorded on ASIS but does not appear on the student’s transcript
- The student is referred to the AST

Penalty #2: (not available for allegations relating to examinations)
Available at pre-foundation and foundation level for second upheld offence when the earlier offence would normally have attracted the standard Penalty #1
Available at intermediate or honours level for first upheld offence provided that the assessment is worth 10% or less of the overall module
- A mark of 0% Fail is recorded for that assessment
- The assessment is repeated as a Tutor Reassessment. If no provision is made in the module specification for TR or if time does not permit a TR to be completed before the Board the assessment is repeated as a formal referral in the resit period
- The offence is recorded on ASIS but does not appear on the student’s transcript
- The student is referred to the AST

Penalty #3:
This is the lowest available penalty for an upheld offence relating to an examination
This is the lowest available standard penalty for a first upheld offence at M level
This is the lowest available standard penalty for a first upheld offence where the assessment is worth 10.01% or more of a module at I or H level
This is the lowest available standard penalty for a second upheld offence at I or H level when the earlier offence would normally have attracted the standard Penalty #2
- A mark of 0% Fail is recorded for the overall module
- The full set of module assessment tasks are repeated in full in the next academic session
- The offence is recorded on ASIS and appears on the student’s transcript
- The student is referred to the AST

Penalty #4:
This is the lowest available standard penalty when the earlier offence would normally have attracted the standard Penalty #3
- A mark of 0% Fail is recorded for the overall module
- The student cannot repeat this module or substitute it (this will normally require the student to leave the course)
- The offence is recorded on ASIS and appears on the student’s transcript
- The student is referred to the AST

Penalty #5:
This is the lowest available standard penalty when the earlier offence would normally have attracted the standard Penalty #4
- A mark of 0% Fail is recorded for the overall module
- The student is excluded from the University but can keep any accrued credit
- The offence is recorded on ASIS and appears on the student’s transcript