



UCL

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# UCL Academic Manual

## 2015-16

### Chapter 4: Assessment Framework for Taught Programmes

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Chapter 4 is UCL's regulatory framework for the assessment and examination of Undergraduate and Taught Postgraduate students at UCL. The chapter defines UCL's threshold academic standards. Students should also refer to their programme handbooks and departmental/divisional literature for more detailed information about their specific programme and guidance on the regulations applicable to their studies.

Chapter 4 includes the main regulations for all UCL students, except where the following approved derogations and variations supersede:

**Arts & Humanities**

- Bachelor of Arts (BA) in English Derogations
- Bachelor of Arts (BA) in Fine Art Derogations
- Bachelor of Fine Art (BFA) Derogations
- Master of Fine Art (MFA) Derogations

**The Bartlett, UCL's  
Faculty of the Built  
Environment**

**Engineering**

**UCL Institute of  
Education**

- Bartlett Derogations
- Faculty of Engineering Sciences – Undergraduate Variations
- UCL IOE General Academic Regulations
- UCL IOE Assessment Regulations for Students
- UCL IOE Undergraduate Regulations
- UCL IOE Foundation Degree Regulations
- UCL IOE Bachelor of Education (Honours) Regulations
- UCL IOE Taught Postgraduate Regulations
- UCL IOE PGCE/ PgCE Regulations
- UCL IOE Policy and Procedures for Requests for Additional Time

**Laws**

- UCL IOE Professional Practice Panel (PPP) Policy
- Bachelor of Laws (LLB) Assessment Principles
- Master of Laws (LLM) Derogations

**Life Sciences**

- BSc in Speech Sciences Variations
- UCL School of Pharmacy Extenuating Circumstances Regulations
- UCL School of Pharmacy MPharm Derogations
- UCL School of Pharmacy PGDip General Pharmacy Practice Derogations

**Mathematical &  
Physical Sciences**

- Faculty of Mathematical and Physical Sciences – Undergraduate Variations

**Medical Sciences**

- Bachelor of Medicine, Bachelor of Surgery (MBBS) Regulations

**Social & Historical  
Sciences**

- Faculty of Social and Historical Sciences – Undergraduate Variations

Students following joint or dual programmes delivered in conjunction with other universities, institutes and organisations (e.g. EMPA, International MA) should refer to their specific programme literature for details of the regulations that apply to their studies.

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# 1 Assessment Strategy

## 1.1 Vision

1. Through the Assessment Strategy, UCL ensures that:
  - Assessment contributes to high standards of teaching and learning
  - Students are provided with an opportunity to demonstrate that they have achieved the learning outcomes of the modules and programmes they have undertaken, benchmarked against specified assessment criteria
  - Published regulations enable students' knowledge, skills and abilities to be tested through a wide range of assessment methods

### 1.1.1 Strategic Context

1. This Assessment Strategy should be read in conjunction with the following documents:
  - UCL Academic Manual
  - UCL Learning and Teaching Strategy
  - UK Quality Assurance Agency Benchmark Statements
  - The Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ)
  - UCL's International Strategy

### 1.1.2 Aims

- (a) To determine progression of UCL students through their programmes of study
- (b) To ensure that adequate academic and/or professional standards, are achieved by UCL graduates through appropriate marking, grading and assessment of their knowledge, abilities and skills
- (c) To assist students' educational development by provision of qualitative feedback and an explanation of the grading of their work in both formative and summative assessments
- (d) To ensure UCL students are provided with opportunities to be assessed in a number of different ways
- (e) To provide UCL students with documentation which captures information on their studies and the standards of their achievements for the benefit of future employers and other stakeholders in a global labour market
- (f) To ensure that students are made aware of the nature of assessment criteria

- (g) To develop students' reflection and self-monitoring of the quality of their own work
- (h) To enhance and reward specific qualities which are important to employers
- (i) To promote understanding of cultural diversity and to ensure that inclusive and diverse approaches to teaching, learning and assessment are adopted
- (j) To challenge, stretch and motivate students at every level of ability
- (k) To encourage the development of autonomous learning through a research-based curriculum.

### 1.1.3 UCL Context – National and International

1. UCL is a leading higher education institution within the UK and is world class university as demonstrated by its position in world rankings of universities. It is committed to excellence and innovation in research and teaching and aims to enrich the intellectual, cultural, scientific, economic, environmental and medical aspects of society.
2. UCL has a clear and progressive vision of how a university education should contribute to individual students and to society. It should equip individuals to be leaders in managing change, inspiring others, advancing the boundaries of knowledge and addressing society's major problems.
3. UCL is a multi-disciplinary institution offering a wide range of programmes within a multi-cultural environment, in which the student learning experience is enhanced by the size and diversity of the university and its international research excellence. It has outstanding staff and students from around the world, who are attracted by UCL as a great metropolitan university, situated in the heart of London, with access to major scientific and cultural institutions.
4. This strategy addresses the needs and characteristics of the UCL student population and recognises that this community is changing. Changes take place incrementally and must influence the delivery of teaching, learning and assessment.
5. As in the whole of the HE sector, UCL must move forward against a background of constrained resources; such constraints require innovation and flexibility in approaches to assessment, especially in the application of the new technologies and the use of examination venues for formal written examinations.
6. UCL approves its degree programmes and the regulations that apply to these (including the content of those programmes, the learning outcomes, the methods of assessment and the requirements for the attainment of a qualification) utilising external expertise to ensure the quality of its provision and the robustness of its decision-making processes in terms of student achievement.
7. UCL utilises UK Quality Assurance Agency Benchmark Statements where these have been agreed for its subject areas. Where these do not exist, UCL benchmarks itself against peer institutions using the nationally-approved External Examiner system. External Examiners are consulted during

assessment processes to ensure that the determination of learning outcomes and the setting of assessment criteria are fair and robust.

#### 1.1.4 Education for Global Citizenship

1. UCL's International Strategy provides the framework within which UCL, in keeping with its radical tradition, offers students a challenging learning environment and recognises its responsibilities for training those who will go on to occupy positions of leadership and management internationally. The student experience, which includes assessment, reflects the international role of UCL and the need to address how major global issues in health, environment and social policy shapes the future curriculum.
2. UCL is working with the corporate/business world in the UK and internationally to develop programmes that address the economic need for research-based skills and competences within the developing global economy.

#### 1.1.5 Guiding Principles which Inform this Strategy

1. These are as follows:
  - a) Excellence. UCL is committed to being a knowledge and education provider of the highest quality.
  - b) External verification. UCL strongly believes in the External Examiner system, which provides UCL and its students with the assurance that the quality of its provision remains high; is externally audited to ensure that it is reflecting this quality in the assessment of its students; has mechanisms for the improvement of its teaching and learning opportunities and their associated assessment; and has external approval for its regulations and its administrative processes.
  - c) Diversification. UCL should strive to ensure that both the nature and spread of its assessment activity is sufficiently diversified. There should be an awareness of ethical, environmental and social issues in assessment.
  - d) Opportunity. UCL believes that assessment is an opportunity for students to reflect on their achievements and to determine their success in meeting the high standards required to attain the learning outcomes of the modules for which they have registered and of the programmes with which the modules are associated.
  - e) Integration. There must be integration of the assessment strategy with other key UCL strategies and policies.
  - f) Use of Technological Advancement. There is a commitment to using and developing new technologies in assessment, wherever possible.

## 1.2 Achieving the Key Aims

1. **Aim (a):** to determine progression of UCL students through their programmes of study.

**Departments/Divisions should:**

- Publish clear and explicit criteria for progression from one year to the next which ensure that students have attained the required level to study more complex knowledge, procedures, concepts and ideas, set out in terms of modules taken and/or passed.
- Design degree programmes, taking into account the development of knowledge attained from one year to the next, and guiding students to follow a coherent body of study, through a considered selection of modules, and assist them in demonstrating their achievement of the requirements for the award of the degree.

**Action required:**

- Departments/ Divisions should review their academic programmes and diets to ensure that there is natural progression from one year to the next and that the assessment framework supports this progression.
  - Education Committee should review progression rules with a view to moving towards greater harmonisation.
2. **Aim (b):** to ensure that adequate academic and/or professional standards are achieved by UCL graduates through appropriate marking, grading and assessment of their knowledge, abilities and skills.

**Departments/ Divisions should:**

- Design all assessment with a view to enhancing student learning and to test the knowledge, abilities and skills attained against the learning outcomes of the module.
- Use specified and approved assessment criteria and marking schemes for each assessment component within individual modules.
- Use external sources in order to benchmark provision at UCL such as nationally approved subject benchmarks, External Examiners, external auditors and professional bodies giving accreditation.
- Use standardised schemes of award with local variations where appropriate to meet the academic and professional requirements of given degree programmes.

**Action required:**

- Education Committee should consider using the full range of marks when assessing students in order to identify the highest and lowest levels of achievement.

- Education Committee should review the schemes of award with a view to moving towards greater harmonisation.
3. **Aim (c):** to assist students' educational development by provision of qualitative feedback and an explanation of the grading of their work in both formative and summative assessments.

**Departments/Divisions should:**

- Provide timely feedback on performance.
- Discuss with students through their Staff Student Consultative Committees whether the level of performance required within assessment components of modules is clear.
- Ensure that the feedback to students enables them to understand the relation between the actual mark and their perception of their performance.
- Ensure that there is sufficient tutoring provision to discuss feedback with students and support reflection on their learning based on their assessment outcomes to aid progression.

**Action required:**

- Faculty and departmental/divisional Teaching Committees to review and discuss the enhancement of learning through feedback on student work.
  - Vice-Provost (Education and Student Affairs) to ensure that students have the opportunity to discuss the provision of feedback on their work and to ascertain that they have received support as they reflect on their learning as evidenced by their assessment outcomes.
  - Minimum service standards on student feedback to be implemented across UCL and monitored thereafter.
4. **Aim (d):** to ensure UCL students are provided with opportunities to be assessed in a number of different ways.

**Departments/Divisions should:**

- Use a variety of different assessment methods across a degree programme To enable students to demonstrate knowledge, abilities and skills in diverse ways.
- map the assessment criteria against the learning outcomes.

**Action required:**

- Education Committee should review authorised methods of summative assessment and identify within UCL or stimulate development of new approaches to enhance the quality of assessment methodologies and the student experience.
5. **Aim (e):** to provide UCL students with documentation which captures information on their studies and the standards of their achievements for the benefit of future employers and other stakeholders in a global labour market.

**UCL should:**

- Ensure that the transcript provides clear information about the students' achievements in their degree programme and modules, including level of studies and the scheme of award applied.
- Ensure that information on learning aims and objectives at programme and module level is accessible to students and their prospective employers, as appropriate – clarity of level of assessment; how it fits into the scheme of award; and how it fits with the Higher Education Achievement Record (HEAR) agenda.
- Address access issues to enable all students to maximise their potential for success regardless of their educational background.

**Action required:**

- Education Committee needs to ensure that the UCL complies with the nationally agreed method of recording achievement (the HEAR agenda).

6. **Aim (f):** to ensure that students are made aware of the nature of assessment criteria.

**UCL should:**

- Ensure that information on assessment criteria at programme and module level is published to students in Student Handbooks and in information provided to students as part of a given module.

**Action required:**

- Education Committee needs to check that information on assessment criteria is provided to students.

7. **Aim (g):** to develop students' reflection and self-monitoring of the quality of their own work.

**UCL should:**

- Ensure that students have opportunities to consider their work; the reasons for the grading given to it and how to make improvements in the future.
- Ensure that students have opportunities to discuss their work with academic staff.

**Action required:**

- UCL needs to ensure that students have the opportunity for self-reflection within the Key Skills development and that it is built into the personal tutoring system.
- Education Committee, with CALT, to integrate guidance on the value of peer assessment and on best practice within the range of courses on learning and teaching offered to UCL staff, especially probationary staff, and to provide online documentation, advice and resources on how Departments/ Divisions could use peer assessment.

- Minimum service standards on student feedback to be implemented across UCL and monitored thereafter.
8. **Aim (h):** to enhance and reward specific qualities which are important to employers.
- UCL should:**
- Seek on-going and publicised discussion with existing and new business partners to.
  - Clarify the contribution which UCL students should be expected to make to any organisation after graduation.
  - Explore innovative aspects of employability within the robust and externally-validated academic standards to which UCL is committed.
  - Develop a mutual understanding of the need for an “education for global citizenship”.
9. **Aim (i):** to promote understanding of cultural diversity and to ensure that inclusive and diverse approaches to teaching, learning and assessment are adopted.
- UCL should:**
- Actively celebrate diversity within the existing academic and personal cultures.
10. **Aim (j):** to challenge, stretch and motivate students at every level of ability to encourage the development of autonomous learning through a research-based curriculum.
- UCL should:**
- Ensure that students understand all aspects of assessment, and develop knowledge by means of peer assessment, for instance.
  - Develop students’ critical thinking and critiquing skills and introduce them to discussion on the quality of academic writing, literature review and research articles.
  - Ensure assessment modalities are designed to achieve the desires if this aim.

### **Implementation**

This section will have an implementation plan.

The Assessment Strategy should be subject to further review and revision after a further three years.

## 1.3 Academic Assessment

1. This Assessment Strategy should be read together with the following documents:
  - The Assessment Framework for Taught Programmes
  - UCL Learning and Teaching Strategy
  - UK Quality Assurance Agency Benchmark Statements
  - The Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ)

### 1.3.1 General Principles for Academic Assessment

1. UCL's strategy for the summative assessment of students enrolled on Taught Programmes has three formal objectives:
  - i) To determine progression through a programmes of study
  - ii) To assure that adequate academic and/or professional standards are achieved by UCL graduates
  - iii) To rank, grade or classify UCL students according to measurable, demonstrated abilities and achievements
2. However, summative and formative academic assessment at UCL also aspires to:
  - i) assist students' educational development by qualitative feedback
  - ii) develop and test specific, diverse, defined tasks and skills
  - iii) develop student awareness of the nature of assessment criteria
  - iv) develop reflection and self-monitoring by students of quality in their own work
  - v) enhance and reward specific qualities of concern to graduate employers in their discipline through UCL practice in the use of assessment
  - vi) promote understanding of cultural diversity and overcome cultural constraints in as much as they may limit approaches to learning
  - vii) challenge, stretch and motivate students at every level of ability
  - viii) encourage the development of autonomous learning through a research-based curriculum

### 1.3.2 UCL Taught Programme Structure

1. Details of the structures of UCL Taught Programmes, including the full list of UCL qualifications and information about credit, academic levels and course units/ modules, can be found in Chapter 2: Qualifications and Credit Framework.

### 1.3.3 Forms of Academic Assessment

1. Assessment is a general term used to describe the mechanism to measure student achievement. A variety of assessment methods may be applied to reflect an integrated curriculum design. At UCL there is an expectation that a mixture of formative and summative assessment methodologies will be applied to test different skills and to enable students to achieve the intended learning outcomes. Formative assessment can also provide experience of a programme's summative assessment.
2. Summative academic assessment provides a clear statement of achievement or failure that can be made in respect of an individual student's performance. The outcome of summative assessment is used to classify a degree award and is recorded on student transcripts.
3. Formative academic assessment provides feedback to individual students about their progress towards achieving the intended learning outcomes for specified course units and modules. In addition, innovative formative assessment methodologies make an important contribution to the overall development of student skills and transferable knowledge.
4. Assessment is core to the UCL student experience and, as well as measuring student performance, assessment also provides, amongst others, the following opportunities:

**For students:**

- To have feedback on their individual performance and quality of learning.
- To progress through a programme of study leading to the award of a degree.

**For academic staff:**

- To evaluate the effectiveness of their teaching and learning strategies.
- To provide a measure to compare student achievement.

**For UCL:**

- To evaluate the effectiveness of teaching and learning across the institution.
- To provide a measure for consistent practice and identify areas for further development.

**Guidance for Students and Staff:**

1. Guidance on curriculum development including assessment is available from UCL's [Centre for the Advancement and Learning and Teaching \(CALT\)](#).

## 1.3.4 Summative Assessment: Overarching Principles

1. Summative academic assessment is employed by UCL in order to:
  - i) Determine progression through a programmes of study
  - ii) Assure that adequate academic and/or professional standards are achieved by UCL graduates
  - iii) Rank, grade or classify UCL students according to measurable, demonstrated abilities and achievements.

## 1.3.5 Types of Summative Assessment

### 1 Unseen Written Examination

1. Unseen written examinations whether administered by UCL Student and Registry Services or by Departments/Divisions, should be conducted over an appropriate period of time and be appropriate to the level of study. The examination should provide the opportunity for students to demonstrate the extent to which they have achieved the stated learning outcomes of the assessed component.
2. The purpose, weighting and format of an unseen written examination must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### 2 Oral Examinations and Oral Presentations

#### Oral Examinations

1. For programmes that are assessed by 100% coursework, an oral examination must be conducted as part of the summative assessment.
2. Oral Examinations (formerly referred to as 'vivas') can be used as part of the formal assessment methods of a course unit or module. However it should be noted that, when course units or modules include an element of summative oral examination, this applies to all students must be examined.
3. The purpose, weighting and format of an oral examination must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

#### Oral Presentations

1. Oral Presentations can be used as part of the formal assessment methods of a course unit or module. Oral presentations can include poster and PowerPoint presentations and the presentation of objects, etc.
2. The purpose, weighting and format of an oral presentation must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

#### Guidance for Students and Staff:

1. In the interests of students, UCL expects that oral examinations or presentations will be conducted in a professional and open manner. Students should be made aware of the purpose, format and assessment criteria, including any prescribed

length of time, for an oral examination or presentation in advance of the assessment taking place. The examiners should discuss the strategy they propose to adopt during the oral examination/presentation, and, at its outset, outline this to students being assessed.

2. All oral examinations should be conducted in UCL in a room that is fit for purpose, i.e. sufficiently large enough to be comfortable for the duration of the examination(s), affording privacy and not overly affected by noise from the outside.
3. NB Oral examinations and presentations must be directly examined by two examiners. External Examiners can be invited to attend oral examinations as observers and should not directly examine students.
4. Further information about the contribution of Taught Programme Examiners to the summative assessment process, including receiving representative samples of student work, is set out in Section 8: Boards of Examiners.

### **3 Coursework**

1. Coursework that contributes to the summative assessment of students' work can be essays, reports, assignments such as diary keeping or logs, laboratory books or other form of written work.
2. The purpose, weighting and format of coursework must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

#### **Guidance for students and staff:**

3. Students should be made aware of UCL policies for the detection of plagiarism the procedures required to submit coursework in the student literature, i.e. in the course/programme handbook or equivalent.

### **4 E-Assessment**

1. Summative e-assessment must be conducted in a planned and controlled manner, with arrangements made for pre-testing of assessments, invigilation, and technical support in accordance with the regulations for e-assessment.
2. The purpose, weighting and format of an e-examination must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### **5 Departmental/divisional Tests**

1. Summative assessments administered by Departments/Divisions that are not coursework may be activities such as unseen written examinations or multiple choice questionnaires. The tests must be invigilated in accordance with the standards set out in this Assessment Framework for Taught Programmes.
2. The purpose, weighting and format of a departmental/divisional test must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### **6 Non-E-Assessment Multiple Choice Questionnaires (MCQ)**

1. MCQs included as summative assessment can be administered as coursework or departmental/divisional tests.

2. The purpose, weighting and format of MCQs must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

## **7 Take Home Papers**

1. A take home paper is normally an unseen written examination that students complete in their own time.
2. The purpose, weighting and format of take home papers must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### **Guidance for Students and Staff:**

1. Students should be made aware of UCL policies for the detection of plagiarism the procedures required to submit take home papers in the student literature, i.e. in the course/programme handbook or equivalent.

## **8 Practical Examinations**

1. Practical examinations must be conducted in a planned and controlled manner, with arrangements for invigilation in accordance with the standards set out in this Assessment Framework for Taught Programmes.
2. The purpose, weighting and format of practical examinations must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

## **9 Exhibitions of Student Work**

1. Exhibitions must be directly examined by two examiners. An External Examiner can be invited to attend, but in such a case it is expected that all oral examinations for the course unit or module would have an External Examiner present.

### **Guidance for Students and Staff:**

1. Further information about the contribution of Taught Programme Examiners to the summative assessment process, including receiving representative samples of student work, is set out in Section 8: Boards of Examiners.

## **10 Group or Collaborative Work**

1. For group or collaborative work that contributes to summative assessment, the criteria for the identification of the contribution of individuals must be clearly stated in the assessment task.
2. The purpose, weighting and format of group or collaborative work must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### **Guidance for Students and Staff:**

1. Further guidance for best practice in designing summative assessment can be obtained from UCL's [Centre for the Advancement of Learning and Teaching \(CALT\)](#).

## **11 Open Book Examination**

1. Departments/ Divisions will inform students about permitted materials that may or may not be brought into the hall for each open book exam in advance of an open book examination.

### **Guidance for Students and Staff:**

1. Departments/ Divisions should inform students about what materials may or may not be brought into the hall for each open book exam in advance of an open book examination. Ideally students should be informed in writing, preferably in the module literature. The size of the desks and space between desks may be a limiting factor for the permissible materials. Examiners are responsible for ensuring that students do not bring any unauthorised materials into the hall or that any highlighting or tabs in texts/notes brought into the hall meet any criteria specified prior to the exam.

## **12 Prior Disclosure Examinations**

1. The term 'prior disclosure examination' is used for any academically assessed work which is issued to students, either in advance of a timed examination or to be handed in on a specified date no later than fourteen days from the issue of the examination paper or other form of examination.

### **Guidance for Students and Staff:**

1. Once the paper for a prior disclosure examination has been issued, all students, whether or not they are present at the time of issue, shall be regarded as having access to the paper in exactly the same way as for an unseen examination paper. Students who are absent at the time that the paper is issued shall be given the choice of either sitting/handing in the paper at the specified time or of re-entering for the examination on the next normal occasion if they have not been awarded a degree or used all of their attempts. They must notify their choice in writing to the Chair of the Board of Examiners concerned.
2. Students for prior disclosure examinations may exceptionally and for good reason, with the permission of the Board of Examiners in question, sit for or hand in the paper, up to twenty-four hours in advance or twenty-four hours in arrears of the due date. No further extension of the due date will be permitted. Students who fail to sit for or hand in a prior disclosure examination paper by the due date (or exceptionally, an approved extended date) shall be considered as absent and awarded a mark of zero. Students will have the right to re-enter the examination on the next normal occasion.

## **1.3.6 Formative Assessment: Overarching Principles**

1. At UCL formative assessment is employed to help students achieve the intended learning outcomes for specified course units and modules by providing feedback to individual students about their performance and can also provide experience of a programme's summative assessment. Formative assessment should also be designed to:
  - i) Assist students' educational development by qualitative feedback

- ii) Develop and test specific, diverse, defined tasks and skills
- iii) Develop student awareness of the nature of assessment criteria
- iv) Develop reflection and self-monitoring by students of quality in their own work
- v) Enhance and reward specific qualities of concern to graduate employers in their discipline through UCL practice in the use of assessment
- vi) Promote understanding of cultural diversity and overcome cultural constraints in as much as they may limit approaches to learning
- vii) Challenge, stretch and motivate students at every level of ability
- viii) Encourage the development of autonomous learning through a research-based curriculum.

### 1.3.7 Types of Formative Assessment

1. Formative assessment can be innovated and include other methods of assessment as well as providing experience of the summative assessments.
2. The purpose and format of formative assessments must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

#### **Guidance for Students and Staff:**

1. Further guidance for best practice in designing formative assessment can be obtained from UCL's Centre for the Advancement of Learning and Teaching (CALT).

### 1.3.8 Administration of Assessment

#### **Summative Assessment Administered by UCL Departments/Divisions**

1. UCL Departments/Divisions are responsible for the design and balance of assessment for programmes, course units and modules delivered by their academic members of staff. They are also required to ensure that all summative assessments are set, administered, marked and moderated in accordance with this Assessment Framework for Taught Programmes.

#### **Guidance for Students and Staff:**

1. Further guidance for best practice in designing formative assessment can be obtained from UCL's Centre for the Advancement of Learning and Teaching (CALT).
2. Guidance on examination arrangements can be obtained from Assessment and Student Records.

## **Summative Assessment Administered by UCL Student and Registry Services**

1. Upon request by Departments/Divisions, Assessment and Student Records, Student and Registry Services, are responsible for the provision of examination papers, timetable, accommodation, invigilation and return of completed examination scripts to Departments/Divisions for marking.

### **Guidance for Students and Staff:**

1. Departments/Divisions should refer to the timetable published by Assessment and Student Records for the provision of examination papers and examination timetable.

## **Special Assessment Arrangements**

1. Special Examination Provision on grounds of Dyslexia, Disability or Ill Health will be accommodated by UCL. Students with a disability or ill health can apply for special assessment arrangements in their examinations or assessments administered by UCL Assessment and Student Records.

### **Guidance for Students and Staff:**

1. Application for special examination provision should be made to Assessment and Student Records and forms are available from Assessment and Student Records, Student Disability Services in UCL Student and Registry Services and from Departments/ Divisions. Students who require special examination arrangements as a result of dyslexia should be advised to register with Disability Services and are required to arrange an assessment appointment as soon as possible and no later than the end of the second term for the main summer term examination period, or six weeks before any examinations or tests, for which special arrangements are sought, outside that period.

## **Extenuating Circumstances**

1. Section 7: Extenuating Circumstances governs the policy and procedures for the consideration of students whose performance at assessment might be affected by illness or other Extenuating Circumstances.

## **Religious, Cultural and Disability Considerations**

1. UCL will accommodate reasonable adjustments to the examination timetable for students who have Religious, Cultural and Disability Considerations that affect their attendance.

### **Guidance for Students and Staff:**

1. In accordance with UCL's policy for cultural and religious inclusiveness, account will be taken of any constraints for the assessment of students owing to cultural or religious observance. Reasonable adjustments will be made where possible.

## **The Academic Assessment Process**

### **The Marking Process**

1. UCL has an overarching comprehensive moderation of marking policy that informs the procedures for marking students' work adopted by Faculties and Departments/Divisions.
2. The procedures applied by Departments/Divisions for marking student work must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

### **Marking Anonymity**

3. The marking of all student academic assessment should be conducted anonymously and marks entered against candidate numbers.
4. Guidance for students and staff: There are some circumstances when anonymity is not possible for example oral examinations, exhibitions, marking clinical work with patients, portfolios of work etc.
5. However UCL's policy is that anonymity must be exercised when possible and must apply for progression and classification of awards.

### **Assessment Criteria**

6. For both summative and formative assessment the assessment criteria should be designed to help students know what they are expected to achieve and the demonstrated knowledge and skills that will be taken in to account in awarding marks.
7. The assessment criteria applied for all assessed work must be specified in the student literature, i.e. in the course/programme handbook or equivalent.

#### **Guidance for Students and Staff:**

8. Further guidance for best practice in designing assessment criteria, including the identification of the key skills and knowledge being tested can be obtained from UCL's [Centre for the Advancement of Learning and Teaching \(CALT\)](#).

### **Service Standards for Feedback on Assessed Work**

9. The service standards for the provision of feedback on academically assessed work are set out in Section 6: Feedback.

### **Formative Feedback Overarching Principles**

10. Formative feedback should be:
  - i) Received by students in good time
  - ii) Focused on helping students to develop the skills, knowledge and understanding required
  - iii) Helpful in identifying areas for improvement
  - iv) Appropriate for the type of assessment

### **Guidance for Students and Staff:**

1. Students and staff should note any departmental/divisional and Faculty guidelines for providing feedback to students.
2. In the interests of students, UCL expects that oral examinations or presentations will be conducted in a professional and open manner. Students should be made aware of the purpose, format and assessment criteria, including any prescribed length of time, for an oral examination or presentation in advance of the assessment taking place. The examiners should discuss the strategy they propose to adopt during the oral examination/presentation, and, at its outset, outline this to students being assessed. All oral examinations should be conducted in UCL in a room that is fit for purpose, i.e. sufficiently large enough to be comfortable for the duration of the examination(s), affording privacy and not overly affected by noise from the outside. Further guidance for best practice in providing formative feedback, can be obtained from UCL's Centre for the Advancement of Learning and Teaching (CALT).

## **Outcomes for Summative Academic Assessment**

### **Undergraduate Programmes**

1. The pass mark for undergraduate course units is 40% for all undergraduate students.

### **Integrated Masters Programmes (MSci and MEng Degree Programme)**

2. In years one, two and three of MSci and MEng programmes, the pass mark is 40%. In year four students must select a minimum of three course units at Masters level for which the pass mark is 50%.

### **Taught Postgraduate Programmes (Masters Level)**

3. The pass mark for Masters Level programmes is 50% for all taught postgraduate students.

## **1.3.9 Roles and Responsibilities for Academic Assessment**

### **Students**

1. UCL expects students to engage and comply with the assessment requirements of their programmes

### **Departments/ Divisions**

2. Departments/ Divisions are responsible for setting an appropriately balanced set of e-Assessments for the degree progress they deliver and to ensure that the administration of the assessment procedures are managed in accordance with this Assessment Framework for Taught Programmes. This responsibility includes the identification of Examination Liaison Officers, management of Boards of Examiners and suitably qualified External Examiners.

### **Faculties**

3. UCL Faculties are responsible for overseeing that assessment procedures are managed in accordance with this Assessment Framework for Taught

Programmes. This responsibility includes the management of a Faculty Board of Examiners and annual reporting mechanisms to the UCL Education Committee and feedback to academic staff and students.

#### **Internal Examiners**

4. UCL internal examiners are responsible for assuring that the assessment of student work has been conducted fairly and consistently in accordance with this Assessment Framework for Taught Programmes.

#### **External Examiners**

5. The role and responsibility of UCL appointed External Examiners are set out in the Boards of Examiners regulations in Chapter 6, Section 4: External Examining.
6. External Examiners help to ensure that:
  - i) UCL academic standards are maintained and student performance is properly judged
  - ii) The assessment process measures student performance against the intended learning outcomes
  - iii) The regulations governing the assessment of students have been rigorously and consistently applied.

### **1.3.10 Boards of Examiners**

#### **Department/Division Boards of Examiners**

1. Departments/Divisions are responsible for ensuring that programme or subject Boards of Examiners are set up and constituted in accordance with Section 8: Boards of Examiners.

#### **Faculty Board of Examiners**

2. UCL Faculties are responsible for ensuring that the Faculty Board of Examiners is set up and constituted in accordance with Section 8: Boards of Examiners.

#### **Education Committee**

3. Education Committee is responsible for overseeing the assessment, annual monitoring procedures and maintenance of academic standards in accordance with Section 8: Boards of Examiners.

### **1.3.11 Annual Reporting and Quality Enhancement Mechanisms**

1. External Examiners submit an annual report to UCL providing qualitative annual monitoring for taught programme examinations awards and standards.
2. All reports are scrutinised on behalf of Education Committee and inform the enhancement of teaching and learning for UCL Departments/Divisions.
3. Examiners reports are subject to a feedback and analysis process that informs Faculty teaching and learning strategies.

### **Guidance for Students and Staff:**

1. Examiners' reports are submitted to the Chair of Education Committee.

## **1.3.12 Academic Assessment Information Provided to Students**

1. On behalf of the Head of Department/Division, academic staff in UCL Departments/Divisions are responsible for the provision of assessment information to students. The information provided to students must include:
  - i) An accurate description of the assessment task
  - ii) Clear instructions about the assessment methodology
  - iii) The criteria against which student knowledge and skills will be tested
  - iv) If applicable, clear instructions for the identification of collaborative work and what is original
  - v) Coursework submission deadlines and information about penalties for late submission
  - vi) Information about UCL's plagiarism policies and penalties.

### **Guidance for Students and Staff:**

1. UCL Departments/Divisions may provide information to students in a number of formats including published course literature in handbooks and on the UCL intranet. Academic staff must ensure that the information is accurate and up to date.

## **Programme Specifications**

1. All programmes offering places to students must maintain an accurate Programme Specification that is published on their website and available to students and other stakeholders.

## **1.3.13 Student Records Database (Portico)**

### **Module Selection**

1. Student module selection is conducted via Portico. On behalf of the Head of Department/ Division, academic staff in UCL Departments/Divisions are responsible for ensuring that the requirements of the annual academic review of modules and programmes diets is accurate including the summative assessment information that students must satisfy in order to be awarded a degree by UCL.

### **Guidance for Students and Staff:**

1. UCL Departments/Divisions must ensure that the module details and programme diets are accurate. Further information about the annual academic review is available from [modules@ucl.ac.uk](mailto:modules@ucl.ac.uk)

## **Examination Timetable**

1. Individual student examination timetables are managed by Assessment and Student Records. The relevant departmental/divisional academic staff are responsible for ensuring that examination materials and format are accurate.
2. Students are responsible for checking their individual timetables, via Portico, and notifying their Departments/Divisions of any inaccuracies at the earliest possible time.

### **Guidance for Students and Staff:**

1. UCL Departments/Divisions must ensure that the module assessment details are accurate and notify examinations@ucl.ac.uk of any inaccuracies at the earliest possible time.

## **Release of Marks**

1. Assessment and Student Records publish the dates for the release of marks that have been approved by Boards of Examiners. All awards are subject to ratification by the UCL Education Committee and only then are they finally confirmed.

### **Guidance for Students and Staff:**

1. Academic staff must ensure that all marks are entered into Portico in good time for consideration by Boards of Examiners.

## **Release of Marks Prior to Formal Ratification by a Board of Examiners**

1. Departments/divisions may provide students with information about their results before confirmation by a Board of Examiners. However, it must be made clear that the information is provisional and unconfirmed.

### **Guidance for Students and Staff:**

1. Students and staff should note that any marks released before confirmation by the relevant Board of Examiners is provisional. If an error in calculating a result is discovered, the actual result achieved (not the one erroneously calculated) will prevail.

## 2 Undergraduate Assessment

### 2.1 Forms of Academic Assessment

1. Assessment is a general term used to describe the mechanism to measure student achievement. A variety of assessment methods may be applied to reflect an integrated curriculum design. At UCL there is an expectation that a mixture of formative and summative assessment methodologies will be applied to test different skills and to enable students to achieve the intended learning outcomes. Formative assessment can also provide experience of a programme's summative assessment.
2. Summative assessment provides a clear statement of achievement that can be made in respect of an individual student's performance. The outcome of summative assessment is used to classify a degree award and is recorded on student transcripts.
3. Formative assessment provides feedback to individual students about their progress towards achieving the intended learning objectives for specified course units and modules. In addition, innovative formative assessment methodologies make an important contribution to the overall development of student skills and transferable knowledge.
4. Permitted forms of summative academic assessment are set out in Section 1: Assessment Strategy.
5. Permitted forms of summative e-assessment are set out in Section 5.2: Summative e-Assessment.

### 2.2 Special Assessment Arrangements

1. Students with a specific learning difficulty, disability or ill health can apply for special arrangements in their examinations and course work under Section 4: Special Assessment Arrangements.

### 2.3 Assessment in a Language other than English

1. All assessed work, whether written papers or course unit work or oral examination, shall be assessed in the English language unless:
  - a) The purpose of the assessment is to test the ability of students in a language other than English.
  - b) The programme has been specifically designed for academic reasons to include the possibility of completing a major part of the assessment in the

language of study, but at least 25% of the whole assessment of the programme must be assessed in the English language.

## 2.4 Attendance Requirements and Eligibility for Assessment

1. UCL's minimum attendance requirement is 70%. Departments may stipulate a higher percentage and additional requirements where appropriate. Students whose attendance falls below the attendance requirement are ineligible for summative assessment.
2. Chapter 1, Section 9: Learning Agreements, Barring, Suspensions and Terminations of Study describes the procedures in place for students who fail to meet the minimum attendance requirements.

## 2.5 Undergraduate Modern Foreign Language Requirements

1. The options to satisfy UCL's modern foreign language (MFL) requirements are:
  - i) Have a C grade or higher in GCSE, or equivalent, in a modern foreign language; or
  - ii) Attendance at a Summer School arranged by UCL prior to enrolment; or
  - iii) Select a 0.5 course unit in a modern foreign language as an elective course unit choice in year one; or
  - iv) Enrol on a non-credit bearing 0.5 course unit in a modern foreign language in cases where a credit bearing 0.5 course unit cannot be accommodated in a student's diet; or
  - v) Enrol in an evening class in a modern foreign language taught by the UCL Centre for Language and International Education over terms 1 and 2, but only when a non-credit bearing 0.5 course unit is incompatible with the student's timetable.
  - vi) The language requirement must be completed before entry (options i) and ii) or during year one of an undergraduate programme (options iii) to v)).
  - vii) Options i) to v) are hierarchical. Consequently, option iv) cannot be chosen unless option iii) is not possible, and option v) cannot be chosen unless option iv) is not possible.
  - viii) GCSE passes in, or enrolment on a 0.5 course unit in Ancient Greek, Hebrew or Latin will not satisfy the GCSE modern foreign language progression criteria.

- ix) Students taking one of options iii) to v) must complete the 0.5 course unit but need not pass the course. However students taking option iii) will carry the consequences of a fail in the calculation for honours.
- x) Students taking option iv) must complete formative assessments but are excused the summative assessment in the third term.
- xi) The fee for option v) will be met centrally by UCL through payment to the Centre of Languages and International Education.
- xii) The GCSE progression requirement does not take account of proficiency in a heritage language and such cases should be referred to the Vice-Provost (Education and Student Affairs), via Assessment and Student Records.
- xiii) In exceptional circumstances the MFL progression requirements may be suspended if they are deemed to place an unreasonable burden on the student. Such cases should be referred to the Vice-Provost (Education and Student Affairs), via Assessment and Student Records.

## 2.6 Undergraduate Pass Mark

### **Bachelors Programmes (Except MSci/ MEng)**

1. The pass mark for undergraduate course units is 40% for all undergraduate students except for MSci/ MEng students when enrolled on Masters level course units.

### **Integrated Masters Programmes (MSci/ MEng)**

2. On MSci and MEng programmes, the pass mark for modules taken at levels 4, 5 and 6 is 40%. For modules taken at level 7/ Masters level the pass mark is 50%.

### **Graduate Certificate and Graduate Diploma Programmes**

3. On Graduate Certificate and Graduate Diploma programmes the pass mark is 40%.

## 2.7 Undergraduate Award Requirements

### 2.7.1 Total Number of Course Units to be Completed

1. A course unit is completed when a student has been academically assessed in all of the examined components relating to the course unit.

#### **Three-Year Programmes**

2. Twelve course units must be completed on a three-year programme.

### **Four-Year Programmes**

3. Sixteen course units must be completed on a four-year programme.

### **Graduate Certificate and Graduate Diploma Programmes**

4. Students must complete all course units.

### **Completion of Components required for Completion of a Course Unit**

5. Completion of any component representing more than 20% of a course unit is required for completion of the course unit as a whole.
6. Some course units will have component with lower weight where the completion of the component is required for completion of the course unit as a whole.
7. Whenever completion of a component is required for completion of the course unit, the component must be clearly identified to students enrolled on the course unit. The threshold for completion must be set by a department/division and must be clearly publicised to the students. The threshold for completion might be the requirement to submit at least a specified fraction of the course work.
8. If the threshold for completion is not reached, then the result for the component will be 'incomplete and a mark of zero should be returned irrespective of the performance of the student. Otherwise, the threshold criteria are met and the student is declared 'complete' on the component.
9. If completion of the component is not required for completion of the course unit or if no threshold criteria are set, then the mark obtained by a student, including zero, is returned for this component. The overall mark is calculated in the usual way and the student declared 'complete' on the component.

### **Being 'Complete' for Unseen Examinations**

10. An unseen examination component is deemed complete if a student has submitted an answer that can be academically assessed. The mark awarded, however, might be zero. If a candidate makes little or no attempt at the examination, this will be deemed "incomplete" and the course unit as a whole will also be deemed "incomplete".

## **2.7.2 Total Number of Course Units to be Passed**

1. A course unit is passed when a student has been academically assessed in all of the examined components relating to the course unit and achieved the pass mark for the course unit as a whole.

### **Three-Year Programmes**

2. For the consideration of an award of an honours degree, a minimum of 11 course units should be passed on a three-year programme with three course units passed at advanced level, except where local or professional requirements dictate a higher threshold.

### **Four-Year Programmes (Non-MSci/ MEng programmes)**

3. For the consideration of an award of an honours degree, a minimum of 14.5 course units should be passed on a four-year programme with three course units passed at advanced level, except where local or professional requirements dictate a higher threshold.

### **Four-Year Programmes: MSci and MEng Programmes**

4. For consideration of an award of an MSci or MEng degree, a minimum 14.5 course units should be passed on a four-year programme, with three course units passed at advanced level, and a minimum of three course units must be passed at Masters level.

### **Graduate Certificate and Graduate Diploma Programmes**

5. Students must achieve a pass mark in 3.5 course units of which 0.5 course unit may be a condoned fail.

#### **Further guidance**

1. UCL levels of study are defined in Chapter 2, Section 3.5: Academic Levels.
2. See Chapter 1, Section 4.9: Extra-Mural Industrial Placement Years for further information.

## **2.7.3 Assessment Weightings for Progression and Award**

### **Three-year Honours Degrees**

1. 12 course unit programmes are weighted as follows: 1: 3: 5 (first; second; third year), subject to Faculty variation.

### **Four-Year Honours Degrees without a Year Abroad or Extra-Mural Placement Year**

2. 16 course unit programmes without a year abroad are weighted as follows: 1: 3: 5: 5 (first; second; third; fourth year), subject to Faculty variation.

### **Four-Year Honours Degrees with a Mandatory Year Abroad or Extra-Mural Placement Year**

3. 16 course unit programmes are weighted as follows: 1: 3: 3: 5 (first; second; third; fourth year), subject to Faculty variation.
4. If the year abroad is spent in the fourth year, the weighting is as 1: 3: 5: 3 (first; second; third; fourth year), subject to Faculty variation.

### **Four-Year Honours Degrees with a Year Abroad Project**

5. 16 course unit programmes with a year abroad, which yields marks for the year abroad project only should be weighted as follows: 1: 3: 0: 5 (first; second; third; fourth year) with the mark for the year abroad project being counted in the final year marks and given a weighting of 5.

### **Further guidance**

1. Students should be aware the weightings set out above are UCL standard requirements and must be read in conjunction with department/division and/or Faculty regulations.
2. There are no Faculty variations for the Faculty of the Built Environment except for the BSc Architecture and BSc Project Management for Construction that both require 12 course units to be passed and the BSc Project Management for Construction (sandwich) programme that requires 16 course units to be passed.
3. There are no Faculty variations for the Faculty of Life Sciences except for the BSc degree in Speech Sciences. Students in other Faculties are advised to read these regulations together with the regulations for the award of a UCL Undergraduate Honours Degree for their programme.
4. Faculty variations are set out in Chapter 8: Derogations and Variations for:
  - a) Faculty of Engineering Sciences
  - b) Faculty of Mathematical and Physical Sciences
  - c) Faculty of Social and Historical Sciences
  - d) BSc Speech Sciences

### **2.7.4 Weighting of Marks Achieved for Re-Assessed Course Units**

1. Marks achieved for re-taken or substitute course units (see 2.16 Reassessment) will be weighted in accordance with the first attempt programme year weighting.

### **2.7.5 Period of Study for Consideration of a UCL Honours Degree**

1. Students will not be considered for the award of Honours on more than two occasions in respect of any one period of study for a UCL degree.

### **2.7.6 BSc/BEng Awards on MSci/ MEng Programmes**

1. Students may be awarded a BSc/BEng if they have failed to meet the criteria for an MSci or MEng degree. To be awarded BSc/BEng the student must pass 11 course units with three course units passed at Advanced Level.

### **2.7.7 Award of Honours for Students Admitted with the Recognition of Prior Learning (RPL)**

1. Students, accepted by UCL under the regulations for the Recognition of Prior Learning (RPL), may be granted exemption from certain course units and the corresponding examinations but will still be eligible for an award of an Honours Degree, if they have met the requirements of the programme of study in all other areas and have satisfied the Board of Examiners accordingly.

### **Further guidance**

1. Students admitted with RPL who have not met the requirements of their programme of study but who have passed the minimum required course units, taking account of the RPL with which they were admitted to UCL for a three-year or four-year programme, will be eligible for the award of an honours degree with a different field of study.
2. Any variation to the consideration for the award of degree should be specified at the time RPL is approved.
3. The procedures and application procedures for the Recognition of Prior Learning are defined in Chapter 1, Section 1.6: Recognition of Prior Learning for Entry to UCL.
4. With the exception of students on the Integrated BSc, when students are exempted from any course-unit examinations under the provisions of the General Regulations, the examiners will assess their class of Honours entirely upon their performance in the course-unit examinations in which they are examined. Any variation to the consideration for the award of degree should be specified at the time RPL is approved.

## **2.7.8 Award of Honours for Students Failing to Pass Specified Course Units**

1. For programmes where certain specified course units have to be passed, and where students have failed to pass the specified course unit but have passed the required number of units for the award of an honours degree, students will still be eligible for the award of an honours degree, but one with a different field of study, provided that:
  - a) The student has been notified in writing of any changes to the Scheme or the Award of Honours since the time of original registration for the programme.
  - b) The student has indicated in writing that they understand that changes have been made to the Award of Honours as notified.

### **Further guidance**

1. Students, for whom the conditions set out above cannot be fulfilled, may be considered for Honours according to the Scheme for the Award of Honours in place at the time of entry or re-entry to the final examination.
2. Consideration for Honours, with a different field of study, will be granted only when students have completed the required number of course units. The Board of Examiners, through the Chair of the Board, is responsible for confirming eligibility for an award of Honours with a different field of study.

## 2.8 Undergraduate Progression Criteria

### 2.8.1 Programmes with Standard Progression Regulations

1. These are minimum progression requirements and some departmental/divisional, Faculty or Professional Body requirements may require a higher threshold.
2. Progression can only take place when a full set of results is available including any referred or deferred assessment results and marks provided by other institutions.

#### **Three-Year Degree Programmes**

3. In order to progress from Year 1, students must have passed at least 3.0 course units and be registered to complete in Year 2 any course unit not yet complete. However, students may not progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities may ask their Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Students must also have satisfied the requirements of Section 2.5: UG Modern Foreign Language Requirements in order to progress to Year 2. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Board of Examiners, students may progress if they have failed to meet the progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.
4. In order to progress from Year 2, students must be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units, and be registered to complete in their final year any course unit not yet complete. However, students may not progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1, or have incomplete course units from Year 2 following an interruption, may ask their Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Otherwise, such students will never complete the number of course units required to graduate with a classified degree. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Board of Examiners, students may progress if they have failed to meet the progression threshold by 0.5 course units and, therefore, have passed 6.5 course units, provided all Year 1 progression requirements have been met including passing at least 3.0 course units from Year 1.

## **Four-Year Programmes: Study Year Abroad Programmes**

5. In order to progress from Year 1, students must have passed at least 3.0 course units and be registered to complete in Year 2 any course unit not yet complete. However, students may not progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities may ask their Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Students must also have satisfied the requirements of Section 2.5: UG Modern Foreign Language Requirements in order to progress to Year 2. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Board of Examiners, students may progress if they have failed to meet the progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.
6. In order to progress from Year 2, students must be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units, and be registered to complete in their final year any course unit not yet complete. However, students may not progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1, or have incomplete course units from Year 2 following an interruption, may ask their Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion.
7. Students should have qualified for progression prior to their year abroad.
8. If the student is eligible for referred assessment this must take place, and be passed, prior to the student leaving for the year abroad. If the student is to re-sit the assessment this must take place during the summer before they enter Year 4 at the time of the Late Assessments.
9. In order to progress from Year 3, students must be complete in 12.0 course units, have passed at least 11.0 course units, and have met all Year 2 progression requirements.
10. All progression decisions at the end of year 3 are provisional. Progression from Year 3 will not be confirmed until all marks are available and have been ratified by a Board of Examiners. Progression may therefore be confirmed at the start of Year 4.

## **Four-Year Programmes: MSci and MEng Programmes**

11. In order to progress from Year 1, students must have passed at least 3.0 course units and be registered to complete in Year 2 any course unit not yet complete. However, students may not progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities may ask their

Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Students must also have satisfied the requirements of Section 2.5: UG Modern Foreign Language Requirements in order to progress to Year 2. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Board of Examiners, students may progress if they have failed to meet the progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.

12. In order to progress from Year 2, students must be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units, and be registered to complete in their final year any course unit not yet complete. However, students may not progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities. Students who have not completed 4.0 course units from Year 1, or have incomplete course units from Year 2 following an interruption, may ask their Departmental/Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Otherwise, such students will never complete the number of course units required to graduate with a classified degree.
13. In order to progress from Year 3, students must be complete in the 4.0 course units from Year 1 and the 4.0 course units from Year 2, have passed at least 11.0 course units, and be registered to complete in their final year any course unit not yet complete.
14. Students who have not completed the 4.0 course units from year one and the 4.0 course units from year 2, or have incomplete course units from year 3 following an interruption, may ask their Departmental/Divisional Tutor to seek a suspension of regulations from the Vice-Provost (Education and Student Affairs) to allow a third attempt at a time other than the next normal occasion. Otherwise, such students will never complete the number of course units required to graduate with a Departmental classified degree.
15. At the discretion of the Faculty Tutor, upon the recommendation of the relevant board of Examiners, students may progress if they have failed to meet the progression threshold by 0.5 course units and, therefore, have passed 10.5 course units, provided all Year 2 progression requirements have been met including passing a total of at least 6.5 course units from Year 1 and Year 2.

## 2.8.2 Programmes with Non-standard Progression Regulations

1. The Boards of Examiners of programmes with non-standard UCL progression regulations may require students to pass more than the UCL minimum.
2. Students registered on three-year programmes failing such a requirement, but having completed 12 and passed 11 course units in a three-year programme, will be eligible for the award of an honours degree with a different field of study.

3. Students registered on four-year programmes failing such a requirement, but having completed 16 and passed 14.5 course units in a four-year programme, will be eligible for the award of an honours degree with a different field of study.
4. Students registered on programmes with non-standard progression regulations are required to meet the foreign language progression criteria sent.

### 2.8.3 Failure to Meet Progression Criteria

1. Students who have not met the conditions to progress are entitled to the re-sit opportunities as set out in Section 2.16 Reassessment.
2. Students on the MSci/MEng programmes who fail to meet the progression requirements to enter Year 4 may choose to graduate with a BEng /BSc provided they have met all the requirements from these programmes.
3. When there are Extenuating Circumstances, and upon the recommendation of a Board of Examiners, Faculty Tutors may make a case to the Vice-Provost (Education and Student Affairs) via the Director of Student Administration, to seek suspension of the progression regulations.
4. Students who fail to meet the criteria for progressing from one year to the subsequent year have the following options, noting that option a) is most preferable academically.
  - a) To register as a revision student and retake the course units failed.
  - b) To re-sit as an unregistered student.
  - c) To apply for exceptional permission to progress.
  - d) To leave UCL.

#### **Further guidance**

1. Students will automatically be registered for re-sits by Assessment and Student Records.
2. Students are required to attend re-sits at the next normal opportunity.
3. 'Revision Students' are those who have re-enrolled. The fees for such students are charged on a pro-rata basis. 'Resitting students' are those not currently enrolled who are intending to re-sit an examination.
4. Registering as a revision student and retake the course units failed.
  - a) This option should be viewed as the default option.
  - b) Students and Departmental/Divisional Tutors should note that option 1 above has associated cost issues and that the substitution of courses for part-time revision students may only be made with the agreement of the Faculty Tutor.
  - c) Revision students have only one attempt at the examination for a substituted course and those students failing to attend sufficient teaching and/or complete adequate coursework may be barred from examination and would therefore have no further opportunity to progress.

5. Re-sitting as an unregistered student – students should note that electing to re-sit as an unregistered student means that they have limited access to UCL’s facilities such as the library and learning resources.
6. Applying for exceptional permission to progress
  - a) Students considering an application for exceptional permission to progress should in the first instance discuss this course of action with the Departmental/Divisional Tutor and take account of the regulations in Section 7: Extenuating Circumstances.
  - b) Applications for exceptional permission to progress a student with a total of 2.5 passed course units should be made to the Faculty Tutor.
7. Leaving UCL
  - a) Students opting to leave UCL should discuss this course of action with their Departmental/Divisional Tutor and Faculty Tutor as appropriate.
  - b) The Faculty should inform the Student Centre.

## 2.9 Undergraduate Classification Criteria

### 2.9.1 Classification of UCL Undergraduate Honours Degrees

#### **For students not admitted with the Recognition of Prior Learning**

1. Students who have completed the requirements for a degree including those set out in the relevant Scheme of Award will, on the recommendation of the relevant Board of Examiners, be awarded either:
  - a) First Class Honours; or
  - b) Second Class Honours (Upper Division); or
  - c) Second Class Honours (Lower Division); or
  - d) Third Class Honours.

### 2.9.2 The Award of an Honours Degree

#### **Three Year Degree Programmes**

1. Students registered on a three year honours degree programme will be awarded an Honours Degree provided they:
  - a) Have completed 12 course units for the programme
  - b) Have a minimum of 11 course unit passes
  - c) Have at least 3 course units passed at advanced level

### **Four Year Degree Programme (not MSci/ MEng Programmes)**

2. Students registered on a four-year honours degree programme will be awarded an Honours Degree provided they:
  - a) Have completed 16 course units for the programme.
  - b) Have a minimum of 14.5 course unit passes.
  - c) Have at least 3 course units passed at advanced level.

### **MSci or MEng Degree Programmes**

3. Students registered on a MSci or MEng degree programme will be awarded an Honours Degree provided they:
  - a) Have completed 16 course units for the programme.
  - b) Have a minimum of 14.5 course unit passes.
  - c) Have at least 3 course units passed at advanced level.
  - d) Have at least 3 course units passed at Masters Level.

## 2.9.3 The Award of an Ordinary Degree

1. Ordinary degrees are not classified.

### **Three-Year Programmes**

2. Students registered on 12 course-unit programmes, who have failed to meet the requirements for an Honours Degree, will be awarded an Ordinary Degree provided they:
  - a) Have completed 11 course units for the programme
  - b) Have a minimum of 10 course unit passes
  - c) Have at least 2 course units passed at advanced level.

### **Four-Year Programmes (not MSci/ MEng Programmes)**

3. Students registered on 16 course-unit programmes, who have failed to meet the criteria for an Honours Degree, will be awarded an Ordinary Degree provided they have:
  - a) Have completed 14.5 course units for the programme.
  - b) Have a minimum of 13 course unit passes.
  - c) Have at least 3 course units passed at advanced level.

## 2.9.4 The Award of a BSc or BEng on MSci or MEng Programmes

1. Students registered on MSci or MEng programmes, who have failed to meet the criteria for a MSci or MEng Degree, will be awarded a BSc or BEng Degree provided they have:
  - a) Have completed 12 course units for the programme.
  - b) Have a minimum of 11 course unit passes.

- c) Have at least 3 course units passed at advanced level.
- 2. Students who are eligible for the award of an Ordinary Degree but who are entitled to a second attempt at the course units they have failed will be offered the option either to accept the award or to re-enter for the failed course units the following year.
- 3. Assessment and Student Records will make the offer in writing and students must indicate their decision to accept or decline in writing.
- 4. Once they have accepted the award of an Ordinary Degree, they cannot then re-sit in the future.
- 5. Failure in the re-entered course units will result in the automatic award of the Ordinary Degree.

**Further guidance**

- 1. Students should be made aware that, if they are eligible to re-enter and pass failed course units they could be considered for Honours and they should seek advice from their personal or programme tutor before accepting an Ordinary Degree.

## 2.9.5 Graduate Certificate and Graduate Diploma Award Criteria

- 1. Students must complete all course units. Student must achieve an overall average of 40%. Students must achieve a pass mark in 3.5 course units of which 0.5 course unit may be a condoned fail within the applicable referral range.

## 2.10 Undergraduate Borderline Criteria

- 1. Candidates within the 1% borderline zone should be subject to the following factors:
  - a) an analysis of the mark distributions for candidates and consideration given to a preponderance of marks of a class, such as half of the marks or the majority of marks, where appropriate;
  - b) a consideration as to whether there is “exit velocity” in the candidates’ performance;
  - c) particular emphasis placed on course units of higher value or those with a significant research element;
  - d) attention to those marks which have a particular significance for the overall classification.
- 2. Where a student has validated Extenuating Circumstances, and the student’s weighted average mark falls within the 1% borderline zone, the Faculty/ Departmental Extenuating Circumstances Panel may recommend that the student be exempted from some or all of the borderline criteria in 2.10.1 above.

3. Where relevant and practicable, External Examiners should be asked to consider the performance of candidates who fall in the borderline zone, reviewing their scripts prior to the meeting of the Board of Examiners, with a view to determining whether the External Examiner could determine a view as to whether the candidate is worthy of the higher classification.
4. Discussions on candidates in the borderline zone should be drawn to the attention of the Faculty Board of Examiners to ensure consistent treatment across the Faculty. A report should be made in turn to the UCL Education Committee via Assessment and Student Records as part of the report from the Board when the results are being processed.
5. A log should be kept by Faculty Boards of Examiners of such cases for review after a period of 3 years to ensure consistency and check for effectiveness.

## 2.11 Undergraduate Special and Aegrotat Provisions

1. Extenuating Circumstances (ECs) are defined as circumstances in a student's life that are unexpected, significantly disruptive and beyond the student's control and which may affect their performance at assessment. Section 7: Extenuating Circumstances provides guidelines on what would typically be considered as Extenuating Circumstances.
2. Where an Honours Degree candidate has completed his/her full period of study and (a) is absent through illness or other Extenuating Circumstances, from the whole or part of examinations during his/her final year, or (b) though present at the examinations considers that his/her performance has been adversely affected by Extenuating Circumstances, an application for his/her case to be considered under the Special and Aegrotat Provisions may be submitted by the Chair of the Board of Examiners to Assessment and Student Records.
3. The application must be accompanied by a medical certificate or other statement of the grounds on which it is made and must be submitted as soon as possible after the last date of the examination(s) to which the application refers.
4. If the examiners are able to determine, on the basis of the evidence available, that a candidate has satisfied the requirements for the award of a degree, the examiners shall recommend the award of the degree with an Honours classification and shall not consider the candidate for an award of an Aegrotat degree. Where a classified award under the Special Provisions cannot be made, an application to award an Aegrotat degree under the Aegrotat Provisions may be made, provided that the student has completed the full period of study.
5. The minimum requirements for the award of a degree under the Special and Aegrotat Provisions are as follows:

### **Classified Degrees**

- i) Classified degrees should be considered for students on three year degrees who have completed and passed 9 or more course units, 2 of

which must be in the final year. These must be recommended by the Board of Examiners and be considered on behalf of the UCL Education Committee by its Special and Aegrotat Provisions Panel, except in cases where the student has taken and passed 11 course units. In these cases, the proposed classification can be considered by the Board of Examiners and reported to the Panel for information and to advise UCL Education Committee about approval of these as appropriate.

- ii) Classified degrees should be considered for students on four year degrees who have completed and passed 13 or more course units, 2 of which must be in the final year. These must be recommended by the Board of Examiners and be considered on behalf of the UCL Education Committee by its Special and Aegrotat Provisions Panel, except in cases where the student has taken and passed 14.5 course units. In these cases, the proposed classification can be considered by the Board of Examiners and reported to the Panel for information and to advise UCL Education Committee about approval of these as appropriate.

### **Aegrotat Degrees**

- iii) Aegrotat degrees should be considered for students on three year degrees who have not completed and passed enough to be considered for a classified degree but have completed and passed at least 8 course units. These must be recommended by the Board of Examiners and be considered on behalf of the UCL Education Committee by its Special and Aegrotat Provisions Panel.
  - iv) Aegrotat degrees should be considered for students on four year degrees who have not completed and passed enough to be considered for a classified degree but have completed and passed at least 12 course units. These must be recommended by the Board of Examiners and be considered on behalf of the UCL Education Committee by its Special and Aegrotat Provisions Panel.
6. If it is considered that a case should proceed under these Provisions, the Chair of the Board of Examiners should immediately pass the enquiry to Assessment and Student Records in Student and Registry Services.
  7. The examiners shall not recommend the award of a class of degree higher than the overall level which the candidate has achieved in the work actually presented.
  8. The Chair of the Board of Examiners should then complete the Special and Aegrotat Provisions Application Form (see Annex 4.3.1), with the details of their recommendation, and submit it to Assessment and Student Records in Student and Registry Services with the other supporting documentation (listed above).
  9. The completed form and supporting documents should be submitted to Assessment and Student Records who will present the application to the UCL Education Committee Special and Aegrotat Provisions Panel for consideration.

## 2.12 Examination Conduct

1. The regulations for the management of examinations are published annually by UCL in the *Examination Guide for Candidates* on the [Examinations and Awards website](#). UCL expects students to follow the protocols set out in this guide.

### **Further guidance**

1. Students should note the guidance provided in the *Examination Guide for Candidates* on the [Examinations and Awards website](#) regarding examination misconduct, including misconduct relating to coursework or other forms of assessment, as well as for formal written examinations.

## 2.13 Anonymity of Assessed Work

1. Unseen summative written examinations must be assessed anonymously against candidate number.
2. A summative element of a component, or a component that does not break down into elements, must be submitted and assessed on an anonymous basis where possible, if it constitutes more than 40% of the module assessment.
3. Feedback based on the first marker's comments, but prior to second marking, can be given to facilitate prompt feedback. However, the mark is subject to change when the second marking and mark reconciliation have taken place and all marks are preliminary until approved by the appropriate Board of Examiners.
4. Anonymity may not be practical when assessing laboratory work, oral examinations, exhibitions, marking clinical work with patients, portfolios of work, dissertations and group work etc.
5. Anonymity is required when a coursework assessment constitutes more than 40% of the total assessment of a module.
6. Consideration by Boards of Examiners of all summative assessed marks, progression decisions and awards must be conducted anonymously.

### **Further guidance**

1. A course unit may have one or more assessment components such as a written examination and coursework. Furthermore, an individual component may have one or more elements such as 'essay one' and 'essay two', or a series of weekly problem sheets.
2. Reports listing names and candidate numbers will be available via Portico to designated departmental/divisional staff in the first term.
3. The student record number (SRN) may be used as an anonymous identifier when Departments/Divisions wish to reserve use of candidate numbers for unseen written examinations.

4. Since students benefit from feedback on their coursework, anonymity is not required when the coursework element constitutes 40% or less of the assessment for a module.
5. Anonymity is required when a coursework element constitutes more than 40% of a module and SRN or candidate numbers may be used as appropriate. However, anonymity may be relaxed once marks have been agreed to facilitate feedback to students (see Section 6: Feedback).
6. Candidate numbers should be used for all unseen written examinations and at meetings of Boards of Examiners.

## 2.14 Withdrawal, Absence and Deferral of Assessment

### 2.14.1 Unauthorised Absence from Assessment

1. If a student is absent from an examination or other form of assessment without permission, or, although present at an examination, either does not attempt the paper or attempts so little that it cannot be assessed, and provides no evidence of Extenuating Circumstances, then the normal procedure is that the student is awarded a mark of zero for the missed/non-attempted examination.
2. In such cases students will not be deemed to have completed the module.

#### **Further guidance**

1. A mark of zero would be counted in any average and it would be treated as an attempt; the overall result for the course unit would be recorded on Portico as absent or incomplete, as appropriate.

### 2.14.2 Withdrawal from Assessment on Academic Grounds

1. Students may withdraw their entry to an examination or other format of assessment on academic grounds with the approval of the Departmental/ Divisional and Faculty Tutors, provided the application is made before the deadline of the end of the first week of the term in which they will be assessed, or before the assessment when the assessment is held in the first week of term.
2. Students absenting themselves from an unseen written examination or other form of assessment without prior approval will be marked as absent and deemed to have made an attempt at the examination.

#### **Further guidance**

1. Academic grounds are grounds which are considered by the department/division and Faculty to affect significantly the coherence of the student's programme of study or likely to affect significantly the student's academic performance, for example, where a student is registered on a course for which they are completely unsuited, or where the student is clearly overburdened.

2. Students should complete the Notification of Withdrawal from Examination Form and submit it, to their Departmental/Divisional Tutor for onward transmission to Assessment and Student Records, via the Faculty Tutor.
3. Faculty approval should be obtained and submitted to Assessment and Student Records by the end of the first week of the term in which they will be examined. Once approval has been granted, the student will not be regarded as having made an entry or re-entry.
4. The criterion for assessing whether grounds are acceptable should be that such withdrawal would not advantage the student concerned over other students on the programme. It should also be considered whether to refuse such withdrawal would disadvantage the student in comparison with other students on the programme.
5. Any student wishing to withdraw from the examination(s) after the deadline may only do so in exceptional circumstances (see 2.14.3 below).
6. Re-entry to an examination, part of an examination or other form of academic assessment, must be made at the next normal occasion.
7. Permission to re-enter an examination, or part of an examination later than the next following examination for which the student is eligible is at the discretion of UCL. Applications to suspend this regulation should be made in writing to Assessment and Student Records by the student's Departmental/Divisional Programme Tutor via the Faculty Office and accompanied with appropriate documentary evidence such as medical certification (if relevant).
8. Students are advised to seek guidance on any visa implications that may affect eligibility to stay in the UK before requesting withdrawal from assessment.
9. Withdrawal from Examination forms are available from the Current Students website.

### 2.14.3 Withdrawal from Assessment on Exceptional Grounds

1. A student who, through illness or other Extenuating Circumstances, wishes to withdraw from an assessment must submit an Extenuating Circumstances Claim Form under the procedures set out in Section 7: Extenuating Circumstances.

### 2.14.4 Late Assessment

1. A student who, through illness or other Extenuating Circumstances, is prevented from attending an examination or submitting a piece of coursework must submit an Extenuating Circumstances Claim Form under the procedures set out in Section 7: Extenuating Circumstances.

#### **Further guidance**

1. If the student's EC claim is accepted, the Faculty/ Departmental Extenuating Circumstances Panel will determine the best course of action for the student. Where a deferral (late assessment) is approved, the EC Panel will determine when the reassessment will take place. This might be almost immediately, in the

late assessment period, or at the next normal occasion, depending on the student's circumstances.

2. Deferred assessment should be in the same format as the one missed. However, where it is not possible to assess the student in the same format, the Faculty may approve an alternative method of assessment.

## 2.15 Assessment Penalties

### 2.15.1 Penalties for the Late Submission of Coursework

1. Where coursework is not submitted by a published deadline, the following penalties will apply:
  - a) A penalty of 5 percentage marks should be applied to coursework submitted the calendar day after the deadline (calendar day 1).
  - b) A penalty of 15 percentage marks should be applied to coursework submitted on calendar day 2 after the deadline through to calendar day 7.
  - c) A mark of zero should be recorded for coursework submitted on calendar day 8 after the deadline through to the end of the second week of third term. Nevertheless, the assessment will be considered to be complete provided the coursework contains material that can be assessed.
  - d) Coursework submitted after the end of the second week of third term will not be marked and the assessment will be incomplete.
  - e) Coursework submitted after solutions have been released will receive a mark of zero, and may not be formally marked, even when the coursework was submitted within seven calendar days of the deadline. Nevertheless, the assessment will be considered to be complete provided the coursework contains material that can be assessed.
  - f) In the case of dissertations and project reports submitted more than seven calendar days after the deadline, the mark will be recorded as zero but the assessment would be considered to be complete.
2. Where there are Extenuating Circumstances that have been recognised by the Faculty Extenuating Circumstances Panel, these penalties will not apply until the agreed extension period has been exceeded.
3. In the case of coursework that is submitted late and is also over-length, the greater of the two penalties will apply.

### 2.15.2 Penalties for Over-length Coursework

1. For submitted coursework, where a maximum length has been specified, the following procedure will apply:

- a) The length of coursework will be specified in terms of a word count or number of pages.
- b) Assessed work should not exceed the prescribed length.
- c) For work that exceeds the specified maximum length by less than 10% the mark will be reduced by ten percentage marks; but the penalised mark will not be reduced below the pass mark, assuming the work merited a pass.
- d) For work that exceeds the specified maximum length by 10% or more, a mark of zero will be recorded.
- e) The method of measuring the length of coursework should be specified to students in writing. For example, a word count will depend on the software application and a page count on the margins, font and point size.
- f) For discipline specific practices such as bibliographies, tables, pictures and graphs, departments/divisions should specify in writing to students whether these are recorded as part of the maximum length and how this will be determined.
- g) In the case of coursework that is submitted over-length and is also late, the greater of the two penalties will apply.

### 2.15.3 No Attempt or Minimal Attempt at Assessment

1. Students who do not attempt a paper or other form of academic assessment, or who make an attempt that is un-assessable, will be awarded a mark of zero, will be deemed to have made an attempt but will not be deemed to have completed the module.

## 2.16 Reassessment

### 2.16.1 Number of Permitted Attempts

1. A student who, at their first entry, does not successfully complete summative assessment and who is not eligible for referred assessment (see 2.16.3 below) may re-enter for assessment on one, and only one, more occasion unless they have been awarded a degree, are eligible for the award of a degree or have been excluded from UCL on the grounds of academic insufficiency, or as a result of misconduct.
2. Students who fail or do not complete summative assessment at a first attempt are expected to re-enter the examination at the next normal occasion, unless they have graduated, been interrupted or have been suspended or withdrawn. Students who are on a Study Abroad year at the time of the next normal occasion will be re-examined during the late assessment period in the summer following their period of study abroad.

3. If a continuing student opts to retain a failed mark rather than re-enter for an examination or other assessment, this will be treated as a fail.

**Further guidance**

1. If a continuing student opts not to re-enter but retains an absent, withdrawn or incomplete status for an assessment, graduation with a classified award will not be possible.
2. Students who resit assessment without enrolling for a period of repeat study will not be charged a resit fee.
3. With the exception of students on a Study Abroad year, students who were absent or have an incomplete status for an assessment must resit the assessment at the next normal occasion.
4. Students who are not in attendance will not be charged a resit fee.

## 2.16.2 Resit Marks

1. The higher of the marks achieved at the first attempt or the resit attempt, whether of the original course unit or of substitute course unit(s), will apply.
2. Marks of re-taken or substitute course units will be included in the calculation for the average mark for the year in which the course unit(s) were originally taken rather than in the year that they were re-taken.
3. If the mark obtained at resit is in the referral band, students may be offered referred assessment provided they satisfy all other requirements for referral, including not being a finalist.

**Further guidance**

1. Students are not obligated to resit failed course units, but are advised to seek academic advice before making a decision. Students who opt not to resit should ensure that they inform the examination section so that their records are amended accordingly.
2. Students who were absent or incomplete at their first attempt must resit in order to be eligible for a classified degree, unless they have Extenuating Circumstances that could be considered under Section 2.11: UG Special and Aegrotat Provisions.
3. For a resit, if the mark is in the referral band, then a non-finalist student may be offered a referral provided all the other requirements for referral are satisfied. If the referral is unsuccessful, then the higher of the two failed marks will apply.
4. For students on an intercalated BSc programme, the marks gained at the first attempt are those that count towards the classification of the award, because there is no opportunity to resit failed course units.

### 2.16.3 Referred Assessment

1. Referred Assessment is only available to students on a limited range of modules. Students should check their programme handbook/ Moodle for details.
2. Students in their final year, including those registered on Integrated BSc programmes, are not eligible for referred assessment even when the possible referral is associated with a course unit originally taken in an earlier year.
3. The referral range of marks is 35% to 39% except for some course units in the Faculty of Mathematical and Physical Sciences where the referral range is 30%-39%.
4. Referred assessment will not be offered to students who would not progress even if they passed the referred assessment.
5. Students who obtain a mark in the referral range for the course unit as a whole may be offered referred assessment of the assessment components that have been failed by the relevant teaching department/division. Students who are successful in all such referred assessments will be given the pass mark of 40 for the course unit overall irrespective of the marks actually obtained in the referral.
6. Students who fail a course unit despite achieving an overall mark of 40 or above because they did not achieve the qualifying mark required for one or more assessment components may be offered referred assessment in those components by the relevant teaching department/division. Students who are successful in such referred assessments will be given the pass mark of 40 for that part of the assessment, irrespective of the actual mark gained, and the final mark for the course unit will be re-calculated accordingly.
7. The referred assessment will take place over the summer in order to give the Board of Examiners the information needed to make a pass/fail judgement on the student's overall performance in that course unit before the start of the next academic session.
8. The method of referred assessment can either be oral, formal written examination or essay.
9. Students who subsequently fail the referred assessment, retain the original mark and may re-enter that examination at the next normal occasion, unless all resit attempts have been exhausted.
10. Students may elect not to take up the offer of referred assessment but to re-enter at the next normal occasion instead, unless all resit attempts have been exhausted.
11. Referred assessment can be made available to students making their second attempt at a module if the mark achieved is within the specified referral range.

#### **Further guidance**

1. Referred assessment will not, in any circumstances, be made available to a student with a mark that falls below the referral range (students with an 'incomplete' result will be regarded as falling below the referral range).

2. The referred assessment should be assessed and the result communicated to the student and Assessment and Student Records by the given deadline prior to the start of the next session (see guidance note 5 below).
3. Final year students who are not eligible for the award of a degree are not entitled to referred assessment although they may resit failed course units at the next normal occasion.
4. Students are not obligated to take the referred assessment but are advised to seek academic advice before refusing the referred assessment.
5. Students must indicate their acceptance of referred assessment within two weeks of the offer being made or by a specific deadline decided by the relevant teaching department/division.

#### 2.16.4 Repeating a Passed Course Unit

1. Students who have passed a course unit assessment cannot re-register for that course unit nor repeat the assessment.

#### 2.16.5 Format of Reassessment

1. Students will only resit the failed assessment components unless the regulations for their programme require that students must re-take all assessed components of a course unit.

##### **Further guidance**

1. Students will be automatically re-entered for assessment components that they have failed to pass or complete, unless they have been granted permission to substitute another module, have interrupted their studies or been excluded from UCL. For example, if a student passes assessed coursework components but fails an examination, the normal expectation is that the student would only resit the examination. However, following academic advice, a recommendation may be made by the Departmental/Divisional Programme Tutor that a student can resit all assessment components of the course unit, including those previously passed.
2. Evidence of support by the Faculty Tutor should be sent to Assessment and Student Records.

#### 2.16.6 Syllabus for Re-Entered Assessments

1. Students who re-enter for any part of summative assessment shall be subject to the programme regulations and syllabus in place at their first attempt except where students had already been informed that they would be examined on the current syllabus.

#### 2.16.7 Timing of Re-Entered Assessment

1. With the exception of students who fail study abroad assessment, re-entry to a formal written examination, part of an examination or any other form of academic assessment, must be made at the next following assessment period for which the student is eligible. This is normally in the following academic session.
2. When students fail a study aboard year, either owing to interruption, non-engagement or failure to achieve a pass mark, they must transfer to an equivalent degree where there is no study abroad requirement.

**Further guidance**

1. The assessment or reassessment for a course unit must be completed within two years of attending that course-unit.
2. Applications for a suspension of the regulations should be made in writing by the Departmental/Divisional Programme Tutor via the Faculty Office and submitted to Assessment and Student Records.

## 2.16.8 Substitution of Failed Course Unit(s)

1. Subject to Faculty approval, course units up to the value of one course unit, can be substituted for the course units that have been failed, or from which the students have withdrawn, provided the student has repeat registration of all or part of a year, or has progressed to the subsequent year of their programme of study.
2. Where a course unit is substituted for a course unit previously failed, the assessment for the new course unit shall be treated as second attempt and no further entry will be permitted, if it is subsequently failed.
3. Where a course unit is substituted for a course unit not previously examined, i.e. a course unit from which the student has withdrawn, entry to examination for the new course unit shall be treated as a first attempt.

**Further guidance**

1. Only one course unit or course units up to the value of one course unit may be substituted in this way over the entire duration of the programme.
2. If students have failed to progress to the following year of study, they can only take failed or substituted course units and cannot take in advance course units from a subsequent year of study.
3. All applications for the substitution of new course units are to be made by the Faculty to Assessment and Student Records.

## 2.17 Award of Degrees

### 2.17.1 Authorities

1. The Education Committee, on behalf of the Academic Committee, is authorised to award UCL degrees.

### 2.17.2 Publication of Results

1. Boards of Examiners are permitted to release unconfirmed provisional marks to students, prior to the formal publication of results by UCL.
2. Students will be informed of the date when their examination results will be published.
3. All graduating students will be sent an official transcript, detailing their marks and award.

#### **Further guidance**

1. Students will be informed by email when the notification of their official results will be made. Once the marks have been released students will be able to access their results on the student records database, Portico, using their UCL username and password.
2. Graduating students will be sent an official transcript with their degree certificate within three months of the date of their award. (Students can request additional copies of their transcripts from Assessment and Student Records, for which a fee will be charged).
3. Students should ensure that their contact addresses are kept up to date, via Portico, as this address will be used for the despatch of transcripts and degree certificates.
4. Students first enrolled in September 2011 onwards will receive a Higher Education Achievement Report (HEAR).

### 2.17.3 Date of a Degree Award

1. The date of the award will be the first day of the month after UCL Education Committee has confirmed the award.

### 2.17.4 Determination of a Field of Study

1. The Board of Examiners for each programme shall determine and recommend the field of study to be shown on the degree certificate which will be issued to each student successfully awarded the degree.

### **Further guidance**

1. The field of study is the subject which appears on the degree certificate and the transcript, for example 'French' or 'Philosophy and Economics'. The field of study is determined by the programme's Board of Examiners.
2. The normal expectation is that the subject area will match the title of the degree programme that the student has been registered for. However, if a student fails to enrol for a compulsory or essential course unit/ module as identified in the programme literature, or if such a course unit/ module is failed, a degree with a different title may be awarded provided the minimum number of course units/ modules has been completed.
3. Students are advised to consult departmental/divisional or Programme Tutors for advice on the course units/ modules which are required for any given field of study.
4. Students may not request a particular degree title themselves, although an appropriate degree title may be provisionally agreed with a student prior to the examination.
5. Students who have any questions about the title of their award or their field of study should seek advice from their home department/division in the first instance.
6. The decision as to which title should be awarded on any given set of results remains with the Board of Examiners, subject to the approval of UCL Education Committee.

### **2.17.5 Provision of a Degree Certificate**

1. A Degree Certificate will be sent to each successful student awarded a degree.
2. Students are responsible for keeping their address details up to date via Portico.

### **2.17.6 Affiliate Student Transcripts and Certificates**

1. Affiliate students will be entitled to receive a transcript of their assessment achievement produced by UCL.
2. Any other certification required i.e. certification of UCL course unit/ module credits/ECTS for affiliate students from the USA will be produced by the Student Centre.

### **2.17.7 Graduation Ceremonies**

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications. Further information about Graduation Ceremonies is available from the [Graduation Ceremonies website](#).

## 2.17.8 Academic Robes

1. It is mandatory for all UCL graduates to wear academic robes to the graduation ceremonies. It is the responsibility of students to obtain the appropriate robes from UCL's suppliers.

## 2.17.9 Students with an Outstanding Tuition Fee Debt to UCL

1. All students who will, if successful in their examinations, qualify for the award of a degree, should note that UCL will withhold the award in the case of any student who is in debt to UCL in regards to tuition fees.
  - a) No report will be made on the student's results record until the tuition fee debt has been settled in full, and attendance at a Graduation Ceremony will not be permitted unless all tuition fees have been settled by the due date.
  - b) All other students who hold a debt to UCL in relation to tuition fees will have their official results withheld and/or not be permitted to enrol at any future session until that tuition fee debt has been settled in full.
  - c) For the avoidance of doubt, the term 'tuition fees' does not include, without limitation: accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

## 2.17.10 Revocation of Degrees

1. UCL may revoke any degree if the following circumstances discovered at any time and proved to the satisfaction of UCL:
  - a) There was an administrative error in the award made under the procedures required by UCL, including an error in calculating the results.
  - b) Subsequent to award, a Board of Examiners, having taken into account information which was unavailable at the time its decision was made determines that a student's or students' classification should be altered.
  - c) The award has been cancelled owing to examination misconduct.

## 2.17.11 Student Complaints Procedure

1. Students cannot contest the decision of a Board of Examiners on academic grounds.
2. Students can only contest results on specific grounds as set out in Chapter 1, Section 12: Student Complaints Procedure.

# 3 Taught Postgraduate Assessment

## 3.1 Forms of Academic Assessment

1. Assessment is a general term used to describe the mechanism to measure student achievement. A variety of assessment methods may be applied to reflect an integrated curriculum design. At UCL there is an expectation that a mixture of formative and summative assessment methodologies will be applied to test different skills and to enable students to achieve the intended learning outcomes. Formative assessment can also provide experience of a programme's summative assessment.
2. Summative assessment provides a clear statement of achievement or failure that can be made in respect of an individual student's performance. The outcome of summative assessment is used to classify a degree award and is recorded on student transcripts.
3. Formative assessment provides feedback to individual students about their progress towards achieving the intended learning outcomes for specified modules. In addition, innovative formative assessment methodologies make an important contribution to the overall development of student skills and transferable knowledge.

## 3.2 Approved Format for Summative Assessment

1. The permitted formats of summative academic assessment are set out in Section 1: Assessment Strategy.
2. All Masters programmes academically assessed without an element of unseen written examination or other form of unseen assessment must include an oral examination for all students.
3. The format and procedures for summative e-assessments are set out in Section 5.2 Summative E-Assessment Regulations.

## 3.3 Masters Dissertation Requirements

### **Standard Masters Dissertation Word Length**

1. The standard dissertation length for a Taught Masters degree with a 60-credit dissertation module is 10,000 to 12,000 words.
2. The standard dissertation length for a Taught Masters degree with a 90-credit dissertation module is 15,000 to 18,000 words.

## **MSc Dissertation Alternative Word Length**

3. The MSc dissertation may include a research paper reporting original research results formatted for publication in a specified scientific journal and conforming to instructions for authors. The word length of the article is 6,000 words that will be assessed together with two other elements such as an oral examination and written work (including a blog or paper for lay readership) relating to the research project. The overall word length for such composite assessment should be equivalent to 8,000-9,000 words.

## **3.4 Special Assessment Arrangements**

1. Students with a specific learning difficulty, disability or ill health can apply for special arrangements in their examinations and course work under Section 4: Special Assessment Arrangements.

## **3.5 Assessment in a Language other than English**

1. All assessed work, whether written papers or module work, shall be written in the English language unless:
  - a) The purpose of the assessment is to test the ability of students in a language other than English.
  - b) In the case of specially approved programmes in UCL which teach modern languages, the programme has been specifically designed, for sound academic reasons, to include the possibility of completing a major part of the assessment in the language of study.
  - c) Where a programme has been specifically designed, for sound academic reasons, to include the possibility of completing a major part of the assessment in the language of study, at least 25% of the whole assessment of the programme shall be written in the English Language.

## **3.6 Attendance Requirements and Eligibility for Assessment**

1. UCL's minimum attendance requirement is 70%. Departments may stipulate a higher percentage and additional requirements where appropriate. Students whose attendance falls below the attendance requirement are ineligible for summative assessment.
2. See Chapter 1, Section 4.3: Attendance Requirements for further information.

## 3.7 Taught Postgraduate Pass Mark

1. The pass mark for Level 7 taught postgraduate modules is 50%.

### **Further guidance**

1. On MSci and MEng programmes, the pass mark for undergraduate modules at levels 4, 5 and 6 is 40%. The pass mark for taught postgraduate modules at level 7 (Masters level) is 50%.

## 3.8 Taught Postgraduate Award Requirements

### 3.8.1 Scheme of Award

1. In order to be considered for an award from UCL, students must satisfy the Board of Examiners that the academic requirements as set out below have been met in full, together with any other requirements associated with the programme as set out in the programme literature.

### 3.8.2 Completion of Assessments

1. For students on postgraduate taught courses, a module is complete when a student has been declared complete on all components for that module taking into account the following:

#### **Coursework**

- i) Any criteria for completion in coursework, such as a requirement to submit at least a specified fraction of the coursework, must be clearly publicised to students enrolled on the module.
- ii) If the coursework component represents more than 20% of the overall module assessment, then the criteria for completion must be set by a department/division. Otherwise the department/division may set completion criteria for the coursework but need not do so.
- iii) Where criteria for completion have been set but have not been satisfied then the module as a whole is incomplete.
- iv) If no criteria for completion have been set then the mark obtained by a student, including zero, is returned for this component and the overall mark for the module calculated in the usual way and the candidate declared complete on the component.
- v) If these criteria for completion are not satisfied then the module as a whole is incomplete.

#### **Unseen Examinations**

- vi) An unseen examination component is deemed complete if a student has submitted an answer that can be academically assessed. The mark

awarded, however, might be zero. If a candidate makes little or no attempt at the examination, this will be deemed “incomplete” and the module as a whole will also be deemed “incomplete”.

### 3.8.3 Re-sit and Substitute Modules

1. The higher of the marks achieved at the first attempt and the re-sit attempt will apply.
2. Marks of re-taken or substitute modules will be included in the calculation for the average mark of the weighting year from which they were originally taken rather than in the year that they were re-taken.

## 3.9 Taught Postgraduate Classification Criteria

### 3.9.1 Postgraduate Certificate Award Criteria

1. For an award of a Postgraduate Certificate students must have completed 60 UCL credits or the equivalent 600 learning hours and obtained an overall average mark of 50% or greater.
2. A maximum of 25% of the programme may be condoned at 40 – 49%.
3. The award of merit must be given to students on Postgraduate Certificate programmes if they have satisfied both of the following criteria, but do not meet the criteria for an award of distinction:
  - a) The overall weighted average mark over 60 credits is 60% or higher; and
  - b) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.
4. The award of distinction must be given to students on Postgraduate Certificate programmes if they have satisfied both of the following criteria:
  - a) The overall weighted average mark over 60 credits is 70% or higher; and
  - b) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.

### 3.9.2 Postgraduate Diploma Award Criteria

1. For an award of a Postgraduate Diploma students must have completed 120 UCL credits or the equivalent 1200 learning hours and obtained an overall average mark of 50% or greater.
2. A maximum of 25% of the programme may be condoned at 40 – 49%.
3. The award of merit must be given to students on Postgraduate Diploma programmes if they have satisfied both of the following criteria, but do not meet the criteria for an award of distinction:

- a) The overall weighted average mark over 120 credits is 60% or higher; and
  - b) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.
4. The award of distinction must be given to students on Postgraduate Diploma programmes if they have satisfied both of the following criteria:
- a) The overall weighted average mark over 120 credits is 70% or higher; and
  - b) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.

### 3.9.3 Masters Degree Award Criteria

1. For an award of a Masters degree students must have completed 180 UCL credits or the equivalent 1800 learning hours and obtained an overall average mark of 50% or greater which must include a mark of 50% or greater for the dissertation.
2. A maximum of 25% of the programme's taught element (i.e. excluding the dissertation) may be condoned at 40 – 49%.
3. A student may be required to make specified amendments to their dissertation within one month provided that:
  - a) The amendments are minor and the dissertation is otherwise adequate; and
  - b) The student has satisfied all other requirements for the award of a Masters degree.
4. The award of merit must be given to students on Masters programmes if they have satisfied all of the following criteria, but do not meet the criteria for an award of distinction:
  - a) The overall weighted average mark over 180 credits is 60% or higher; and
  - b) The mark for the dissertation is 60% or higher; and
  - c) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.
5. The award of distinction must be given to students on Masters programmes if they have satisfied all of the following criteria:
  - a) The overall weighted average mark over 180 credits is 70% or higher; and
  - b) The mark for the dissertation is 70% or higher; and
  - c) There are no marks below 50%, no condoned marks, no re-sit marks, and all marks are first attempts.

### 3.9.4 Borderline Zone

1. Regarding the award of merit, if the overall mark is 59% (after rounding to the nearest integer) a candidate is in the borderline zone (see Section 3.10).

2. Regarding the award of distinction, if the overall mark is 69% (after rounding to the nearest integer) a candidate is in the borderline zone (see Section 3.10).

### **3.9.5 Rounding**

1. Rounding should be applied to obtain the integer weighted average marks given above (e.g. a mark of 59.4 should be rounded to 59%, and a mark of 59.5 should be rounded to 60%).

### **3.9.6 Condoned Passes**

1. Boards of Examiners may award condoned passes for up to 25% of taught modules with marks in the range of 40-49% to allow an award to be made, in which case re-sits are neither necessary or allowed because the student has graduated.

### **3.9.7 MRes Candidates**

1. For students progressing onto a Research Degree Programme from an associated MRes, which is an integral part of a doctoral programme, the length of the MRes programme should be extended to one calendar year and one month to allow Boards of Examiners time to determine awards prior to students registering on the associated EngD or MPhil/PhD programme.
2. MRes students should also note the Academic Regulations for Research Degree Students.

### **3.9.8 Programmes of More Than One Year's Duration**

1. Students registered on programmes of more than one year's duration must satisfy the requirements specified in the programme literature with regard to progression between each year of the programme.

### **3.9.9 Award Criteria for Non-Modularised Taught Postgraduate Degrees**

1. Special regulations apply for the award of LLM, MFA, MArch, MCLinDent, EMPA and International Masters Degrees (see Chapter 8: Derogations and Variations) and reference should be made to the programme literature published by the relevant department/division.

## **3.10 Taught Postgraduate Borderline Criteria**

### 3.10.1 Postgraduate Certificate Borderline Criteria

1. If the overall weighted average mark is 69% a candidate is in the borderline zone. An award of a Distinction can be made:
  - a) where at least half of the taught credits are at or above 70%, after rounding; and
  - b) where there is no mark below 50%, after rounding; and
  - c) where there are no re-sit marks and all the marks for the modules are first attempts.
2. Equivalent consideration should be given to the award of a Merit. If the overall weighted average mark is 59%, an award of a Merit can be made:
  - a) where at least half of the taught credits are at or above 60%, after rounding; and
  - b) where there is no mark below 50%, after rounding; and
  - c) where there are no re-sit marks and all the marks for the modules are first attempts.
3. If any candidate on a Postgraduate Certificate programme fulfils each of these criteria, the Board of Examiners must award either a Merit or Distinction, as appropriate.
4. These criteria must be applied to all candidates on full Postgraduate Certificate programmes. All criteria must be satisfied.

### 3.10.2 Postgraduate Diploma Borderline Criteria

1. If the overall weighted average mark is 69% a candidate is in the borderline zone. An award of a Distinction can be made:
  - a) where at least half of the taught credits are at or above 70%, after rounding; and
  - b) where there is no mark below 50%, after rounding; and
  - c) where there are no re-sit marks and all the marks for the modules are first attempts.
2. Equivalent consideration should be given to the award of a Merit. If the overall weighted average mark is 59%, an award of a Merit can be made:
  - a) where at least half of the taught credits are at or above 60%, after rounding; and
  - b) where there is no mark below 50%, after rounding; and
  - c) where there are no re-sit marks and all the marks for the modules are first attempts.

3. If any candidate on a Postgraduate Diploma programme fulfils each of these criteria, the Board of Examiners must award either a Merit or Distinction, as appropriate.
4. These criteria must be applied to all candidates on full Postgraduate Diploma programmes. All criteria must be satisfied.

### 3.10.3 Taught Masters Borderline Criteria

1. If the overall weighted average mark is 69% a candidate is in the borderline zone. An award of a Distinction can be made:
  - a) where the mark in the dissertation is 70% or above; and
  - b) where at least half of the taught credits are at or above 70%, after rounding; and
  - c) where there is no mark below 50%, after rounding; and
  - d) where there are no re-sit marks and all the marks for the modules are first attempts.
2. Equivalent consideration should be given to the award of a Merit. If the overall weighted average mark is 59%, an award of a Merit can be made:
  - a) where the mark in the dissertation is 60% or above; and
  - b) where at least half of the taught credits are at or above 60%, after rounding; and
  - c) where there is no mark below 50%, after rounding; and
  - d) where there are no re-sit marks and all the marks for the modules are first attempts.
3. If any candidate on a Taught Masters programme fulfils each of these criteria, the Board of Examiners must award either a Merit or Distinction, as appropriate.
4. These criteria must be applied to all candidates on full Taught Masters programmes. All criteria must be satisfied.

## 3.11 Examination Conduct

1. The regulations for the management of examinations are published in the *Examination Guide for Candidates* on the [Examinations and Awards website](#) annually by UCL.
2. Students should take note of formal examination entry requirements set out in the *Examination Guide for Candidates* on the [Examinations and Awards website](#), including the need to provide proof of identity.

### 3.11.1 Examination Timetable

1. It is the responsibility of a student to ensure that they know the date, time and location of each paper they are registered to take as set out in their individual examination timetable, and to note particularly the location of any intercollegiate examinations.

#### **Further guidance**

1. All students sitting centrally organised examinations will have access to a personalised timetable through Portico, detailing the date, time, duration, location and desk number for each of their examinations.
2. Students sitting for examinations arranged by Departments, or by other institutions, are responsible for checking the examination timetable details with the party administering the examination.

### 3.11.2 Student Conduct under Examination Conditions

1. UCL expects students to follow the protocols set out in the *Examination Guide for Candidates* on the [Examinations and Awards website](#).

#### **Further guidance**

1. Students should note the guidance provided in the Examination Guide for Candidates on the [Examinations and Awards website](#) regarding examination misconduct, including misconduct relating to coursework or other forms of academic assessment, as well as for formal written examinations.

### 3.11.3 Students Arriving Late for an Examination

1. Students, arriving at the examination hall after an examination has started and within the first half-hour, must report to an invigilator to ensure that the time of arrival is noted and any instructions provided.
2. Students arriving within the first half-hour will be admitted to the examination hall and allowed to sit the examination but they will not be given any additional time and must finish at the same time as the other students.
3. Students arriving after the first half-hour will not be allowed into the examination hall and will be directed to their home Department.
4. Students who arrive late and are granted the opportunity to sit the examination in their home Department will be required to make a written statement of explanation for their late arrival and to confirm that they have not discussed the paper with anyone since the start of the examination.
5. Departments have a discretionary right on a case by case basis to allow students to sit the paper at that time, and will deduct thirty minutes from the total time allowed for the examination.

6. The decision of the home Department is final and Assessment and Student Records cannot accommodate any student not permitted to sit by their Department.
7. Students arriving at a home Department after the time for the normal end of an examination will not be allowed to sit the paper.

### 3.11.4 Identification to Enter Examination Halls

1. Students must produce valid identification when entering examination halls.
2. Any student who fails to produce a valid UCL student identity card or cannot produce a passport or driving licence with a photograph will be required to sign a declaration form and a label will be attached to their script, advising the examiner that personal identification was not provided.

### 3.11.5 Examination Emergency Procedures

1. In an emergency, students should be aware that examination conditions still apply and if requested to vacate the examination hall students must not communicate with any other student on any topic and must follow in full the instructions of examiners, supervisors, invigilators or other officers responsible for the conduct of examinations.

### 3.11.6 Ownership of Assessment Materials

1. All answer books and all other material provided by UCL must be submitted to the examination supervisors. Students may, however, take away the question paper unless the paper indicates that this is prohibited.

## 3.12 Anonymity of Assessed Work

1. Unseen summative written examinations must be assessed anonymously against candidate number.
2. A summative element of a component, or a component that does not break down into elements, must be submitted and assessed on an anonymous basis where possible, if it constitutes more than 40% of the module assessment.
3. Once marks have been finalised for an element of summative coursework, for example by agreement between first and second markers, anonymity may be lifted to facilitate feedback to students.
4. Anonymity may not be practical when assessing laboratory work, oral examinations, exhibitions, marking clinical work with patients, portfolios of work, dissertations and group work etc.
5. Anonymity is required when a coursework element constitutes more than 40% or of a module.

6. Consideration by Boards of Examiners of all summative assessed marks, progression decisions and awards must be conducted anonymously.

**Further guidance**

1. A module may have one or more assessment components such as a written examination and coursework. Furthermore, an individual component may have one or more elements such as 'essay one' and 'essay two', or a series of weekly problem sheets.
2. Reports listing names and candidate numbers will be available via Portico to designated departmental/divisional staff in the first term.
3. The student SRN may be used as an anonymous identifier when Departments/Divisions wish to reserve use of candidate numbers for unseen written examinations.
4. Since students benefit from feedback on their coursework, anonymity is not required when the coursework element constitutes 40% or less of the assessment for a module.
5. Anonymity is required when a coursework element constitutes 40% or more of a module and SRN or candidate numbers may be used as appropriate. However, anonymity may be relaxed once marks have been agreed to facilitate feedback to students.
6. Candidate numbers should be used for all unseen written examinations and at meetings of Boards of Examiners.

## 3.13 Withdrawal, Absence and Deferral of Assessment

### 3.13.1 Unauthorised Absence from Assessment

1. If a student is absent from an examination or other form of assessment without permission, or, although present at an examination, either does not attempt the paper or attempts so little that it cannot be assessed, and provides no evidence of Extenuating Circumstances, then the normal procedure is that the student is awarded a mark of zero for the missed/non-attempted examination.
2. In such cases students will not be deemed to have completed the module.

**Further guidance**

1. A mark of zero would be counted in any average and it would be treated as an attempt; the overall result for the module would be recorded on Portico as absent or incomplete, as appropriate.

### 3.13.2 Withdrawal from Assessment

1. A student who, through illness or other Extenuating Circumstances, wishes to withdraw from an assessment must submit an Extenuating Circumstances Claim Form under the procedures set out in Section 7: Extenuating Circumstances.
2. Taught postgraduate students may withdraw from the entire examination (i.e. all modules) by notifying Assessment and Student Records, via their home department/division, in writing not less than seven days before the date of their first examination. They will not then be regarded as having made an attempt at the examination. Notification of an intention to withdraw from the entire examination will only be accepted after the seven day deadline in the case of Extenuating Circumstances.

#### **Further guidance**

1. Students are advised to seek guidance on any visa implications that may affect eligibility to stay in the UK before requesting withdrawal from the entire examination.

### 3.13.1 Deferral of Assessment to the Next Session

1. A student who, through illness or other Extenuating Circumstances, is prevented from attending an examination or submitting a piece of coursework must submit an Extenuating Circumstances Claim Form under the procedures set out in Section 7: Extenuating Circumstances.

#### **Further guidance**

1. If the student's EC claim is accepted, the Faculty/ Departmental Extenuating Circumstances Panel will determine the best course of action for the student. Where a deferral (late assessment) is approved, the EC Panel will determine when the reassessment will take place. This might be almost immediately, in the late assessment period, or at the next normal occasion, depending on the student's circumstances.
2. Deferred assessment should be in the same format as the one missed. However, where it is not possible to assess the student in the same format, the Faculty may approve an alternative method of assessment.

## 3.14 Assessment Penalties

### 3.14.1 Late Submission of Coursework

1. Where coursework is not submitted by a published deadline, the following penalties will apply:

- a) A penalty of 5 percentage marks should be applied to coursework submitted the calendar day after the deadline (calendar day 1).
  - b) A penalty of 15 percentage marks should be applied to coursework submitted on calendar day 2 after the deadline through to calendar day 7.
  - c) A mark of zero should be recorded for coursework submitted on calendar day 8 after the deadline through to the end of the second week of third term. Nevertheless, the assessment will be considered to be complete provided the coursework contains material that can be assessed.
  - d) Coursework submitted after the end of the second week of third term will not be marked and the assessment will be incomplete.
  - e) Coursework submitted after solutions have been released will receive a mark of zero, and may not be formally marked, even when the coursework was submitted within seven calendar days of the deadline. Nevertheless, the assessment will be considered to be complete provided the coursework contains material that can be assessed.
  - f) In the case of dissertations and project reports submitted more than seven calendar days after the deadline, the mark will be recorded as zero but the assessment would be considered to be complete.
2. Where there are Extenuating Circumstances that have been recognised by the Faculty Extenuating Circumstances Panel, these penalties will not apply until the agreed extension period has been exceeded.
  3. In the case of coursework that is submitted late and is also over length, then the greater of the two penalties shall apply. This includes research projects, dissertations and final reports.

### 3.14.2 Penalties for Over-length Coursework

1. For submitted coursework, where a maximum length has been specified, the following procedure will apply:
  - a) The length of coursework will be specified in terms of a word count or number of pages.
  - b) Assessed work should not exceed the prescribed length.
  - c) For work that exceeds the specified maximum length by less than 10% the mark will be reduced by ten percentage marks; but the penalised mark will not be reduced below the pass mark, assuming the work merited a pass.
  - d) For work that exceeds the specified maximum length by 10% or more, a mark of zero will be recorded.
  - e) The method of measuring the length of coursework should be specified to students in writing. For example, a word count will depend on the software application and a page count on the margins, font and point size.
  - f) For discipline specific practices such as bibliographies, tables, pictures and graphs, Departments/Divisions should specify in writing to students

whether these are recorded as part of the maximum length and how this will be determined.

- g) In the case of coursework that is submitted late and is also over length, then the greater of the two penalties shall apply. This includes research projects, dissertations and final reports.

### 3.14.3 No Attempt or Minimal Attempt at Assessment

1. Students who do not attempt a paper or other form of assessment, or who make an attempt that is un-assessable, will be awarded a mark of zero, will be deemed to have made an attempt at the assessment, but will not be deemed to have completed the module.

## 3.15 Reassessment

### 3.15.1 Condoned Passes

1. Boards of Examiners may award condoned passes for up to 25% of taught modules with marks in the range of 40-49% to allow an award to be made, in which case re-sits are neither necessary or allowed because the student has graduated.
2. A mark cannot be condoned if it is below 40% or if more than 25% of the taught elements have marks below 50%, or if the Board of Examiners decides not to condone the mark.

### 3.15.2 Reassessment

1. Students who fail an examination with a mark that cannot be condoned will be required to re-enter that examination at the next normal occasion except for MRes students who are enrolled on an integrated MRes/Doctoral programme who should be offered their taught element resit opportunity before or in August of the same year.
2. If a student fails the dissertation/research project and resubmits by the end of the first term of the following academic year, the Board would then reconsider the award for these students in January.
3. MRes students who fail the dissertation can resubmit the dissertation by the end of the first term of the following academic year.

### 3.15.3 Number of Permitted Attempts

1. Students who, at their first entry, do not successfully pass an examination may re-enter for the examination or other forms of assessment on one more occasion.

2. This does not apply if they have been awarded a degree or been excluded from UCL on the grounds of academic insufficiency, or as a results of misconduct.

### 3.15.4 Students who have been Awarded a Degree

1. Students who have been awarded a degree will not be permitted to re-enter any failed module.

### 3.15.5 Repeating a Passed Module

1. Students who have passed a module cannot repeat the assessment for the module nor can they enter for the same assessment for another module which is deemed to overlap with the module examination which they have already taken and passed.

### 3.15.6 Re-Sit Marks

1. The higher of the marks achieved at the first attempt or the re-sit attempt, whether of the original module, or of a substitute module, will apply.
2. Marks re-taken or substitute modules will be included in the calculation for the average mark for the year in which the module(s) were originally taken rather than in the year that they were re-taken.

### 3.15.7 Format of the Reassessment

1. Students will only re-sit the failed assessment components unless the regulations for their programme require that students must re-take all assessed components of a module.

#### **Further guidance**

1. Students will be automatically re-entered for assessment components that they have failed to pass or complete, unless they have been granted an award with condoned passes, or have been excluded from UCL. If a student passes assessed coursework components but fails an examination, the normal expectation is that the student would only re-sit the examination. However, following academic advice, a recommendation may be made by the Departmental/Divisional Programme Tutor that a student can re-sit all assessment components of the module, including those previously passed. Evidence of support by the Faculty Tutor should be sent to Assessment and Student Records.

### 3.15.8 Syllabus for Re-entered Assessments

1. Students who re-enter for any part of academic assessment shall be subject to the programme regulations and syllabus current at their first attempt except where students have already been informed that they would be examined on the

current syllabus. Students must re-enter for examination within a maximum period of two years of being in attendance for the first attempt.

### 3.15.9 Timing of Re-Entered Assessments

1. Re-entry to an examination, or part of an examination or any other form of academic assessment, must be made at the next following assessment period for which the student is eligible, except for MRes programmes that are integral to a doctoral programme. Students on these programmes will be offered a resit opportunity before or in August of the same year.

#### **Further guidance**

1. The late assessment of a module must be completed within two years of attending that module. This period of two years may be extended at the discretion of UCL by way of an approved suspension of regulations.
2. Applications for a suspension of regulations should be made in writing by the Departmental/Divisional Programme Tutor via the Faculty Office and submitted to Assessment and Student Records for consideration by the Vice-Provost (Education and Student Affairs).

### 3.15.10 Substitution of Failed Modules

1. Where a student is permitted repeat registration for all or part of a year, up to a maximum of thirty credits can be substituted for the original module(s) failed or not assessed, subject to Faculty approval.
2. Where a module is substituted for a module previously failed, the assessment for the new module shall be treated as second attempt and no further entry will be permitted, if it is subsequently failed.
3. Where a module is substituted for a module not previously examined, i.e. a module from which the student had withdrawn, entry to examination for the new module shall be treated as a first attempt and one further entry will be permitted.

#### **Further guidance**

1. All applications for the substitution of new modules are to be made by the Faculty to Assessment and Student Records.

### 3.15.11 Failure to Pass the Taught Element of a Programme

1. If a student has failed the taught elements to the extent that condoned passes would be insufficient to obtain their qualification the following will apply:
  - a) The failed elements must be re-taken at the next normal opportunity.
  - b) The Faculty Graduate Tutor will decide whether the Dissertation could be completed in the academic session or whether a student should interrupt and re-register in the following session to do so.

## 3.16 Award of Degrees

### 3.16.1 Authorities

1. The Education Committee of UCL is authorised to award degrees.

### 3.16.2 The Publication of Results

1. Boards of Examiners are permitted to release unconfirmed provisional marks to students, prior to the formal publication of results by UCL.
2. Students will be informed when their examination results have been published on Portico.
3. All graduating students will be sent an official transcript, detailing their marks and award.

#### **Further guidance**

1. Students will be informed by email to their UCL email address when their examination results have been published on Portico.
2. This will occur on a programme by programme basis as results are received and checked by Assessment and Student Records.
3. Once the marks have been released students will be able to access their results on the student records database, Portico, using their UCL username and password.
4. Graduating students will be sent an official transcript with their certificate within three months of their date of award. (Students can request additional copies of their transcripts for which a fee will be charged (see UCL Student Transcripts).
5. Students must ensure that their contact addresses are kept up to date, via Portico, as the contact address will be used for the despatch of transcripts and degree certificates.

### 3.16.3 Date of Degree Award

1. The date of the award will be the first day of the month after UCL Education Committee has confirmed the award.

### 3.16.4 Provision of a Degree Certificate

1. A UCL Degree Certificate will be sent to each successful student who is awarded a degree.
2. Students are responsible for ensuring that their contact addresses are kept up-to-date, via Portico, as the contact address will be used for the despatch of certificates.

### 3.16.5 Affiliate Student Transcripts and Certificates

1. Postgraduate affiliate students will be entitled to receive a transcript of their assessment achievement produced by Student and Registry Services.
2. Any other certification required i.e. certification of UCL module credits/ ECTS for affiliate students will be produced by Assessment and Student Records.

### 3.16.6 Graduation Ceremonies

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications. Further information is available on the Graduation Ceremonies website.

### 3.16.7 Academic Robes

1. It is mandatory for all UCL graduates to wear academic robes to the graduation ceremonies. It is the responsibility of students to obtain appropriate robes from UCL's suppliers.

### 3.16.8 Students with an Outstanding Tuition Fee Debt to UCL

1. All students who will, if successful in their examinations, qualify for the award of a degree, should note that UCL will withhold the award in the case of any student who is in debt to UCL in regards to tuition fees.
  - a) No report will be made on the student's results record until the tuition fee debt has been settled in full, and attendance at a Graduation Ceremony will not be permitted unless all tuition fees have been settled by the due date.
  - b) All other students who hold a debt to UCL in relation to tuition fees will have their official results withheld and/or not be permitted to enrol at any future session until that tuition fee debt has been settled in full.
  - c) For the avoidance of doubt, the term 'tuition fees' does not include, without limitation: accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

### 3.16.9 Revocation of Degrees

1. UCL may revoke any degree awarded, if any of the following circumstances discovered at any time and proved to the satisfaction of UCL:
  - a) There was an administrative error in the award made under the procedures required by UCL, including an error in calculating the results.

- b) Subsequent to award, a Board of Examiners, having taken into account information which was unavailable at the time its decision was made determines that a student's or students' classification should be altered.
- c) The award has been cancelled owing to examination misconduct.

### 3.16.10 Student Complaints Procedure

1. Students cannot contest the decision of a Board of Examiners on academic grounds. Students can only contest the decision of a Board of Examiners on specific grounds as set out in Chapter 1, Section 12: Student Complaints Procedure.

## 4 Special Assessment Arrangements

1. Application for special examination provision on grounds of disability or ill-health, including dyslexia, should be made by completing an application form and submitting it, with suitable medical evidence, to Assessment and Student Records.
2. Students who require special examination arrangements as a result of dyslexia or other specific learning difficulty may need an assessment appointment. Applications should be made no later than the end of the second term for the main summer term examination period, or six weeks before any examinations or tests, for which special arrangements are sought, outside of that period.

### **Further Guidance**

1. Further information is available from the [Special Examination Arrangements](#) website.

# 5 Marking

## 5.1 Marking Policy

### 5.1.1 Terminology<sup>1</sup>

#### **1. Grade descriptors / marking scheme:**

- 1.1 An explicit statement of the criteria applied in marking, providing a detailed description of the qualities representative of different mark classes.
- 1.2 Mainly quantitative subjects and assessments: an explicit explanation of how assessments are scored, i.e. how points are associated with answers to the question set and attributed to parts of the assessment.

#### **2. Marker's answers:**

- 2.1 Indicative answers: Indicative answers by the question setter that outline the essential material expected to be considered by relevant answers.
- 2.2 Model answers: The correct answer to the question as documented by the question setter.

#### **3. Marking: The assignment of marks to the assessments of individual students.**

- 3.1 Anonymous marking: The markers are unaware of the personal identity of the students whose work is being marked. UCL's anonymity requirements are set out in Sections 2.13 and 3.12.
- 3.2 Second-marking: The involvement of two separate markers in the assignment of marks to the assessment of individual students.
  - 3.2.1 Full second-marking: second markers second-mark or check all assessments.
  - 3.2.2 Sampled second-marking: Second markers second-mark or check a sample, based on defined criteria, of the full set of assessments.

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<sup>1</sup>The terminology follows and builds on that of the Quality Assurance Agency for Higher Education (QAA). See the UK Quality Code for Higher Education, Part B: 'Assuring and Enhancing Academic Quality', chapter B6: 'Assessment of Students and the Recognition of Prior Learning', October 2013, <http://www.qaa.ac.uk/en/Publications/Documents/quality-code-B6.pdf>, p. 22, and the chapter on marking in *Understanding Assessment: Its Role in Safeguarding Academic Standards and Quality in Higher Education*, 2nd edn., September 2012, <http://www.qaa.ac.uk/en/Publications/Documents/understandingassessment.pdf>, pp. 15–19.

- 3.2.3 Blind second-marking: The second marker is not informed of the first marker's marks and comments. Blind second-marking is suitable where enough markers with specialist expertise are available.
- 3.2.4 Open second-marking: The second marker is informed of the first marker's marks and comments before commencing and can take these into account. Open second-marking is suitable where the first marker has greater expertise. Open second-marking can occur in both independent marking and check marking (see below).
- 3.2.5 Independent marking / double marking: Each examiner assigns a mark. The two examiners' marks are subsequently reconciled to agree the mark for the assessment.
- 3.2.6 Check marking: The second marker determines whether the mark awarded by the first marker is appropriate, but does not give a separate mark. The second marker confirms the mark if appropriate, and brings it to the attention of the first marker, if not. Check marking can be suitable for quantitative assessments in which answers can be scored objectively rather than requiring qualitative judgement on the part of the examiners.

#### **4. Moderation:**

- 4.1 Arrangements to ensure the consistency of marking, including the proper application of the assessment criteria, across students or modules. Unlike second-marking, moderation is not about making changes to the marks of individual students. Moderation checks whether the overall assignation of marks to the full set of assessed work for a task is appropriate in the context of the marking of other sets and of the academic standards for the award. Moderation can involve the use of External Examiners, who usually use sampling to review representative samples of the full assessment sets, and the review of assessment statistics.

### **5.1.2 Marking Criteria**

- 1. For every summative<sup>2</sup> assessment, at least one of the following must be available or provided:
  - 1.1 Grade descriptors explaining the criteria in qualitative marking, providing a detailed description of the qualities representative of different mark classes/grades. Where appropriate, grade descriptors can be provided at departmental or programme level.

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<sup>2</sup> For the purpose of this policy, summative assessments are assessments whose results count towards progression, classification and/or degree award (as opposed to formative-only assessments, which are only for learning and feedback purposes, but do not count towards progression or the degree outcome).

- 1.2 Indicative answers that set out the essential material expected to be considered by good and relevant answers. Indicative answers can be used in conjunction with grade descriptors and/or marking schemes. If used alone, indicative answers need to differentiate expectations by class/grade.
  - 1.3 A marking scheme explaining how the assessment is scored, i.e. how points are associated with answers to the question set and attributed to parts of the assessment. Where appropriate, this will include the model answer.
2. Criterion-referenced summative assessment is the norm at UCL and strongly preferred over norm-referenced summative assessment<sup>3</sup>. Exceptional norm-referenced summative assessment is subject to Faculty approval and must be reflected in the relevant departmental and/or faculty marking policies.

### 5.1.3 Second-Marking

1. Faculty Boards of Examiners and/or Departmental Boards of Examiners must define and publish explicit marking policies on the appropriate use of full or sampled second-marking, blind or open second-marking, independent or check marking, and related practices.
2. All modules must be subject to a form of second-marking. Within a module:
  - 2.1 all summative assessments worth 20% or more of the overall module assessment must be subject to a form of second-marking;
  - 2.2 in cases of modules assessed by a larger number of assessments each worth less than 20% of the overall module assessment, the departmental marking policy shall regulate, subject to Faculty approval, how the assessment of such modules will be second-marked.
3. Check marking will usually only be appropriate for quantitative assessments in which answers can be scored objectively rather than requiring qualitative judgement on the part of the examiner.
4. All undergraduate projects and/or reports (usually worth 1.0 course unit or more) and all Masters dissertations and/or research projects must be subject to full and independent second-marking: each of them must be assessed by a second-marker (no sampling), who must assign a second mark (no check marking).

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<sup>3</sup> Criterion-referenced assessment evaluates the 'absolute' quality of a candidate's work against marking criteria: the same work will always receive the same mark determined by the marking criteria, irrespective of the performance of other students in the cohort. In contrast norm-referenced assessment determines a candidate's ranking relative to the cohort: the same work can achieve a high or low mark depending on how it relates to the work of other students in the cohort ('marking on a curve' is norm-referenced assessment).

## 5.1.4 Justification of Marks

1. Marking and how marks are arrived at must be documented and transparent for examination boards, External Examiners, students, and, if necessary, complaint panels.
2. The first mark, the second mark, and the agreed mark must be recorded separately.
3. The application of the marking criteria and the justification of marks must be documented:
  - 3.1 In qualitative assessments this will usually take the form of examiner's comments. Where there are second marks, comments are needed from both the first and the second marker. For assessed coursework, these comments (in particular the first-marker's comments) can be identical with the feedback provided to the student.
  - 3.2 In quantitative assessments, model answers and evidence of the scoring of the assessment as per the application of the marking scheme can constitute documented justification.
  - 3.3 Details can be regulated by Faculty and/or departmental marking policies.
4. The documentation must make it clear how the agreed mark has been arrived at.

## 5.1.5 Disagreement

1. The marking policies of Faculty Boards of Examiners and/or Departmental Boards of Examiners should define and publish policies on the handling of marking disagreements.
2. These policies must limit the scope of any mathematical averaging in reconciling first and second marks by setting criteria and thresholds, defining from what point onwards markers must discuss the work and their marks and determine the agreed mark as an outcome of that discussion. At a minimum, all mark differences of 10 or more marks on the 0–100 marking scale (and pro rata for other scales) must be subject to discussion and reconciliation. Differences between the first and second marks that bracket a class mark must be subject to discussion and reconciliation, not mathematical averaging.
3. Where a second marker reviews a sample of assessments and disagrees with all or some of the marks awarded, the sample must be extended and the assessments for all students in the cohort second-marked. No mark adjustments can be made until the whole assessment has been reviewed.
4. These policies must set criteria to define when an internal third-marker should be consulted and how the agreed mark is arrived at following internal third-marking. Under UCL regulations, third marking to reconcile disagreements between first and second markers is not a task for the External Examiner (see

Chapter 6, Section 4: External Examining). However, subsequently bringing third-marked scripts to the attention of the External Examiner is good practice.

### 5.1.6 Sampling

1. Where sampling is used in second-marking, the sample must include at least the following:
  - 1.1 all Fails.
  - 1.2 mid-class examples for each class (mid-forties, mid-fifties, mid-sixties, Firsts/Distinctions).
  - 1.3 examples of all upper borderlines (39, 49, 59, 69).
  - 1.4 the higher of either: at least 10% of assessments, or: at least 5 assessments.
2. Thresholds for the use of sampling versus full second-marking can be set in Faculty and/or departmental marking policies.

### 5.1.7 Feedback

1. Feedback is regulated by the UCL Service Standards for the Provision of Feedback to Students on Assessed Work (see Section 6: Feedback).
2. In the interest of prompt feedback and where necessary to comply with service standards, feedback can be given prior to second-marking based on the first markers comments. In such cases all such feedback must be accompanied by an explicit disclaimer warning that the feedback is given for pedagogical purposes, that the assessment remains subject to second-marking and mark reconciliation, and that the feedback may therefore not always be indicative of the final mark.

### 5.1.8 Moderation and External Examiners

1. Moderation is provided through External Examiners, whose tasks and responsibilities are regulated by Chapter 6, Section 4: External Examining.
2. Examination Boards are expected to review quantitative module assessment data such as programme and module level means, medians, standard deviations, and comparisons with previous cohorts to consider and ensure consistency of marking.

## 5.2 Summative E-Assessment

### Introduction

1. UCL's Academic Regulations for Students apply to the conduct of summative e-assessment. However, because there are additional considerations and risks involved in managing e-assessment, further guidelines have been provided by the Centre for the Advancement of Learning and Teaching (CALT) and E-Learning Environments and have been approved by the UCL Education Committee. These guidelines have been designed to ensure that e-assessment is conducted in a planned and controlled manner. NB A glossary of terms has been provided at the end of this paper.

### Background and Scope of the Policy

1. This policy covers the use of computer-based tests and quizzes for summative e-assessment. It should be read in conjunction with Section 8: Boards of Examiners and with the remainder of this Assessment Framework for Taught Programmes.
2. The policy covers both low stakes and high stakes e-examinations:
  - a) **Low Stakes:** E-assessment is regarded as being low stake if it counts, in total, for  $\leq 10\%$  of 1 module. E-Learning Environments (ELE) must be notified four weeks in advance, and the assessment must be invigilated. ELE need not be present (although they will arrange to be present on request).
  - b) **High Stakes:** An e-examination is regarded as High Stakes if it counts, in total, for  $> 10\%$  of 1 module. ELE must be notified four weeks in advance, the assessment must be invigilated. ELE need not be present (although they will endeavour to be present on request).
3. Further guidance is available in Annex 4.1 Guidelines for Conducting e-Assessment.

### 1 Conducting Summative E-Assessment

- i) Summative e-assessment must be conducted in accordance with the precepts of this Assessment Framework for Taught Programmes and take account of the requirements set out in Annex 4.1 Guidelines for Conducting E-Assessment.
- ii) All summative e-Assessment must be designed in accordance with the guidelines set out by the Centre for the Advancement of Learning and Teaching (CALT) and E-Learning Environments.

#### Guidance for staff and students:

- i) The Centre for the Advancement of Learning and Teaching (CALT) and E-Learning Environments (ELE) provide training, support and advice in the design and delivery of e-examinations. Staff involved in setting e-examinations are strongly advised to seek advice from CALT or ELE staff.

## 2 Good Practice for Quiz Design

- i) When setting a multiple choice question ensure that the distractors (wrong answers) are not too obvious and that there are at least three distractors;
- ii) Randomise questions the order in which questions are presented to students, and randomize the presented order of the answers within each question, in order to reduce opportunities for students to copy from nearby screens;
- iii) Calculated question types in Moodle need particularly careful checking – if in doubt consult ELE;
- iv) Ensure that the questions are presented in a series of pages or screens; this is so that the students' responses are automatically saved and stored at the end of each screen;
- v) Do not use the computer's clock, or the clock within Moodle, to time exams - if there is a network problem during the exam students will lose time. Instead use the clock on the wall to manage timings manually, with invigilators announcing time as in a written examination;
- vi) Ensure that the quiz availability times are no longer than necessary;
- vii) The British Standard ISO/IEC 23988:2007 states that if an e-examination lasts longer than 90 minutes 'there should be provision, if not detrimental to the purpose or validity of the assessment, for candidates to take a break.'
- viii) Consider adjusting the number of questions for each test accordingly, and if necessary schedule two tests with a break in between.

## 3 Testing Summative E-Assessment Tasks

- i) The technology being used for all summative e-assessment tasks must be tested before students undertake the assessment.

### **Guidance for staff and students:**

- i) In accordance with UCL assessment regulations the e-examination must be checked by another person and have the approval of the External Examiner. Guidance is available in the Regulations for Boards of Examiners. E-Learning Environments (ELE) can help to provide Moodle access to External Examiners if required. Ideally ELE is informed of any e-examination with at least four weeks' notice to allow them to check arrangements and provide support as necessary. Staff can do this by completing the 'e-examination notification form'.
- ii) Academic staff are advised to ensure that someone in their discipline has run through the entire test to ensure that there are no errors and that the questions and distractors (incorrect answers) are not too obvious. Additionally the link to the quiz must be sent to ELE at least two weeks before the e examination date to allow time for ELE to check the quiz settings.

## 4 Password Protection for E-Assessment Tasks

- i) All summative e-assessment tasks must be password protected.

**Guidance for staff and students:**

- i) Passwords for the quiz should only be given to students at the start of the e-examination – this will help ensure that only those in the examination room are able to access the quiz.

## **5 Unseen E-Assessment**

- i) All summative e-assessment tasks must be conducted as unseen assessment.

**Guidance for staff and students:**

- i) It is good practice to hide the quiz from students until immediately before the test. If you use an existing Moodle course check its 'Tutor' and 'Course administrator' enrolments carefully, as all those named will have access to the exam, even if it is hidden from students.

## **6 Information to be provided for Students undertaking a Summative E-Assessment Task**

- i) Programme and/or Module information provided to students should provide comprehensive details about all assessment requirements including details about e-assessment.

**Guidance for staff and students:**

- i) It is also good practice to remind students of the following at least two weeks before undertaking a summative e-assessment task:
  - The scoring rules for individual questions and the overall assessment;
  - The number and type of questions to be used;
  - The contribution this assessment makes to an overall module;
  - Any time limit;
  - Any restraints on navigation between question items, or blocks of questions;
  - Assessment regulations, including permitted and excluded materials and resources;
  - What feedback will be provided (including their mark if appropriate);
  - To bring their UCL ID cards for identity checking;
  - To ensure that they know their UCL user ids and passwords and that they have used them the day before the e-examination.

# 6 Feedback

## 6.1 Service Standards for the Provision of Feedback to Students on Assessed Work

### Background

1. A consistent feature of the comments that UCL students provide both through course questionnaires, and at an Institutional level has been the quality and timeliness of feedback they are given on assessment exercises performed during their programme of study.
2. At present a range of methodologies are used by UCL Departments and individual programmes to provide a critical assessment of students' strengths and weaknesses based upon assessment (both formative and summative) of work during the programme of study.
3. Currently, student feedback can take the form of oral discussion with tutors or programme organizers and lecturers, group discussions, and individual written feedback.
4. UCL has now revised its assessment strategy and as part of this strategic revision has identified the need for service standards to be adopted across UCL to ensure our students receive appropriate and timely feedback on their work in order to enhance the learning experience and maximise academic performance.

### Service Standards

5. In all modes of assessment during a programme the student should expect feedback to occur within 1 calendar month of the deadline (including weekends and vacations) for submission of each piece of assessed work (but not including end of year unseen examinations or end of module summative unseen examinations). Departments are encouraged to provide this in a shorter timeframe if they wish.
6. Feedback to students on the assessed work can take the form of:
  - a. Individual discussions of the strengths and weaknesses and opportunities for improvement
  - b. Group discussions whereby thematic areas are developed to illustrate strengths and weaknesses within the group as a whole
  - c. A written feedback sheet indicating the areas in (a) preferable within the context of specific headings which are likely to be developed in a subject specific fashion.
7. If for whatever reason a Department or course organiser cannot ensure that the 1 calendar month deadline (including weekends and vacations) is met then they must indicate by direct contact with the students on the module through email/Moodle when the feedback will be provided. It would be unusual if the

extra time needed by the Department or course organisers would exceed one week i.e. 5 calendar weeks in total.

8. In the context of research projects/dissertations/long essays etc. at undergraduate level and at taught postgraduate level, supervisors will be required to provide feedback to students on the draft report on a minimum of one occasion if it is provided to the supervisor by a deadline specified. Taking account of subject specific requirements, Departments should specify what form of feedback students should expect.
9. The nature of the feedback will vary between different subject areas and academic disciplines and therefore as part of UCL's commitment to quality enhancement the sharing of proforma within and between Faculties will be encouraged by the creation of a website in which examples of the proforma's being used can be posted.
10. Students are issued with one candidate number per year so the link between candidate numbers and names must remain confidential for the full academic session.
11. In circumstances where feedback is not provided within the timescale, students should bring the matter to the attention of the Departmental Tutor or Head of Department who would take action as necessary. If students remained dissatisfied then the matter should be referred to the Faculty Tutor.

# 7 Extenuating Circumstances

The Extenuating Circumstances regulations apply to all UCL taught students, except those in the UCL School of Pharmacy and the UCL Institute of Education which operate their own procedures:

- UCL School of Pharmacy - Chapter 8: Derogations and Variations/ School of Pharmacy/ Extenuating Circumstances Policy
- UCL Institute of Education - Chapter 8: Derogations and Variations/ Institute of Education/ Extensions and Deferrals Policy

All other taught students should follow the UCL Extenuating Circumstances procedures.

## Summary

Extenuating Circumstances (ECs) are circumstances in a student's life which are **unexpected, significantly disruptive and beyond the student's control and which may affect their performance at assessment**, such as a sudden, serious illness or the death of a close relative. There are a number of ways in which UCL can help and support students experiencing difficulties, such as an extension, deferral of assessment to a later date or special assessment arrangements such as extra time in an exam or a separate room.

As a student, you are responsible for making known any circumstances which might affect your performance at the time that the problem arises. You will need to submit an EC Claim Form, together with appropriate supporting evidence from an appropriate, verifiable and independent authority such as a registered medical practitioner, as soon as possible and no later than one week after the circumstance has taken place. You will need to submit your claim to your home department/ faculty - your student handbook/ Moodle will tell you where to submit your claim.

Before submitting your claim, you should make sure that you read these procedures and, in particular, Section 7.3 Acceptable Grounds for Extenuating Circumstances and Section 7.4 Submitting a Claim. You can also consult the Extenuating Circumstances Guidance for Students for more information.

## Students with Long-term/ Chronic Conditions and Disabilities

The EC regulations provide short-term solutions for students experiencing sudden, unexpected difficulties. They are not designed to support students with longer-term or chronic conditions or disabilities. Such students should contact [Student Disability Services](#) for advice and support. It is however recognised that a student with a chronic or long-term condition may nonetheless experience an acute episode or sudden worsening of their condition and that it may not always be possible for UCL to put sufficient arrangements in place to help. Such eventualities **will be** considered under the Extenuating Circumstances provisions.

## 7.1 Introduction

### 7.1.1 Definition

1. Extenuating Circumstances (ECs) are defined as circumstances in a student's life that are unexpected, significantly disruptive and beyond the student's control and which may affect their performance at assessment.

### 7.1.2 Core Principles

1. Wherever possible, UCL is responsible for ensuring that students are not unfairly disadvantaged by such circumstances.
2. Students are responsible for making known any circumstances which may affect their performance in good time for them to be considered by the appropriate body.

### 7.1.3 Aims

1. The EC regulations aim to:
  - i) Uphold the academic standards of UCL
  - ii) Mirror the principles applied for employees, fostering a professional approach which prepares students for the work place and highlights the need for students to accept responsibility for their own conduct
  - iii) Ensure that all students are treated fairly and equitably
  - iv) Accord with the principles of natural justice
  - v) Pay due notice to the danger of inadvertent, indirect discrimination or bias
  - vi) Ensure that, as far as possible, procedures do not bear more heavily against specific groups, particularly with regard to age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, caring responsibilities, race, religion or belief, sex or sexual orientation
  - vii) Respect UCL's obligations under the Equality Act 2010, the Race Relations Act 1976 (as amended), the Disability Discrimination Act 1995 (as amended 2005), the Special Educational Needs and Disability Act 2001 and the Data Protection Act 1998
  - viii) Be simple to operate, be widely publicised, and ensure that outcomes are promptly delivered.

### 7.1.4 Scope

1. The Extenuating Circumstances regulations cover all types of assessment, including examinations and coursework.

2. The Extenuating Circumstances regulations apply to all UCL taught students, except those in the UCL School of Pharmacy and the UCL Institute of Education which operate their own procedures:
  - UCL School of Pharmacy - Chapter 8: Derogations and Variations/ School of Pharmacy/ Extenuating Circumstances Policy
  - UCL Institute of Education - Chapter 8: Derogations and Variations/ Institute of Education/ Extensions and Deferrals Policy

### 7.1.5 Long-term/ Chronic Conditions and Disabilities

1. The EC regulations provide short-term solutions for students experiencing sudden, unexpected difficulties. They are **not** designed to support students with longer-term or chronic conditions or disabilities. UCL seeks to ensure that such students are properly supported throughout their studies and enabled to achieve their full potential at assessment. Section 4: Special Assessment Arrangements governs how UCL supports such students.
2. It is however recognised that a student with a chronic or long-term condition may nonetheless experience an acute episode or sudden worsening of their condition and that it may not always be possible for UCL to put sufficient arrangements in place to help such students. Such eventualities **are** covered by the Extenuating Circumstances provisions.

## 7.2 Faculty Extenuating Circumstances Panel (FECP)

### 7.2.1 Terms of Reference

1. Each Faculty will have an Extenuating Circumstances Panel (FECP) which is responsible for the processing of EC claims received from students in the Faculty.
2. The terms of reference of the FECP are:
  - i) To make objective, impartial decisions about the validity of EC claims submitted by students in the Faculty.
  - ii) To determine the most appropriate course of action for the circumstances in hand and make recommendations to the relevant Programme Boards of Examiners or to the Special Assessment Arrangements Panel.
  - iii) To ensure that all claims are supported by appropriate evidence.
  - iv) To ensure that mitigation is only applied to the affected module(s).
  - v) To ensure that mitigation is only applied once for each assessment.
  - vi) To ensure that EC claims are processed in a timely manner.

- vii) To ensure that EC claims remain confidential to the EC Panel, the SAA Panel and to the Chair and Secretary of the relevant Programme Board of Examiners.
- viii) To ensure that all data relating to ECs are stored securely.
- ix) To report annually to the Academic Regulations and Quality Assurance Sub-committee on the profile of cases received and validated to assist in institutional analyses.
- x) To report annually to the Academic Regulations and Quality Assurance Sub-committee on the efficacy of the EC regulations, making recommendations for improvement where appropriate.

## 7.2.2 Membership

1. The FECP must be independent from the Programme Board of Examiners.
2. The FECP should be chaired by the Faculty Tutor. A deputy chair may be nominated to stand in for the chair where necessary.
3. The FECP Secretary should be a named member of staff from the Faculty administration team. The Secretary is responsible for receiving and processing claims and ensuring that the decisions of the FECP are transmitted to the relevant Programme Boards of Examiners and to students in a timely manner.
4. In addition to the Chair, the FECP should comprise at least two members of senior academic staff, e.g. Faculty Graduate Tutors, Programme Directors, Departmental Tutors etc.
5. Academic membership must be based on the principles of independence and objectivity. Academic members should withdraw from the meeting for any discussions regarding students for whom there might be a conflict of interests e.g. a Programme Director should not be involved in making decisions for a student registered on his/ her own programme.
6. The quorum for any EC Panel meeting is three: the Chair and two members of academic staff. There must be sufficient academic membership to allow members to withdraw from discussions whilst maintaining quoracy.
7. Where possible, the members of academic staff should change on an annual basis to ensure maximum sharing and awareness of the EC process across UCL.

## 7.2.3 Delegation of Authority to Departmental Panels

1. The FECP may delegate authority to consider EC claims to a Departmental EC Panel (DECP), for example where the volume of claims might hinder the speed of decision-making.
2. Departmental EC Panels are accountable to the Faculty EC Panel which is ultimately responsible for all decisions made on its behalf. The FECP will determine the authority of any DECP under its responsibility.

3. Departmental EC Panels should be chaired by the Head of Department or Chair of the Departmental Board of Examiners, with a named secretary from the departmental administration team.
4. Academic membership must follow the principles of independence and objectivity, where staff are not involved in making any decisions relating to students for whom there might be a conflict of interests e.g. a Programme Director should not be involved in making decisions for students registered on his/ her own programme.

## 7.2.4 EC Panel Meetings

1. The FECP/ DECP must meet regularly in order to consider claims in good time, particularly around the main examination periods.
2. To facilitate decision-making, panels may meet 'virtually', where decisions are approved electronically and formally recorded by the EC Panel Secretary.

## 7.3 Acceptable Grounds for Extenuating Circumstances

UCL recognises that each student's circumstances are different and that claims must be considered on a case-by-case basis. However, in order to promote fairness for all students across UCL, the following guidelines are provided to assist UCL staff and students in assessing whether an EC Claim might be considered:

<b>Acceptable Grounds for Extenuating Circumstances</b>	
<p>Circumstances which will normally be considered where there is appropriate evidence</p> <p>The following is a non-exhaustive list of examples that UCL would commonly regard as circumstances that could have seriously affected performance:</p>	<ul style="list-style-type: none"> <li>• Death of a child, sibling, parent (including step-parent or legal guardian), spouse or common law partner</li> <li>• Serious personal injury or medical condition preventing attendance at or completion of assessment or submission of work</li> <li>• Serious worsening or acute episode of an ongoing medical condition (including pregnancy and maternity) or disability</li> <li>• Victim of serious crime (e.g. assault, mugging)</li> <li>• Theft of work required for assessment</li> <li>• Direct experience of terrorist incident or natural disaster</li> <li>• Major fire in residence</li> <li>• Jury Service or attendance at court or tribunal as a witness, defendant or plaintiff</li> </ul>
<p>Circumstances that may be considered where there is clear evidence of the impact on the student</p>	<ul style="list-style-type: none"> <li>• Death of, or serious injury to, a friend or relative not identified above</li> <li>• Moderate personal injury or medical condition preventing attendance at or completion of assessment or submission of work</li> </ul>

<p>The following is a non-exhaustive list of examples that UCL <b>may</b> regard as extenuating circumstances, where there is clear evidence to suggest that the student was significantly affected:</p>	<ul style="list-style-type: none"> <li>• Serious injury or illness to child, sibling, parent (including step-parent or legal guardian), spouse or common law partner</li> <li>• Unexpected caring responsibilities caused by sudden serious illness or worsening of ongoing medical condition in a child, sibling, parent (including step-parent or legal guardian), spouse or common law partner</li> <li>• Family breakdown (such as divorce)</li> <li>• Serious disruption caused by terrorist incident or natural disaster</li> <li>• Major travel disruption (such as cannot be remedied by finding an alternative mode of transport or by better time-keeping on the part of the student)</li> </ul>
<p>Circumstances that would not normally be considered</p> <p>The following is a non-exhaustive list of circumstances <b>unlikely</b> to be regarded as extenuating circumstances:</p>	<ul style="list-style-type: none"> <li>• Minor illnesses or injuries (such as colds, headaches, hayfever)</li> <li>• Ongoing medical conditions, disabilities, learning difficulties, mental health conditions, pregnancy, maternity or caring responsibilities for which the student is already receiving reasonable adjustments or Special Assessment Arrangements</li> <li>• Assessment/ examination stress</li> <li>• Caring responsibilities for relatives with minor illnesses or injuries</li> <li>• Poor time management</li> <li>• Failure of IT equipment/ printers</li> <li>• Failure to back up electronic documents</li> <li>• Minor crime</li> <li>• Minor private or public transport failure</li> <li>• Financial problems or employment difficulties</li> <li>• Accommodation problems or house moves</li> <li>• General domestic / family problems</li> <li>• Supporting a friend or relative at a court or tribunal</li> <li>• Visa problems</li> <li>• Holidays or booked travel arrangements</li> <li>• Circumstances which are foreseeable or preventable</li> <li>• Circumstances which have not clearly impacted on academic performance</li> <li>• Circumstances which do not clearly relate to the timing of the assessment</li> <li>• Circumstances without reasonable supporting evidence (medical or otherwise)</li> <li>• Circumstances supported by evidence from unregistered medical practitioners, including alternative therapists</li> <li>• Circumstances supported by evidence from a relative or other person with a conflict of interest</li> </ul>

	<ul style="list-style-type: none"> <li>• Circumstances supported by ‘retrospective’ evidence e.g. a medical note which states that the student declared they had been ill previously</li> <li>• Conditions which are not fully diagnosed e.g. a medical note which states that “the patient informs me that...”</li> <li>• Claims that a student was unaware of the dates or times of submission or examination</li> <li>• Late disclosure of circumstances on the basis that a student felt unable to confide in a staff member or follow the UCL EC procedures.</li> </ul>
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## 7.4 Submitting a Claim

### 7.4.1 Student Responsibilities

1. Students must submit an Extenuating Circumstances Claim Form (see Annex 4.2.1), together with appropriate supporting evidence, as soon as possible and no later than one week after the circumstance has taken place.
2. The Student Handbook for each UCL programme must specify where student EC claims are to be submitted. This might be the faculty, department or programme office. The student is responsible for submitting their claim to the specified office.
3. Claims must identify the type of mitigation being requested. The student’s request will determine how the claim is considered and processed by UCL but in no way determines the outcome of the EC Claim. Students may submit an application for:
  - i) A coursework deadline extension of up to one week
  - ii) Special Assessment Arrangements (for short-term conditions)
  - iii) Other
4. Claims must clearly state the modules/ components for which the student is seeking mitigation; claims will not be considered for any modules not identified on the EC Claim Form.

### 7.4.2 Evidence

1. Claims must be supported by written evidence from an appropriate, verifiable and **independent** authority such as a registered medical practitioner (i.e. listed in the GMC’s List of Registered Medical Practitioners), solicitor, undertaker, coroner, registrar of births, marriages and deaths, police officer, fire officer, court or tribunal officer.
2. Evidence must cover the full period for which the student is claiming mitigation.

3. Evidence must be provided in English or accompanied by a translation formally notarised by a solicitor.

### 7.4.3 Late Submission of a Claim

1. Where a student is unable to submit their claim within the specified deadline because the EC is still ongoing, and the Board of Examiners **has not yet made a decision**, the Faculty/ Departmental EC Panel or Special Assessment Arrangements Panel may use its discretion to consider the late claim following the standard procedures outlined in Sections 7.5-7.7 of these procedures.
2. Where a student is unable to submit their claim within the specified deadline because the EC is still ongoing, and the Board of Examiners **has already made a decision**, the student may be able to request a review of the Board's decision:
  - i) Students should submit a request for review within two weeks of the date of the results notification.
  - ii) The Student Handbook for each UCL programme must specify where student EC Claims are to be submitted. Requests for review should be submitted to the same location.
  - iii) The receiving office will forward the request to the Chair of the Faculty EC Panel who will review the case.
  - iv) Where the Chair of the Faculty EC Panel agrees that there are valid grounds for the late submission of the EC Claim (i.e. it was impossible for the student to submit it on time and/or before the Board of Examiners) the FECP Chair will make a recommendation to suspend the regulations to the Vice-Provost (Education and Student Affairs).
  - v) Where the Vice-Provost (Education and Student Affairs) accepts the request for review, s/he will overturn the original Board of Examiners' decision and put a new one in its place. The Faculty EC Panel and Programme Board of Examiners will be notified as soon as possible. Assessment and Student Records will amend the student's record and issue the student with a new results notification.
  - vi) Where the Faculty EC Panel Chair or the Vice-Provost (Education and Student Affairs) rejects the request for review, s/he will notify the FECP and Programme Board of Examiners as soon as possible. The Secretary to the FECP is responsible for notifying the student that their request has been rejected.

## 7.5 Requests for Coursework Deadline Extensions of up to One Week

1. A coursework extension of up to one week may be approved by a Programme Director (or equivalent), Departmental Tutor or Chair of a Programme Board of Examiners. (Requests for extensions of more than one week must be forwarded

to the Faculty EC Panel, following the procedures in Section 7.7 of these procedures. Other members of teaching staff, including Module Tutors, are not permitted to grant an extension.

### 7.5.1 Procedure

1. The EC Claim Form asks students to state clearly whether they are seeking a coursework deadline extension of up to one week in mitigation of their circumstances. Where this is indicated, the receiving office should forward the claim to the relevant Programme Director (or equivalent), Departmental Tutor or Chair of the Programme Board of Examiners no later than one week after receipt of the claim.
2. On receipt of an EC Claim form, the Programme Director (or equivalent), Departmental Tutor or Chair of the Programme Board of Examiners should assess the request against Section 7.3 Acceptable Grounds for Extenuating Circumstances. Where they deem the claim to be valid, they may use their discretion to grant a deadline extension of up to one week only, in consultation with the teaching department.
3. Where an extension is agreed, the Department must communicate the new deadline to the student in writing as soon as possible and notify the relevant Faculty EC Panel of the decision.
4. Where an extension is not permitted, the Department must communicate the decision to the student in writing as soon as possible. Such students retain the right to submit a second EC Claim for consideration by the Faculty/ Departmental EC Panel.

## 7.6 Requests for Special Assessment Arrangements for Short-term Conditions

1. Students with long-term, chronic conditions and disabilities are expected to follow the procedures outlined in Section 4: Special Assessment Arrangements and are **not** expected to submit claims for Extenuating Circumstances in order to be considered for Special Assessment Arrangements. The following processes are provided as an **additional** mechanism to support students with short-term, sudden and unforeseen extenuating circumstances who may nevertheless be able to sit an examination if Special Assessment Arrangements can be put in place.

### 7.6.1 Procedure

1. The EC Claim Form asks students to state clearly whether they are seeking Special Assessment Arrangements in mitigation of their Extenuating Circumstances. Where this is indicated, the receiving office should forward the claim to Assessment and Student Records for consideration by the Special

Assessment Arrangements (SAA) Panel, as soon as possible and no later than one week after receipt of the claim.

2. On receipt of a claim, the SAA Panel may use its discretion to consider whether reasonable adjustments can be put in place, such as:
  - i) Extra time in an examination
  - ii) An alternative venue, including the option of a separate room
  - iii) Rest breaks
  - iv) Specialist equipment, such as a PC or an adjustable chair
  - v) Recommendation of an alternative form of assessment
3. The SAA Panel will be given access to the EC Claim Form so that it can ensure that adjustments are appropriate. EC claim forms must be treated confidentially by the SAA Panel.
4. Where Special Assessment Arrangements are put in place no further mitigation will be considered. The student must not be given additional consideration by the Faculty/ Departmental EC Panel.
5. Where the SAA Panel is unable to assist, or is unable or unwilling to accept the EC Claim, the SAA Panel must communicate the decision to the student in writing as soon as possible. Such students retain the right to submit a second EC Claim for consideration by the Faculty/ Departmental EC Panel.

## 7.6.2 Late Requests for Special Assessment Arrangements

1. In exceptional circumstances, for example where a decision has to be made on the morning of an examination, the SAA Panel may exercise its discretion to receive an EC Claim directly from the student and to put Special Assessment Arrangements in place, where it believes the EC claim to be valid.
2. If the SAA Panel is unable to support the student, or is unable or unwilling to accept the EC Claim, the student retains the right to submit a second EC Claim for consideration by the Faculty/ Departmental EC Panel.

## 7.7 All Other Claims

1. All other claim forms (not related to extensions of up to 1 week or Special Assessment Arrangements) must be forwarded to the Secretary of the Faculty/ Departmental Extenuating Circumstances Panel, by the receiving office, as soon as possible and no later than one week after receipt of the claim form.

### 7.7.1 Faculty EC Panel Decision

1. Each Faculty will have an Extenuating Circumstances Panel whose terms of reference and membership are defined in Section 7.2 of these procedures. Faculties may delegate authority for considering EC Claims to a Departmental

Panel whose terms of reference and membership are also defined in Section 7.2 of these procedures.

2. The Faculty/ Departmental EC Panel will review each claim and the evidence presented against Section 7.3 Acceptable Grounds for Extenuating Circumstances and make one of the following decisions:
  - i) Accept
  - ii) Reject
  - iii) Pending – further evidence required
3. Where a claim is **rejected**, the student will be notified in writing within one week of the decision being made.
4. Where **further evidence is required**, the student will be notified within one week of the decision being made and will be expected to provide the missing evidence within a further two weeks. Where no further evidence is received, the Faculty/ Departmental EC Panel will reject the claim and notify the student in writing.

## 7.7.2 Accepted Claims

1. Where a claim is **accepted**, the Faculty/ Departmental EC Panel will make one of the following decisions:
  - i) To refer the claim to the Special Assessment Arrangements Panel (see Section 7.6 of these procedures)
  - ii) To offer the student the opportunity to sit/ submit the assessment as if for the first time and without penalty (deferral)
  - iii) To offer the student a specified extended deadline
  - iv) To condone the late submission of coursework (late submission penalties suspended and full mark awarded)
  - v) To exclude the affected component from the module mark calculation, up to a maximum of 50% of a module
  - vi) To exclude the affected module from the classification calculation, up to a maximum total of 30 credits (1 course unit) across the whole programme
  - vii) To recommend that the Board of Examiners gives special consideration to any weighted average marks falling within the 1% Borderline Zone (see Section 2.10 Undergraduate Borderline Criteria and Section 3.10 Taught Postgraduate Borderline Criteria)
  - viii) To recommend that the student is considered under Section 2.11 Undergraduate Special or Aegrotat Provisions, where applicable.
2. The FECP/ DECP Secretary should notify the student of the decision in writing within one week of the Panel meeting, giving details of the decision made and any new deadlines.

3. The FECP/ DECP should notify the relevant Programme Board of Examiners of its decision within one week of the Panel meeting.

### 7.7.3 Recommendation to the Programme Board of Examiners

1. The Programme Board of Examiners is responsible for applying the Faculty/ Departmental EC Panel's decision, confirming the module result and determining whether the student may progress or graduate.
2. The Programme Board of Examiners must only receive notification of validated Extenuating Circumstances from the Faculty/ Departmental EC Panel; un-validated claims must not be considered and Board members must not raise new cases at the meeting of the Board.
3. The Faculty/ Departmental EC Panel decision will include only the student's candidate number and the decision for each affected module. Only the Chair and Secretary of the Board of Examiners will have access to the EC Claim Form in order to verify information.
4. The Board must not be advised of, or be allowed to discuss, the nature or severity of the Extenuating Circumstance.
5. Marks for individual modules must not be adjusted in any circumstances.
6. All decisions must be recorded accurately by the Board of Examiners and communicated to the student in writing.

#### **Further Guidance**

1. For the EC Claim form, please see Annex 4.2.1 Extenuating Circumstances Claim Form
2. For further guidance, please see Annex 4.2.2 Extenuating Circumstances Guidance Notes.

# 8 Boards of Examiners

## 8.1 Programme Boards of Examiners

### 8.1.1 Terms of Reference

1. There must be a Programme Board of Examiners responsible for every taught programme.
2. A Programme Board of Examiners may be responsible for one or more taught programmes, and/ or groups of modules. The structure of the Board must be approved by the relevant Faculty Board(s) of Examiners.
3. The Programme Board of Examiners will report to the Faculty Board of Examiners. In the case of Combined Studies or multidisciplinary programmes the Programme Board of Examiners should report to the Faculty Board of Examiners for the Faculty in which the programme is registered.
4. The Programme Board of Examiners will make recommendations to UCL Education Committee, which has the authority to confer UCL qualifications.
5. The Programme Board of Examiners may delegate authority to the Chair, or to a sub-group of itself, to implement decisions on its behalf.
6. The Programme Board of Examiners has the following responsibilities:
  - a) To set, safeguard and monitor the academic standards of the programme.
  - b) To ensure that assessment, marking and moderation processes are appropriate, rigorous and fair.
  - c) To ensure equity of treatment for students.
  - d) To ensure that assessment has been conducted within UCL's regulations and guidance.
  - e) To confirm module marks and determine each student's eligibility for progression, condonement, award and classification.
  - f) To recommend students for the award of a qualification to UCL Education Committee.
  - g) To agree actions in the event of failure including condoned failure and resit provisions.
  - h) To implement, where required, the decisions of the Faculty/Departmental Extenuating Circumstances Panel(s).
  - i) To receive a report from each External Examiner on the appropriateness of the assessment process and on the extent to which the regulations governing the assessment of students have been rigorously and consistently applied.
  - j) To ensure that programme teams respond to issues raised by the External Examiner(s).
  - k) To highlight any issues for discussion at Faculty or institutional level.
  - l) To consider any matter referred to it by the Faculty Board of Examiners or the Education Committee of UCL.

## 8.1.2 Constitution and Membership

1. Each Programme Board of Examiners must include:
  - a) A Chair
  - b) A Deputy Chair
  - c) One Internal Examiner for each main subject area covered
  - d) One External Examiner for each main subject area covered
  - e) A Faculty Representative (as a non-voting observer)
  - f) A named secretary (as a non-voting attendee)
2. Where the Chair of the Board considers it appropriate, an Internal or External Examiner may be appointed to examine across more than one subject area.
3. Other Faculties involved with the delivery and examination of a programme may be represented by an appropriate Faculty Representative.
4. The secretary to the Board should be responsible for coordinating all communications with Internal Examiners and External Examiners.

## 8.1.3 Quoracy

1. The minimum number of examiners permissible at a full meeting of a Programme Board of Examiners is either five members or one fifth of the membership, whichever is the higher number. This must include the Chair or Deputy Chair and at least one External Examiner for each main subject area covered.
2. Where authority is delegated to a sub group to consider resit or deferred students, the meeting must include the Chair or Deputy Chair and at least one External Examiner for each main subject area covered.

## 8.1.4 Candidate Anonymity

1. All marks, progression decisions and awards considered by a Programme or Faculty Board of Examiners must be considered on an anonymous basis.

## 8.1.5 Confidentiality

1. All Programme and Faculty Board members have the following responsibilities:
  - a) To preserve absolutely the secrecy of unseen written examination papers at all stages until the papers have been completed by candidates in accordance with the instructions prescribed by UCL.
  - b) To preserve confidentiality in respect of the proceedings of the Programme or Faculty Board of Examiners.
  - c) To preserve confidentiality in respect of final awards until results have been formally published.
  - d) To comply with the Data Protection Act 1998 in accordance with the instructions of Student & Registry Services and UCL's Data Protection Policy.

## 8.1.6 Conflicts of Interest

1. Examiners, whether Internal, Assistant Internal or External, who have a personal or professional conflict of interest should not be appointed to a Programme Board of Examiners.
2. External Examiners who have any current teaching or other collaborative activity with the staff or students examined by a Programme Board of Examiners may not be appointed (see [Chapter 6, Section 4: External Examining](#) for further details).
3. If it is considered essential to appoint or continue to appoint an examiner declaring such an interest before or after the examination process has begun, the appointment must be referred to the Chair of UCL Education Committee, or their nominee, for approval.
4. If an examiner declaring such an interest is approved for appointment, he or she must not take part in any assessment (or, in the case of a declaration after the examination process has begun, any further assessment) of the student(s) to whom the declaration refers and should not be present during any specific discussion of the student(s) in question at a Programme Board of Examiners meeting.
5. Examiners should also declare any interest in the future research supervision of a student. Such an interest will not debar an examiner from the assessment of that student but should be declared when that student's results are being discussed at the Programme Board of Examiners meeting.

## 8.1.7 Information for Programme Boards of Examiners

1. Programme Boards of Examiners should receive the following information:
  - a) Results profiles for continuing and finalist students
  - b) The recommendations of the Faculty/Departmental Extenuating Circumstances Panel
  - c) The Scheme of Award for the degree
  - d) Information on absences from examinations (available from [UCL Assessment & Student Records](#))
  - e) Examination scripts, according to normal practices
  - f) Chapter 4 of the UCL Academic Manual and any other relevant annexes or regulations.

## 8.1.8 Virtual Programme Boards of Examiners

1. A Virtual Programme Board of Examiners is an interim or final board meeting where External Examiners are required to be in attendance which is held simultaneously by electronic means.
2. Permission from the Faculty Tutor is required to run a Virtual Programme Board of Examiners is required and the Chair of UCL Education Committee, or their nominee, should be informed before the meeting is organised.
3. Further guidance is available in [8.12: Virtual Boards of Examiners](#).

## 8.2 Chairs and Deputy Chairs

### 8.2.1 Nomination and Appointment

- 1 Each Board of Examiners will have a Chair and a Deputy Chair who will be nominated by the out-going Chair in consultation with the Head of Department/Division and approved by UCL Education Committee.
- 2 The Chair is expected to serve as Chair of the same Board of Examiners for a minimum period of three calendar years.

#### **Further guidance**

1. It is the responsibility of outgoing Chairs, in consultation with their Heads of Department/Division and the proposed new Chairs, to decide on their successors. In the event of any disagreement over the nomination of a Chair, the final decision should be that of the Head of Department/Division.
2. The outgoing Chair must notify Student and Registry Services of any change by returning the Change of Chair Form (see Annex 4.4.2).
3. Student and Registry Services will continue to contact the person previously recorded as Chair until informed, by receipt of the form, of the name of the successor.
4. All changes must be endorsed by the Head of Department/Division and approved by the Chair of UCL Education Committee or their nominee.
5. In Combined Studies it is recommended that the Chair should be from the department/division with responsibility for the programme and the Deputy Chair should be from one of the contributing Departments/Divisions.

### 8.2.2 Conditions of Appointment

- 1 The Chair of a Board of Examiners will be a full-time member of the academic staff of UCL and have been teaching in the relevant subject area for the programme examined or otherwise employed in a professional capacity in the relevant subject area for at least five years before taking up their appointment as Chair.
- 2 The above conditions of appointment for Chairs also apply to the Deputy Chair of a Board of Examiners.
- 3 Chairs and Deputy Chairs have the responsibility to declare at the time of appointment or renewal of appointment any interest in or connection with any student on the programme(s) who's Board(s) of Examiners they will be chairing whether that interest or connection is personal or professional.
- 4 Chairs and Deputy Chairs must also declare any such interest or connection that develops during their term of office as Chair or Deputy Chair.

### 8.2.3 Responsibilities

- 1 The primary responsibility of a Chair of a Board of Examiners will be to ensure that the Board or Panel of Examiners which they chair carries out its responsibilities in a proper and impartial manner and in accordance with UCL and programme regulations.
- 2 It is the responsibility of the Chair of a Board of Examiners to verify eligibility to work in the UK (see Chapter 6, Section 4: External Examining).
- 3 Chairs will ensure that all the responsibilities of the Board of Examiners are met, and that the Board of Examiners is properly constituted (see the respective regulations for the Structure, Membership and Responsibilities of Boards of Examiners).
- 4 In addition to the duties required of them as an Internal Examiner, Chairs will undertake, or delegate, where appropriate to a designated member of staff, the duty of ensuring that External Examiners have the following:
  - i) The name and contact details of departmental/divisional board contact (e.g. Examinations Liaison Officer).
  - ii) Send External Examiners examination questions and other forms of summative assessment i.e. essay questions, MCQs etc., for confirmation that these are correct and at an appropriate level for the programme concerned. Chairs should consider any comments or advice provided by External Examiners and respond as required. As a minimum, Chairs should be able to demonstrate that all summative assessment has been scrutinised by an External Examiner.
  - iii) Departmental/divisional booklets such as a Student Handbook or syllabus information.
  - iv) The composition of the Board of Examiners (e.g. number of Internal Examiners and any interdepartmental/interdivisional involvement).
  - v) The number and subject area of other External Examiners appointed to the Board.
  - vi) The scheme for the award of Honours (if applicable) or scheme of assessment used in determining other awards.
  - vii) The marking scheme for individual papers (when known).
  - viii) The date(s) of meetings of Board of Examiners to which the External Examiner is invited (when known).
  - ix) An outline of procedures of Board of Examiners (e.g., point of contact for External Examiner, time allowed for marking, procedures for setting and scrutinising papers).
  - x) Ensure that the feedback loop, is followed after receipt of an External Examiner's Annual Report (see the External Examiner Reporting Process in (see Chapter 6, Section 4: External Examining)).

- 5 The duties required of the Chair as an Internal Examiner, will also include the following. Chairs may delegate, where appropriate to a designated member of staff:
- i) Ensure that newly appointed External Examiners and particularly new External Examiners with limited or no previous experience as an External Examiner are fully inducted into UCL's examination policies and procedures.
  - ii) Determine the distribution of scripts between External Examiners.
  - iii) Ensure that Examiners are properly briefed about the responsibilities expected of them and about the programme(s)/course(s) which they are appointed to examine.
  - iv) Ensure that all assessments which count towards the final award have been comprehensively marked and moderated.
  - v) Ensure that any script or other form of assessment which counts towards the final award, and for which the two Internal Examiners are unable to agree a mark, is referred to the appropriate External Examiner for moderation.
  - vi) Ensure that External Examiners are invited, in good time, to attend meetings of Board of Examiners at which significant decisions are to be taken.
  - vii) Be responsible for all communications between the Board of Examiners and UCL, including resolving matters raised by External Examiners in their reports and dealing with any appeals by students against examination results.
  - viii) Ensure that any pre-board meetings are convened in good time.
  - ix) Endeavour to ensure that all instructions of UCL as to the conduct of the examination are complied with, in particular with regard to the secrecy of examination papers.
  - x) Ensure that dates of Board of Examiners meetings are agreed well in advance and that all concerned, in particular the External Examiner(s), are informed of them well in advance.
  - xi) Follow the advice in Section 8.10: Procedures in the Event of an Emergency Affecting the Work of Boards of Examiners.
  - xii) Attend as a full member the Faculty Board of Examiners responsible for oversight of his or her Board of Examiners.
  - xiii) Prepare an annual report on the examination process, in consultation with the Board of Examiners, for forwarding to the Faculty Board of Examiners and, where appropriate, UCL Education Committee.

#### **Further guidance**

1. Many of the duties listed above may be delegated to others. The list indicates all those areas for which the Chair has final responsibility, whether or not they carry out the duties in person.

2. Chairs are reminded that Internal Examiners and Assistant Internal Examiners will also need to be briefed on their duties.
3. New Internal and Assistant Internal Examiners should wherever possible work in tandem with a more experienced Internal Examiner who is responsible for overseeing their work.
4. It is also recommended that the Board of Examiners should hold an induction meeting for new examiners, Internal and External, before the first full meeting of the Board.
5. It is part of the responsibility of the Chair of the Board to set a timescale by which internal marking including moderation, must be completed, and marks moderated by External Examiners returned.
6. All Chairs of Boards of Examiners should notify their Faculty of the date of their final meeting in good time so that arrangements can be made for the Faculty Tutor or their nominee to be present.
7. External Examiners should be given advance notice of the meetings in order for them to attend easily.
8. Advance notice of meetings will also help administrators to take advantage of booking lower fares and therefore avoid unnecessary costs to UCL in travel expenses.

#### 8.2.4 Entitlements

1. Chairs are entitled to act on behalf of the Board of Examiners in respect of any matter delegated to them by the Board of Examiners, the Faculty Board of Examiners and UCL Education Committee.
2. Chairs have a casting vote in addition to their own vote at any meeting of the Board of Examiners.
3. Attend and speak but not to vote at meetings of UCL Education Committee at which issues related to their Board of Examiners are discussed.

### 8.3 Departmental/Divisional and Programme Examiners

1. All Departmental/Divisional and Programme Examiners have the following overarching responsibilities:
  - i) To preserve absolutely the secrecy of unseen written examination papers at all stages until the papers have been completed by examination candidates in accordance with the Instructions prescribed by UCL.
  - ii) To preserve confidentiality in respect of the proceedings of the Board of Examiners.
  - iii) To preserve confidentiality in respect of the final award until lists of recommended awards have been published.

- iv) To comply with the Data Protection Act 1998 in accordance with the Instructions prescribed by UCL.
- v) Not to communicate with students on behalf of the Board of Examiners about their performance at the examination, or to reveal the marks on individual scripts except as will be authorised by the University of London and/or UCL. Examination scripts will not be returned to students.
- vi) To conduct the assessments in accordance with the approved programme regulations.

### **Further guidance**

1. When it is necessary for tutors to discuss with students their academic performance, the Chair of the Board of Examiners, or a person designated by the Chair, may disclose to students marks for coursework, including marks for the final year coursework, and appropriate written comments, provided that it is made clear that these are not confirmed marks and that they may be subsequently modified by the Board of Examiners concerned.
2. This is also the case when the Chair decides (e.g. in connection with Research Council funding) that it is appropriate to disclose, confidentially, to individual students their final examination marks.
3. Confirmed numerical marks may be issued only by Student and Registry Services.
4. Under the Data Protection Act 1998, tutors should ensure, when returning coursework that the marks and comments remain private to the student concerned unless, in the case of tutorials etc., it is agreed by the students present that they can be disclosed.
5. Under the above Act, comments on examination scripts also have to be disclosed in a legible form to the student concerned, should that student request it, although the original scripts themselves do not have to be made available. Any queries should be made to UCL's Data Protection Officer.
6. Work returned via pigeonholes should be in sealed envelopes. If this is not feasible, students should be advised that work will be returned in sealed envelopes only if specifically requested.

## **8.4 Internal Examiners**

### **8.4.1 Appointment**

1. Internal Examiners for the coming session will be nominated, on a yearly basis, by the Chair of the Board of Examiners of the current session and approved by the Faculty Board of Examiners. In the case of a newly instituted Board of Examiners the nominations will be made to the Faculty Board of Examiners by the appropriate Department(s)/Division(s).

2. Chairs of Boards of Examiners will submit, on a yearly basis, nominations of Internal Examiners (including Assistant Internals) to the relevant Faculty Board of Examiners early enough for the complete lists of Internal/Assistant Internal Examiners to be approved by the Faculty Boards by the end of the first term of the academic year in which the examiners will act.
3. Internal Examiners have the responsibility to declare at the time of appointment or renewal of appointment any interest in or connection with any student on the programme for which they are acting as examiner, whether that interest or connection is personal or professional. They must also declare any such interest or connection that develops during their period as an examiner.
4. All members of the academic staff who are eligible under this regulation and who have been involved in the assessment of students on a given programme will be appointed to the Board of Examiners for that programme as Internal Examiners.
5. A member (or, if appropriate, members) of the department/division, usually the Examinations Tutor/Liaison Officer, should be designated for each Board of Examiners for which the department/division is responsible to co-ordinate all communications between Internal Examiners and External Examiners for that Board.

#### **Further guidance**

1. In practice, the Internal/Assistant Examiner nomination lists will be submitted to the Faculty Boards in the first term of the session in which the nominated examiners will act. The lists should include the full Internal Board membership, including the Chair and Deputy Chair.
2. Faculties may individually decide how they administer the collection and approval of the nominations from their Departments/Divisions (it is assumed that the nominations can be approved by Faculty Chair's action).
3. Chairs of Boards of Examiners in Combined Studies will recommend names of examiners to the responsible Faculty Board.
4. Internal Examiners (including Assistant Internals) are nominated by the Board of Examiners through the Chair, who has, with the Head of the Department/Division from which the Board of Examiners is administered, final responsibility for all nominations.
5. It is expected that Chairs will consult their colleagues as to appropriate examiners as a matter of course, but in the event of any dispute between the Chair and the other members of the Board, the final decision on nominations should be that of the Chair and the Head of Department/Division.

### **8.4.2 Conditions of Appointment**

1. An Internal Examiner will be appointed annually but there will be no limit to the number of years that an Internal Examiner may serve.
2. An Internal Examiner will be a UCL member of the academic staff or a UCL teacher with appropriate experience and expertise or, where applicable, a

member of the academic staff of a College of the University of London involved in teaching a programme at UCL.

3. If a member of the academic staff of UCL, involved in teaching a programme at UCL, is coincidentally registered as a student on another programme either at UCL or elsewhere, this will not in itself be a disqualification from nomination as an Internal Examiner.
4. Such a member of Staff will not, however, be appointed as an Internal Examiner to a Board which examines any part of the programme on which he or she is registered as a student.

#### **Further guidance**

1. In the case of programmes involving a large number of staff in different Departments/Divisions in the assessment, it may not be desirable to appoint all those who are involved to the Board of Examiners for the programme in question.
2. It is, however, essential that all members of the academic staff involved in assessment leading to decisions affecting progression or the final award are formally appointed as Internal Examiners.
3. Part-time and, where necessary, probationary members of academic teaching staff may be appointed as Internal Examiners.
4. Postgraduate research students may not be Internal Examiners, unless they have been appointed to the academic staff.
5. It may not be necessary for every Internal Examiner to attend every meeting of the Board of Examiners, provided that the requirements for minimum attendance are met.

### **8.4.3 Responsibilities**

1. The primary responsibility of an Internal Examiner is to ensure that the assessment procedures for which they are responsible have been carried out, and the decisions on assessment which they commend to the Board of Examiners arrived at, in a proper and impartial manner.
2. In carrying out this responsibility Internal Examiners will undertake the following duties:
  - i) Prepare, with at least one other Internal Examiner/Assistant Examiner, all examination papers and other forms of assessment in accordance with the instructions prescribed by UCL.
  - ii) Through the appropriate departmental/divisional channels refer the paper(s) (or, where applicable, other forms of assessment) set to the appropriate External Examiner for approval.
  - iii) Mark the scripts or other form of assessment submitted for those examination papers for which they are responsible, and other assessments which count towards the final award and ensure that all these are referred to a second internal marker according to Section 5.1: Marking Policy.

- iv) Through the appropriate departmental/divisional channels, refer to the appropriate External Examiner for decision any script or other form of assessment which counts towards the final award, and for which the two Internal Examiners are unable to agree a mark.
- v) Ensure that any recommendations in the reports of External Examiners relating to their part of the assessment/programme assessed and agreed by the Board of Examiners as requiring action are carried out before the next due assessment required by the programme of study.

#### **Further guidance**

1. Although Assistant Internal Examiners may assist on occasion with setting individual questions at least one Internal Examiner must have overall responsibility for setting examination papers or other forms of assessment.
2. Although overall responsibility for ensuring that marking has taken place lies with the Chair of the Board of Examiners, it is the responsibility of every Internal Examiner to participate in the UCL Marking Policy procedures.
3. It is UCL policy that External Examiners must not act as markers.
4. It is expected that the Internal Examiners should be able resolve any differences and agree a mark.

### **8.4.4 Entitlements**

1. Internal Examiners will have the right to attend and speak, but not to vote, at meetings of the Faculty Board of Examiners at which issues relating to the Board of Examiners to which they are appointed are being discussed.
2. Internal Examiners are not be entitled to attend meetings of UCL Education Committee except by invitation and will be entitled to speak but not to vote at such meetings.

## **8.5 Assistant Internal Examiners**

### **8.5.1 Conditions of Appointment**

1. The Chair of the relevant Board of Examiners may appoint Assistant Internal Examiners.
2. Assistant Internal Examiners will not be members of the Board of Examiners, but may attend meetings of the Board by invitation.
3. Assistant Internal Examiners will be suitably qualified research students or staff registered at UCL and contributing to the teaching of the programme to which they are appointed as Assistant Examiners.
4. A newly appointed Assistant Internal Examiner must receive appropriate training and induction.

5. An Assistant Internal Examiner will be appointed annually but there will be no limit to the number of years that an Assistant Examiner may serve.

#### **Further guidance**

1. Assistant Internal Examiners must be approved and appointed by the Faculty Boards of Examiners in, essentially, the same way as Internal Examiners. Assistant Internal Examiners should therefore be included in the internal Board membership lists sent by Departments/Divisions to the Faculties for approval.
2. Assistant Internal Examiners will typically:
  - a) Be a postgraduate research student not appointed to the academic staff, or a member of staff and not registered on the programme to which they are appointed as Assistant Examiner.
  - b) Contribute to teaching of programme.
  - c) Appointed annually with no limit to tenure.
  - d) May contribute to, but does not set, assessment.
  - e) Attend practical examinations where necessary.
3. It is preferable to appoint from the outset sufficient Assistant Internal Examiners to cover the examining duties required, even if in the event all are not needed, than to delay appointing them until the need for them becomes apparent.
4. No central record of Assistant Internal Examiner appointments is kept by Student and Registry Services. Assistant Internal Examiners who are not formally approved by Faculty procedures may not act.

### **8.5.2 Responsibilities**

- 1 Assistant Internal Examiners may be required to assist Boards of Examiners in one or more of the following:
  - i) Contribute to, but not set summative assessment tasks.
  - ii) Subject to the relevant Faculty policy on marking, an Assistant Internal Examiner may be a first or second marker. Where an Assistant Internal Examiner acts as a first marker the second marker must be a permanent academic member of staff.
  - iii) Attend practical examinations.

### **8.5.3 Students as Assistant Examiners**

1. Students, other than postgraduate research students, will not be appointed as an Assistant Internal Examiner. This includes any member of staff who is also registered as a student on the programme examined.
2. Students in the categories permitted to attend Boards of Examiners must not be involved in assessing a programme on which they are registered, nor attend a meeting of a Board of Examiners assessing that programme.

## 8.6 Protocols for the Release of Unconfirmed Provisional Marks

1. The release of unconfirmed provisional marks to students by Departments/ Divisions is recommended by UCL; however, it is not obligatory.
2. If unconfirmed provisional results are posted on noticeboards, including electronic noticeboards, they must be displayed by candidate number only.
3. It is permitted to email unconfirmed provisional results to students to their UCL email account.
4. It is permitted to provide students with a letter detailing unconfirmed provisional results.

### **Further guidance**

1. It is permitted to provide unconfirmed provisional results to students at any point through the year. Departments/Divisions may wish to provide results to students, for development purposes, after an assessment (such as a mid-term essay or in class test) has been marked.
2. If any of the above methods are adopted to release unconfirmed provisional results, they must be clearly marked as 'unconfirmed and provisional' with wording along the following lines:

*"These results are unconfirmed and provisional and are subject to change by the Board of Examiners and UCL Education Committee".*
3. In addition, Department /Divisions may wish to post the following guidance:

*"For undergraduates, confirmed module marks will be released on Portico in the last week of July and confirmed awards will be published on 1 August."*

*"For postgraduates, confirmed marks and awards will be published on Portico 2-3 weeks after the Board of Examiners has met".*
4. Departments / Divisions must not release unconfirmed provisional results to students (or any other party) over the telephone.
5. It is recommended that the dates for the release of unconfirmed provisional marks are published on departmental/divisional websites and in the relevant handbook.
6. Unconfirmed and provisional results must not be released to students who are being investigated through the Examinations Irregularities procedure.
7. If there is a dispute within the department/division regarding students' result(s) (i.e. a disparity between the result(s) recommended by the internal markers which has yet to be resolved), the unconfirmed provisional result(s) should not be released.
8. If unconfirmed provisional results are not released to students due to an absent External Examiner (see Section 8.9) or due to an emergency (see Section 8.10), students should be advised of the timeline for the release of their results, if possible.

## 8.7 Procedures when Marks are Missing

### 8.7.1 Undergraduate Finalist and Taught Postgraduate Students

1. If the range of marks available for an undergraduate finalist or taught postgraduate student is not complete, the Board should consider whether or not the student has obtained sufficient academic achievement to be awarded a degree.
2. If the Board is satisfied that the student has obtained sufficient academic achievement to be awarded a degree, but not sufficient to determine an undergraduate classification or taught postgraduate level of award, the Board should recommend a provisional pass. The classification/level of award will be determined when all marks have been submitted or when there is sufficient evidence to determine the final classification/level of award beyond reasonable doubt.
3. If it is not possible to determine whether a student has passed enough course units or modules to be awarded a degree, the Board of Examiners should defer making a decision and refer the case to the Faculty Board of Examiners, with information on marks and assessments awarded, together with other relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations.
4. If are marks missing, but it is clear that the classification/level of award is unaffected by the missing marks, the Board should recommend a degree classification/level of award, indicating that there are still marks missing. In the case of an undergraduate degree, for example, this is clear when a student has all marks except one half-course unit and if all the other marks fall in the Upper Second Class Honours band, a the missing mark would have no impact on classification. For a taught postgraduate degree the same example applies when a student has all marks except for 15 credits and if all the other marks fall into an award with Merit the missing mark would have no impact on the level of the award. However, it is imperative that any decision should be wholly consistent with the programme's scheme of award.
5. If the majority of marks are available, but it is not entirely clear what the classification should be, Boards of Examiners should determine whether there is sufficient evidence for the award of a degree, including for undergraduate finalist students the requirement that at least two final year course units have been passed. The Board should then consider possible awards, and when all the marks are available, on the basis of the discussion by the Board, the Chair, in consultation with the External Examiner(s), should determine the final recommendation.
6. If there are sufficient marks to determine that a degree will be awarded but where the marks received do not indicate that a student is clearly in a given class or near a borderline, then the Board of Examiners can indicate only an Honours degree (classification to be determined).

## 8.7.2 Non-Finalist Undergraduate Students

1. Boards of Examiners should consider the range of marks awarded to students together with the rules for progression for the programme and recommend a progression decision for the next year of study. If the full range of marks is not available, the Board of Examiners should determine whether the student has sufficient academic achievement to be allowed to progress.
2. If the number of marks available for a non-finalist student is almost complete, and if the Board is satisfied that the student has sufficient academic achievement to proceed, progression should be recommended.
3. If it is not possible to determine whether a student has passed enough course units to progress to the next year of the degree, the Board of Examiners should defer making a decision and refer the case to the Faculty Board of Examiners, with information on marks and assessments awarded, together with other relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations.
4. Department/divisional Boards of Examiners should determine, wherever possible, whether a student is eligible for consideration for Deferred Assessment (see Section 7: Extenuating Circumstances), and make arrangements for the deferred assessment in order that it be undertaken before the start of the following session.
5. For students on the harmonised scheme of award, Departmental/Divisional Boards of Examiners should determine, wherever possible, whether a student is entitled to Referred Assessment (see Section 2.16), and make arrangements for the referred assessment to take place before the start of the following session.

## 8.8 Procedures when an External Examiner is Unable to Attend

1. If an External Examiner is unable to attend a Board of Examiners meeting to make recommendations for the final award, that Board of Examiners must be able to demonstrate to the satisfaction of UCL Education Committee that adequate consultation has taken place with the External Examiner in question and that the External Examiner has submitted their views to the Chair in writing before the meeting.
2. If no External Examiner is able to attend a Board of Examiners meeting to make recommendations for the final award, that Board of Examiners will not have power to make recommendations for the final award, unless it can be demonstrated to the satisfaction of the Chair of UCL Education Committee, or their nominee, that adequate consultation has taken place with all the External Examiner(s) in question and that the views of all the External Examiner(s) have been submitted in writing to the Chair before the meeting.

### Further guidance

1. All External Examiners, even if, exceptionally, they are unable to be present at the meeting making recommendations for the final award, must be involved in the assessment process and should be available for consultation during the final examination period. If because of illness or accident they are unable to be involved in any part of the assessment process for which they are responsible, arrangements should be made for another External Examiner to be responsible for that part of the assessment process.
2. If no other suitable External Examiner is available, it may be possible to appoint a replacement External Examiner by special permission at a late stage in the academic year.
3. When an External Examiner is prevented by illness or other emergency from attending a meeting which is making recommendations for the final award, and this becomes known at too late a stage to appoint a replacement or to allow sufficient time to consult, the following procedure should be followed:
  - a) If the examiner in question is likely to be available soon enough for the final marks to reach Assessment and Student Records by the published deadline (i.e. one month from the end of term), the meeting of the Board of Examiners should be deferred.
  - b) If the examiner is not likely to be available within this time, the Board of Examiners, if quorate in other respects, may meet to take decisions as far as is possible, even if the examiner concerned is the sole External Examiner on the Board.
  - c) However, these decisions taken in the External Examiner's absence may not be validated until either the External Examiner in question has been consulted or, if this is impossible (e.g. in the event of the serious illness of the examiner concerned), the matter has been referred to UCL Education Committee.

## 8.9 Procedures in the Event of an Emergency Affecting the Work of Boards of Examiners

1. In the event of an emergency affecting the work of Boards of Examiners, it is the responsibility of Chairs of Boards of Examiners to ensure that the academic standards of UCL are maintained and that the system of assessment and award remains robust and rigorous.
2. The Provost reserves the right, at any time, to delegate the power to assess students and confirm their awards to other Officers of UCL, persons deemed suitable by the Provost, should emergency circumstances require it.
3. Throughout a period of emergency, Departments/ Divisions must keep their External Examiners informed and provide regular progress reports.

4. Throughout a period of emergency, Heads of Departments/ Divisions must keep students informed of developments; they should consequently ensure that this additional communication continues up to the award of degree or determination of progression.

## 8.9.1 Procedures to Follow in the Event of an Emergency

1. In general the following key points must be noted:
  - i) The academic judgement of the Board of Examiners remains of the utmost importance;
  - ii) UCL's academic standards must be maintained;
  - iii) UCL will maintain the best interests of its students, but will not compromise its academic robustness;
  - iv) Sufficient evidence of a student's ability must be shown in order to determine the level of award or progression;
  - v) Wherever possible, Boards of Examiners will be expected to meet as normal and undertake business as usual.
  - vi) It is important that External Examiners attend the Boards of Examiners as arranged to ensure that the key points above are maintained and the Boards can undertake their duties. If an External Examiner cannot be present at a Board the procedures set out in Section 8.8 should be followed.
  - vii) If there are no marks available, the Board of Examiners must put in place arrangements to conclude its business over the summer period once the marks become available. If marks are still missing the procedures set out in Section 8.7 should be followed.

## 8.9.2 Information for the Board of Examiners

1. Boards of Examiners should have the following information:
  - i) The recommendations of the Faculty/Departmental Extenuating Circumstances Panel;
  - ii) Results profiles for continuing and finalist students;
  - iii) The scheme of award for the degree;
  - iv) Information on absences from examinations, which will have been input by Assessment and Student Records;
  - v) Examination scripts, according to normal departmental/divisional practices;
  - vi) Other regulatory information, such as rules for referred and deferred assessment, and Special and Aegrotat Provisions;

### 8.9.3 Failure of the Board of Examiners to Meet

1. The procedures set out in Section 8.10.10 below should be followed when a Board of Examiners has failed to meet.

#### **Further guidance**

1. Advice on the procedures to be followed in the event of an emergency affecting the work of Boards of Examiners should be read in conjunction with the scheme of award for the degree in question and additional practices within the department/division and/or Faculty.
2. The arrangements for the assessment of and award of degrees to students as outlined in these Boards of Examiners Regulations and in this Assessment Framework for Taught Programmes should be followed as closely as possible including the preparation for a meeting of the Board of Examiners.

### 8.9.4 Preparing for the Meetings of Boards of Examiners

1. Boards of Examiners should be aware of the outcomes of the Faculty/Departmental Extenuating Circumstances Panel:
  - i) The Faculty/Departmental Extenuating Circumstances Panel is not formally part of the marking and assessment process and therefore should not form part of any action short of a strike. This meeting should therefore take place.
  - ii) The recommendations of the Faculty/Departmental Extenuating Circumstances Panel should be communicated to Boards of Examiners in the usual way.

### 8.9.5 External Examiners

1. When it comes to External Examiners, the following must be considered:
  - i) Departments/ Divisions are asked to keep their External Examiners informed and give them regular progress reports.
  - ii) External Examiners have been sent the Procedures in the Event of an Emergency Affecting the Work of Boards of Examiners, together with a covering letter from the Chair of the UCL Education Committee, or their nominee.
  - iii) It is expected that the meetings of the Boards of Examiners will take place as arranged, and the attendance of the External Examiners at these meetings is key, even if there are a number of missing marks. Please also refer to Sections 8.9.8 to 8.9.9 below for additional information.

#### **From the Procedures:**

1. The following key points must be noted:

- a) The academic judgment of the Board of Examiners remains of the utmost importance;
  - b) UCL's academic standards must be maintained;
  - c) Wherever possible, the Regulations for Boards of Examiners For Taught Courses must be followed except in extreme situations;
  - d) UCL will maintain the best interests of its students, but will not compromise its academic robustness;
  - e) Sufficient evidence of a student's ability must be shown in order to determine the level of award or progression.
2. Wherever possible, Boards of Examiners will be expected to meet as normal and undertake business as usual. Boards of Examiners have the responsibility to ensure that marks for each student assessed are correctly reported by the due date to Assessment and Student Records in Student and Registry Services and, in good time, to any other Board of Examiners requiring marks from the Board for the assessment of its students. Boards of Examiners also recommend to the relevant Faculty Board of Examiners awards to students, including, where appropriate, recommendations for the award of honours, taking into account any circumstances which may affect the performance of a candidate and which have been properly reported, according to UCL regulations.
  3. With regard to (c) of the Procedures as set out above, it is not expected that postponement will occur. However, in exceptional circumstances, and in consultation with the External Examiners and the Faculty, the date could be adjusted but the meeting must have occurred prior to the marks deadline set.
  4. It is important that External Examiners attend the Boards of Examiners as arranged to ensure that the key points above are maintained and the Boards can undertake their duties. The External Examiners' role is to assure the standards of our degree programmes and the performance of the students registered on them.
  5. Without the attendance of an External Examiner, the Board of Examiners is not valid and cannot proceed with its business and must therefore refer this to the Faculty Board of Examiners, unless the External Examiner has been unable to attend for reasons, as set out in the Regulations for Taught Programme Boards of Examiners., but has still had the opportunity to input into the marking process and the determination of the award of degrees. This is not a departure from normal practices.
  6. If there are no marks available, the Board of Examiners must discuss arrangements made to conclude its business over the summer period once the marks become available. For further information, see Section 8.9.10 below.

### 8.9.6 Quoracy

1. In certain circumstances the rules of quoracy can be flexible.
  - i) It is for the Chair of the Board and the External Examiner(s) to determine whether the attendance at the Board is sufficient in terms of experience in

the examination process in order to proceed. These emergency procedures mean that normal rules of quoracy do not have to be strictly followed as long as this assurance is given.

- ii) The normal rules specify that the minimum number of examiners considering final year students is either five members, or one fifth of the membership, including (in either case) the Chair (or, in the absence of the Chair, the Deputy Chair) whichever would be the higher number, and where the number of finalists is up to three, the minimum number is three.

## 8.9.7 Records

1. A record of each meeting should be made as usual, giving the detail of the Board, the date of the meeting, members present and the business conducted. Absence notified prior to the meeting should be noted as normal and as per the regulations in the Regulations for Taught Programme Boards of Examiners. Where a Board is not able to proceed to conduct its business, due to absence of members or other reasons, this should be recorded.

## 8.9.8 Classifying the Students

### **Finalist Students**

#### **From the Procedures:**

- i) Boards of Examiners should consider the range of marks awarded to students together with the scheme of award for the degree and recommend award of honours.
- ii) Where the full range of marks is available for a given finalist student, the Board of Examiners should consider the results and make a decision on whether or not the student qualifies for an award. Where the student qualifies for an award the Board should determine the classification of degree to be recommended.
- iii) Where the range of marks available for a given finalist student is not complete, the Board should consider whether or not the student has obtained sufficient academic achievement to be awarded a degree.
- iv) Where the Board is satisfied that the student has obtained sufficient academic achievement to be awarded a degree, but not sufficient to determine a classification, the Board should recommend a provisional pass with honours. The classification will be determined when all marks have been submitted or sufficient to determine the final classification beyond reasonable doubt.
- v) Where it is not possible to determine whether a student has passed enough units to be awarded a degree, the Board of Examiners should defer making a decision and refer the case to the Faculty Board of Examiners, with information on marks and assessments awarded, together

with other relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations.

1. There are four main options available to Boards in considering the performance of their finalist students:
  - i) Classification as normal, where all the marks are available;
  - ii) A provisional pass with honours, which will be recorded as Honours degree (classification to be determined), where the Board is satisfied that the student has obtained sufficient academic achievement but is unable to determine the classification;
  - iii) Non-classification, where it is not possible to determine whether a student has passed the minimum to be awarded an Honours degree, and thus where no judgement can be made;
  - iv) Where it is clear that a given case falls within the Aegrotat and/or Special Provisions, the Departmental/ Divisional Board of Examiners should consider the case and make a recommendation to UCL Education Committee's Special and Aegrotat Provisions Panel.
2. Where there are marks missing, but it is clear the classification is unaffected by the missing marks, the classification of the degree should be recommended, indicating that there are still marks missing. This is clear where a student has all marks but for a half unit, where all the other marks fall in the Upper Second Class Honours band, and the missing mark will have no impact on this. However, it is imperative that any decision should be wholly consonant with the scheme of award.
3. Where the majority of marks are available, but it is not entirely clear what the classification should be, Boards of Examiners should determine whether there is sufficient for the award of degree, including the requirement that at least two final year course units have been passed, and then consider possible awards, delegating it to Chair's Action, on the basis of the discussion in the Board of Examiner, to determine the final recommendation when all the marks are available. For example, where a student is on the borderline of a Lower or Upper Second Class Honours, but has a critical mark missing, the Board should discuss the case, and delegate the Chair to take Chair's Action, along the lines of, for example, if the missing mark is 60 or over, the student should be awarded an Upper Second Class Honours degree, but if the mark is 59 or under, the award should be at Lower Second Class Honours.
4. Where there are sufficient marks to determine that a degree will be awarded but where the marks received do not indicate that a student is clearly in a given class or near a borderline, then the Board of Examiners can indicate only an Honours degree (classification to be determined).
5. Where there are insufficient marks, then a Board of Examiners will not be able to indicate an award. This is clear, for example, where there are only marks to the value of 8 course units, when, for example, the minimum passed for an honours degree is 9 course units.

## Oral Examinations

6. Oral examinations should be undertaken in the best interests of the students; that the arrangements should replicate as close as possible normal practice; and that no student should be disadvantaged. Boards of Examiners/Departments that hold oral examinations are asked to consider their own individual situations and then liaise with either the Chair of UCL Education Committee or their nominee.

### 8.9.9 Non-finalist students

#### From the Procedures:

- i) Boards of Examiners should consider the range of marks awarded to students together with the rules for progression for the degree and recommend progression to the next year of study. If the full range of marks is not available, the Board of Examiners should determine whether the student has sufficient academic achievement to be allowed to proceed.
  - ii) If the number of marks available for a given non-finalist student is almost complete, and it is satisfied that the student has sufficient academic achievement to proceed, the Board should recommend progression.
  - iii) Where it is not possible to determine whether a student has passed enough units to proceed to the next year of the degree, the Board of Examiners should defer making a decision and refer the case to the Faculty Board of Examiners, with information on marks and assessments awarded, together with other relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations.
1. There are a number of options available to Boards in considering the performance of their continuing students:
    - i) Decisions on progression can be made as normal, where all the marks are available;
    - ii) Decisions on progression can be made, where the range of marks available makes it clear whether the student has met the progression rules for the degree or has clearly fallen foul of them;
    - iii) No decision can be made because of the number of course unit marks missing.
  2. Department/ Divisional Boards of Examiners should determine, wherever possible, whether a student is eligible for consideration for deferred assessment, and make arrangements for the deferred assessment in order that it be taken before the start of the following session.
  3. For students on the harmonised scheme of award, Departmental/ Divisional Boards of Examiners should determine, wherever possible, whether a student is entitled to referred assessment, and make arrangements for the referred assessment in order that it be taken before the start of the following session.

## 8.9.10 Failure of a Board of Examiners to Meet

1. Where a Board of Examiners has not been able to meet or has failed to meet the rules about being quorate as set out in the Regulations for Taught Programme Boards of Examiners, the Faculty Board of Examiners should meet to consider finalist and non-finalist students in the jurisdiction of the Board.

### **From the Procedures:**

- i) The Faculty Board of Examiners should ensure that it has sufficient expertise present at a meeting to consider finalist and non-finalist students, including attendance of External Examiners, and meets the requirements for being quorate as set out in the Regulations for Taught Programme Boards of Examiners.
- ii) The Faculty Board of Examiners should consider the range of marks awarded to students together with the scheme of award for the degree and recommend award of honours. If the full range of marks is not available, the Faculty Board should determine whether the student has sufficient academic achievement to be awarded a degree.
- iii) If the number of marks available for a given finalist student is almost complete, the Board should continue to determine the level of the award, ensuring that it is satisfied that, in its academic judgement, the classification is correct and beyond reasonable doubt. If it is satisfied that the student has sufficient academic achievement to be awarded a degree but not in order to determine a classification, the Board should recommend a provisional pass with honours. The classification will be determined when all marks have been submitted or sufficient to determine the final classification beyond reasonable doubt.
- iv) Where it is not possible to determine whether a student has passed enough units to be awarded a degree, the Faculty Board of Examiners should refer the case to the UCL Aegrotat and Special Provisions Panel, with information on marks and assessments awarded, together with other relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations.
- v) Faculty Boards of Examiners should consider the range of marks awarded to students together with the rules for progression for the degree and recommend progression to the next year of study. If the full set of marks is not available, the Faculty Board of Examiners should determine whether the student has sufficient academic achievement to be allowed to proceed.
- vi) If the number of marks available for a given non-finalist student is almost complete, and it is satisfied that the student has sufficient academic achievement to proceed, the Board should approve progression.
- vii) Where it is not possible to determine whether a student has passed enough units to proceed to the next year of the degree, the Faculty Board of Examiners should refer the case to UCL Education Committee, with information on marks and assessments awarded, together with other

relevant information, such as Extenuating Circumstances and confirmation of attendance at examinations, who will be required to make a decision about progression before the start of the next session.

2. Where a Departmental/ Divisional Board of Examiners has not been able to fulfil its responsibilities, and a Faculty Board of Examiners is called upon to determine the award of degrees for students in that Department/ Division, it should ensure that it has the following in order to undertake the work:
  - i) The scheme of award for the degree;
  - ii) The presence of External Examiners for that degree;
  - iii) The recommendations of the Faculty Extenuating Circumstances Panel;
  - iv) The results profiles for continuing and finalist students;
  - v) Information on absences from examinations, which will have been input by Assessment and Student Records;
  - vi) Examination scripts, according to normal practices;
  - vii) Other regulatory information, such as rules for referred and deferred assessment, and Special and Aegrotat Provisions.
3. Where Faculty Boards of Examiners act in this capacity, they must make judgements on marks available for students consistent with the advice set out in Section 8.10.
4. Faculty Boards of Examiners must not undertake the work of the Departmental/ Divisional Board of Examiners where it is clear that they do not have the expertise in the examination process to do so. It is for the Chair of the Board and the External Examiner(s) to determine whether the attendance at the Board is sufficient and appropriate in order to proceed. These emergency procedures mean that normal rules of quoracy do not have to be strictly followed as long as this assurance is given.
5. Faculty Boards of Examiners should also ensure that Departmental/ Divisional Boards of Examiners have communicated with their External Examiners, where the Departmental/ Divisional Board of Examiners meeting cannot take place.

### 8.9.11 Completion of Business Once Marks Are Released

1. Departmental/ Divisional Boards of Examiners should agree with External Examiners the strategy for completing the work of the Boards of Examiners once the full range of marks is known. This could be undertaken in a number of ways including:
  - i) Arranging a second Board of Examiners meeting, or a first meeting where the original Board of Examiners meeting did not take place;
  - ii) Making arrangements with External Examiners to communicate with them via electronic means for the ratification of results;
  - iii) Discussing cases by telephone or conference call.

2. Chairs of Boards and External Examiners should ensure that the arrangements made do not compromise academic standards and that they ensure fairness and equity of treatment of students.
3. Chairs of Boards should ascertain the availability of External Examiners over the summer. They should also ensure, in conjunction with the Head of Department/ Division, as appropriate, that there is someone available to deputise for them in the event of their absence when the marking has been completed.

## 8.9.12 Communication

### Communication with UCL

1. Communication within UCL is the managerial responsibility of the Head of Department/ Division, who must inform the Faculty if it is likely that the Board of Examiners will consist of the External Examiners and the Faculty observer only, so that alternative arrangements can be made.
  - i) The Chair of the Faculty Board of Examiners is expected to inform Assessment and Student Records when it is known that a Board of Examiners is not likely to meet and provide information on alternative arrangements.

#### From the procedures

- ii) UCL Education Committee will consider all recommendations for the award of degrees, noting whether the set of marks for a given student is complete or not, and ratify the recommendations made by the Departmental/Faculty Boards of Examiners and/or its Sub-Committee, considering awards under the Aegrotat and Special Provisions.
  - iii) The Chairs of the Faculty Boards of Examiners are expected to make regular reports to UCL Education Committee on progress and difficulties through the Director of Student Administration.
2. Heads of Departments/ Divisions have been instructed to keep students informed of developments; they should consequently ensure that this additional communication continues up to the award of degree or determination of progression.
3. Students are being kept up-to-date about the action in general terms through web communications on the UCL Exams and Awards website. Students are also being informed about the Emergency Procedures.

### Communication with students

4. At the point when students are informed of the provisional outcomes of the Boards of Examiners, Heads of Departments/ Divisions, tutors and departmental/ divisional administrative staff should ensure that the results are explained in the context of the different outcomes outlined in the Emergency

Procedures: i.e. a classified degree; Honours degree (classification to be determined); or still to be determined.

5. Heads of Departments/ Divisions are expected to ensure that External Examiners have been kept informed of the developments within a programme of study and about the arrangements for the Faculty/Departmental Extenuating Circumstances Panel and the subsequent Board of Examiners.
6. The Chair of the Board of Examiners has written to the External Examiners informing them of the Emergency Procedures.

**Further advice**

7. If you require any clarification about this advice or the Emergency Procedures, please contact Assessment and Student Records in the first instance.

## 8.10 Faculty Boards of Examiners

### 8.10.1 Structure and Membership

1. The members of each Faculty Board of Examiners for undergraduate programmes will be the Chairs of Boards of Examiners in the Faculty responsible for assessing undergraduate programmes and the Faculty Tutor/Sub-Dean of the Faculty or their nominee.
2. The members of each Faculty Board of Examiners for taught postgraduate programmes will be the Chairs of Boards of Examiners in the Faculty responsible for assessing taught postgraduate programmes and the Faculty Tutor/Sub-Dean of the Faculty or their nominee.
3. Each Faculty Board of Examiners will have a Chair and a Deputy Chair. The same person, the Dean, will be the Chair of both the undergraduate and taught postgraduate Faculty Boards of Examiners.
4. Internal and External Examiners appointed to Boards of Examiners at UCL will have the right to attend meetings of the relevant Faculty Board of Examiners and the right to speak but not to vote at such meetings, but may be requested by the Chair of the Faculty Board of Examiners to withdraw temporarily if their nominations as examiners are the subject of discussion.
5. The quorum of a Faculty Board of Examiners will be one-fifth of the membership including the Chair or Deputy Chair.

**Further guidance**

1. It is expected that the Chair of the two Faculty Boards of Examiners will be the Dean of the Faculty but it is recognised that there may be circumstances in which this is not possible or desirable.
2. If it is decided that the undergraduate and taught postgraduate Faculty Board of Examiners should each have a different Chair, it is suggested that the Chair of

each should be the Deputy Chair of the other, in order to maintain links between the two Boards.

3. If the nature of the Faculty requires it, it is acceptable for both Faculty Boards of Examiners, undergraduate and taught postgraduate, to meet at the same time under one Chair.

## 8.10.2 Responsibilities

1. The primary responsibility of each Faculty Board of Examiners, whether at undergraduate or taught postgraduate level, will be to ensure that assessment procedures within the Faculty are administered in accordance with UCL programme regulations and in a proper and impartial manner.
2. In carrying out this responsibility Faculty Boards of Examiners will meet at least once a year.
3. The Faculty Board of Examiners is responsible for ensuring that Boards of Examiners are set up for every programme within the Faculty leading to an award and that Boards of Examiners are set up for any other programme for which the Faculty Board of Examiners deems this necessary and to make appropriate arrangements for the examination of programmes shared with other Faculties.
4. The Faculty Board of Examiners recommends to UCL Education Committee the External Examiners for each Board of Examiners for which the Faculty Board of Examiners is responsible. This task can be carried out by Chair's Action administered by the department/division nominating the External Examiner.
5. The Faculty Board of Examiners approves marking schemes, including in the case of the undergraduate Board Schemes for the Award of Honours, for each Board of Examiners for which the Faculty Board of Examiners is responsible.
6. The Faculty Board of Examiners receives the Minutes of the meeting at which recommendations for the final award are made from each Board of Examiners for which the Faculty Board of Examiners is responsible.
7. The Faculty Board of Examiners recommends for approval to UCL Education Committee awards, including, where appropriate, the award of Honours (UG) and Merit and Distinction (PGT).
8. The Faculty Board of Examiners approves, in the case of the Faculty Boards of Examiners responsible for undergraduate programmes, applications for postponement of the award of Honours.
9. The Faculty Board of Examiners receives and considers the responses of Chairs of Boards of Examiners to External Examiner reports.
10. The Faculty Board of Examiners receives reports from the Boards of Examiners of any problems related to the operation of the procedures of Boards of Examiners and of any action taken by Boards in respect of such problems. This does not preclude the consideration of these issues at other relevant Faculty bodies (e.g. Faculty Teaching Committee, Faculty Board).

11. The Faculty Board of Examiners considers any general issues which arise from the above.
12. The Faculty Board of Examiners provides a summary for UCL Education Committee and the Faculty of the responses made to External Examiner reports for the Boards for which it is responsible.
13. The Faculty Board of Examiners reports annually (via its Minutes) on its business to UCL Education Committee and the Faculty and passes on to UCL Education Committee any matters which are not Faculty-specific or which give cause for serious concern.

### **Further guidance**

1. Each Faculty Board of Examiners should meet in the first term. By this time most of the reports from External Examiners for undergraduate programmes for the previous year should have been received and considered by the Boards of Examiners and could therefore be considered by the Faculty Board of Examiners together with any responses.
2. Faculties may approve, in certain cases, the establishment of 'umbrella' Board of Examiner meetings where a number of contributing Boards of Examiners are involved. Under these arrangements an internal Panel of examiners representing each main subject area meets to consider final results based on marks arrived at by single subject Boards of Examiners and the Panel's recommendations are then considered by the 'umbrella' Board at a final meeting.
3. It is advisable for both undergraduate and taught postgraduate Faculty Boards of Examiners to meet at least one more time during the academic year, to consider reports, particularly reports from examiners for Taught Masters programmes, received later in the year and to consider in advance any possible difficulties which may arise in the current academic year's round of examinations.
4. It is the responsibility of each Faculty Board of Examiners to ensure that all Boards of Examiners reporting to it, existing and instituted in future, meet UCL regulations and are appropriate bodies to examine the programmes or programme areas for which they are responsible.
5. For inter-Faculty boards, the (Faculty) Board of Examiners of the Faculty of the home department/division has responsibility for that programme. The (Faculty) Boards of Examiners of Faculties of other Departments/Divisions involved in the programme can nominate a representative, if they so wish, to the Board of Examiners of the programme.
6. It will be sufficient for the Chair of the Faculty Board to receive the Minutes and report that they have been received to the Board. The full Faculty Board of Examiners, however, has the right to view, where it deems such action appropriate, any set of Minutes from the Boards of Examiners for which it is responsible.
7. Approval of recommendations for awards, including the award of Honours, will be undertaken through Chair's action on behalf of the Faculty Board of

Examiners. Faculty Board of Examiners may, however, if it deems such action appropriate, convene a meeting of the full Board to consider recommendations for awards.

8. The Chair of each Faculty Board will produce and send a summary to Assessment and Student Records who will forward it to UCL Education Committee.
9. In most instances External Examiner reports which have implications for UCL as a whole are copied by Student and Registry Services directly to the Chair of UCL Education Committee, or their nominee, together with any response by the Chair of the Board of Examiners involved. It is expected that Faculty Boards of Examiners will have been informed, via the Faculty Chair, where this is the case and will report to UCL Education Committee any discussions held or recommendations made in respect of the reports in question.

## 8.11 Special Cases Panels

1. The purpose of a Special Cases Panel (SCP) is to consider academic assessment decisions on a case-by-case basis only when the following circumstances occur:
  - i) When a UCL Student Complaints Panel or the OIA has upheld a student's complaint but the decision of the Board of Examiners has remained unchanged; or
  - ii) When there is an unresolved dispute between a Board of Examiners and Faculty Board of Examiners or between a Faculty Board of Examiners and the Education Committee regarding an academic assessment decision.
2. The decision recommended by a Special Case Panel to Education Committee will be considered by Chair's Action and the outcome will be recorded formally as UCL's academic assessment decision. Any affected student records will be changed with the authority of UCL.
3. The panel membership will be the Chair of Education Committee together with three Chairs of the Faculty Boards of Examiners, or their nominees, together with the Director of Student Administration or nominee in attendance. Where there are different Faculty Chairs for undergraduate and taught postgraduate boards the Chair of the undergraduate board (or nominee) should consider undergraduate cases and the Chair of the taught postgraduate board (or nominee) postgraduate cases. The representative of the Faculty involved in either circumstance noted above may attend a Special Case Panel to provide information but will not be a member of the SCP and cannot vote.
4. Special Case Panels can meet formally or be convened virtually.
5. The decision of a Special Case Panel will be by majority vote and, in the case of a tie, the Chair of Education Committee will have the casting vote.

6. A note of a Special Case Panel's deliberations and recommendation to Education Committee is the responsibility of the Director of Student Administration or nominee.
7. The decision of the Chair of Education Committee will be enacted by the Director of Student Administration.

## 8.12 Virtual Boards of Examiners

1. A Virtual Board of Examiners is an interim or final board meeting where External Examiners are required to be in attendance which is held simultaneously by electronic means.
2. Faculty permission to run a Virtual Board of Examiners is required and the Chair of UCL Education Committee, or their nominee, should be informed before the meeting is organised.

### **Further Guidance**

1. The expectation is that members of Boards of Examiners will attend in person. A Virtual Board of Examiners should only be held when a face to face meeting is not possible.
2. Board members should meet in a single room on a main or overseas UCL campus. As a minimum the Chair, Deputy Chair and secretary should be in the same room.
3. The electronic means for attendance should be either by technology such as skype or videoconferencing which enable a visual connection or, under exceptional circumstances, audio only.
4. The conference platform should be tried and tested in advance. All Board members accessing as individuals should be familiar and competent with the conferencing tool. Access through other institutional sites (NHS sites in particular) can be problematic.
5. In virtual conferencing some of the usual cues for face to face meetings are missing and so an 'etiquette guide' should be shared and practised before the Board of Examiners meeting.
6. All documents should be available to Board members in a format that suits the discipline and is acceptable to them. Virtual Boards of Examiners give the opportunity for sharing of electronic documents to the whole Board in real time.
7. All participants/members attending remotely should be contacted and connected prior to the allotted start time of the meeting (not when all local staff have gathered).
8. Board members should meet remotely by circulation and correspondence only for exceptional out-of-cycle matters that may require a formal board approval prior to or after the main interim or final board.

9. It is considered good practice for the External Examiners to be given the opportunity to meet face to face with students and staff. This can be organised throughout the year for example at poster / oral presentations or other similar events.

# 9 Examination Irregularities and Plagiarism

1. This procedure applies to all students and former students of UCL who have been assessed under regulations for UCL programmes. Allegations of a breach of the examination regulations involving students and former students of UCL who have been assessed under regulations for federal programmes will normally be referred to the University of London. Suspicions of a breach of the examination regulations involving staff of UCL will be referred to the Director of Human Resources.
2. Students may seek advice from the [UCL Union Rights and Advice Office](#).

## 9.1 Jurisdiction

1. This procedure sets out the arrangements for investigating any conduct which is considered to breach UCL's examination regulations and which is likely to give an unfair advantage to the candidate and/or affect the security of examinations, whether written, oral, practical or coursework.
2. Any matter raised in the course of an enquiry into a breach of the examination regulations which is considered by Student and Registry Services<sup>4</sup>, the Examinations Irregularities Panel or Departmental/Divisional Panel to fall within the jurisdiction of the Vice-Provost (Education and Student Affairs), shall be referred to the Vice-Provost (Education and Student Affairs) after the investigation into the allegation (including any hearing by the Examinations Irregularities Panel).

## 9.2 Categories of Breaches of the Examination Regulations

1. For the purpose of this procedure, a breach of the examination regulations will include, but will not necessarily be restricted to:
  - i) The introduction into the examination room of any materials other than those permitted for that examination;
  - ii) The unauthorised removal of an examination script, any part of an examination script or blank examination stationery from the examination room except by a person with designated authority to do so;
  - iii) Any attempt to confer with or gain access to the script of any other candidate during the period of the examination; or to collaborate in or gain

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<sup>4</sup> Wherever in this document a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

- access to the assessed coursework of any other candidate, unless authorisation to do so has been given;
- iv) Any attempt to tamper with examination scripts or coursework after they have been relinquished by candidates;
  - v) Any unauthorised study and/or unsupervised absence of a candidate from the examination room during the period of an examination<sup>5</sup>;
  - vi) Impersonation or attempted impersonation of a candidate;
  - vii) Other conducts likely to give an unfair advantage to the candidate.
2. **Plagiarism**, which is defined as the presentation of another person's thoughts or words or artefacts or software as though they were a student's own, and can include self-plagiarism (see also Section 8: Boards of Examiners).
  3. **Collusion**, which is defined as collaboration by two or more candidates in the production of assessed coursework unless appropriate authorisation from the Course/Module Organiser (s) to do so has been given;
  4. **Falsification**, which is defined for the purpose of this procedure as the fraudulent alteration or misrepresentation of data and/or other information.
  5. Arrangements for dealing with allegations of a breach of the examination regulations listed under paragraph 9.2.1 are set out at Section 9.5 of these procedures.
  6. Arrangements for dealing with allegations of breaches of the examination regulations involving the categories listed at paragraphs 9.2.2 to 9.2.4 above are set out at Section 9.3 of these procedures.
  7. For ease of reference Annex 4.6.1 Flow Chart of Departmental Actions in Plagiarism / Collusion / Falsification Procedure sets out the steps involved in considering an allegation made under these procedures.

## 9.3 Initiation of Proceedings in Respect of Plagiarism and/or Collusion and/or Falsification

### 9.3.1 Minor Cases

1. The following instances of plagiarism and/or collusion<sup>6</sup> (but not including use of a fellow student's work without that student's knowledge and consent) and/or

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<sup>5</sup> Normally candidates will not be allowed back into the examination room after leaving it without permission and/or without supervision. Should they have been found to have re-entered after such an absence they will be in breach of the regulations.

<sup>6</sup> Where collusion between two or more students is established, all students concerned will be penalised.

falsification will normally be deemed to be of a minor nature and will be dealt with by the Course/Module Organiser:

- i) A first offence in the first-year of a programme of two or more years' duration (or the first term of a programme of one year's or less duration) in which no more than one third (approximately) of the work can be demonstrated to have been plagiarised.
2. In such cases the Course/Module Organiser will, at his/her discretion, impose a penalty<sup>7</sup> and report the matter to the Departmental/Divisional Tutor<sup>8</sup> for noting on the student's file, but no further action or report will be made. Such records, will, however, be taken into account in the event of any subsequent allegations of a breach of the examination regulations being made against the student(s) concerned (see paragraph 9.3.3i below).
3. The student has the right of appeal against a decision of the Course/Module Organiser (see paragraph 9.4.3 below).

### 9.3.2 Major Cases

1. Any case of a breach of the examination regulations not covered by paragraph 9.3.1.i above shall be reported as soon as it is detected by the Course/Module Organiser to the Chair of the Board of Examiners<sup>9</sup>. Any such referral must include the following:
  - a) A completed Report of a Breach of the Examination Regulations [hereafter referred to as the 'Report'] (see Annex 4.6.2).
  - b) A copy of the coursework involved.
  - c) A copy of the text(s) or part of the text(s) believed to have been plagiarised from with, if possible, the relevant passages highlighted.
2. The Course/Module Organiser shall at the same time inform the student concerned that the matter is being reported to the Chair(s) of the Board(s) of Examiners.

### 9.3.3 Decision on Referral to the Departmental/Divisional Panel or the Registrar, Student and Registry Services

1. In considering each referral, the Chair of the Board of Examiners must decide whether the allegation(s) concern(s) prima facie evidence of:
  - a) A second or repeat offences occurring at separate examination periods or;

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<sup>7</sup> The penalties open to the Course/Module Organiser are restricted to one or more of the following: an informal reprimand, a reduced or zero mark or a requirement for the student(s) to resubmit the assessment in question.

<sup>8</sup> For taught graduate students the Departmental Graduate Tutor fulfills the Departmental Tutor's role.

<sup>9</sup> Wherever in this document a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

- b) An attempt to gain access to or use of the assessed coursework of another candidate without that candidate's knowledge or;
- c) If proven, may result in the suspension or termination of a student's registration.

In such instances, the Chair of the Board of Examiners will automatically refer the matter to the Registrar, Student and Registry Services, for subsequent consideration by UCL's Examination Irregularities Panel (see Section 9.5 of these procedures).

2. For other instances of a breach of the examination regulations (as defined in paragraphs 9.2.2 to 9.2.4) and normally comprising no more than a single allegation involving an assessment totalling no more than one course unit) where the Chair of the Board of Examiners deems on the evidence presented to him/her that prima facie evidence of a breach of the examination regulations has been provided, he/she shall arrange for the establishment of a Departmental/Divisional Panel to consider the case in accordance with the following procedure.

### 9.3.4 Establishment and Proceedings of a Departmental / Divisional Panel (DP)

1. The Chair of the Board of Examiners shall forward to the student(s) against whom the allegation is made a copy of Part I of the completed Report along with a copy of these regulations and copies of all documentary evidence relating to the allegation (as listed in the Report), normally within ten working days of receipt of the report from the Course/ Module Organiser.
2. The Report shall be accompanied by a letter inviting the student(s) to respond in writing to the allegation(s). At the same time, the student(s) will be invited to attend the DP and may choose to be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL. That person cannot be a member of the Departmental/Divisional Panel.
3. The sole purpose of the DP will be to investigate the grounds on which the allegation has been made and to determine, where appropriate, the penalty to be imposed.
4. The DP will normally comprise the Chair of the Board of Examiners (acting as Chair) and at least two other members of staff from the department/division not directly involved in the teaching of the course/module(s) in question. It is recommended that, where practicable, the Faculty Tutor should also be invited to attend in the capacity of an observer. A Secretary will be appointed normally from the department/division concerned. A formal written record of the DP shall be made (see part III of Annex 4.6.2 Report of a Breach of the Examination Regulations Form).
5. The quorum for the DP shall be three including the Chair. In those instances where the course/module concerned involves a department/division other than the student's home department/division, the Chair of the DP will inform the Chair of the Board of Examiners of the student's 'home' department/division that a DP

will be held and invite him/her to be a member of the Panel. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:

- a) A formal written record of the DP shall be made (see part III of Annex 4.6.2 Report of a Breach of the Examination Regulations Form) detailing the seriousness of the offence;
  - b) At the conclusion of the DP hearing the Panel shall determine in private whether a breach of the examination regulations has occurred and shall consider what action to take in respect of the student or students involved.
6. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
- a) The student's year of study and any particular circumstances;
  - b) The seriousness of the offence;
  - c) The relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;
  - d) The effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment would have (e.g. whether it is a compulsory assessment, or could be discounted when the award of the qualification is made);
  - e) The effect in regard to the student's academic progression/Scheme of Award that a simple failure of the assessment in question would have on a student in normal circumstances<sup>10</sup>;
  - f) The arrangements for resitting/retaking the assessment in question.

## 9.4 Departmental / Divisional Panels (DP)

### 9.4.1 Penalties Open to a Departmental/ Divisional Panel

1. The Departmental/Divisional Panel may decide on one or more of the following actions in respect of instances of a breach of the examination regulations:
  - i) That no breach of the examination regulations has been committed and no further action be taken (save as set out at paragraph 9.4.1.iii below);
  - ii) That no further action be taken;

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<sup>10</sup> This information should already be provided at Part II of the Report and is confidential to the Departmental/divisional Panel only. It is expected that any penalty imposed on a student found guilty of a breach of the examination regulations under this procedure should have a greater effect in regard to the student's academic progression/Scheme of Award than if the student had simply failed the course(s)/module(s) in question.

- iii) That the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations (Such an informal reprimand will be given by the student's Faculty Tutor but will not be entered on the student's record);
- iv) That the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations. The Faculty Tutor shall inform the Registrar, Student and Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned (Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record, as shall all other actions taken except paragraphs 9.4.1.i, ii and iii above);
- v) That a reduced mark be given for the performance of the student in the assessment in question;
- vi) In such cases the student may, at the discretion of the Panel, be required to re-enter the assessment, or, if the assessment in question contains more than one element, all prescribed elements of the assessment(s);"
- vii) That the maximum mark that the student be awarded on re-entering the assessment in question be no more than the minimum pass mark for that assessment [N.B. the decision of a Departmental Panel that a breach of the examination regulations has occurred need not preclude the student in question from submitting subsequent coursework for assessment for the same course, where applicable];
- viii) That in the light of the evidence presented at the DP no decision be made and the matter be referred to the Registrar, Student and Registry Services, (see paragraphs 9.3.3.i and 9.5).

## 9.4.2 Findings of a Departmental/ Divisional Panel

1. Findings and the decision of the Panel shall be set out at Part IV of the Report and forwarded to the student, together with these regulations, indicating the mechanisms for appeal.
2. The findings and decision shall not be published other than to the student until after the end of the period within which an appeal may be lodged (see paragraph 9.4.3), following which the matter will be formally reported to the next full meeting of the Board of Examiners of the student's home department/division. A complete copy of the Report (i.e. Parts I–IV) shall also be forwarded to the Registrar, Student and Registry Services, and the relevant Faculty Tutor. The accompanying documentary evidence need not be submitted at this time.
3. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

### 9.4.3 Notice of Intention to Appeal

1. If the student does not accept the decision of the Course/Module Organiser or Departmental/Divisional Panel, he/she may request that the matter be referred to UCL's Examination Irregularities Panel for review in accordance with the procedure as set out at paragraph 9.5.2. The deadline for receipt of such a request will be ten working days from the date of formal notification of the Course/Module Organiser's or Departmental/Divisional Panel's decision. In such cases referral to the Examinations Irregularities Panel shall be considered as an appeal and the decision of the Examination Irregularities Panel shall be final. Further recourse to the Appeal procedure as outlined at paragraph 9.5.5 will not normally be permitted.

## 9.5 Examination Irregularities Panel

### 9.5.1 Proceedings of the Examination Irregularities Panel

1. All allegations of a breach of the examinations regulations categorised under paragraphs 9.2.1 or 9.3.3.i shall be reported in the first instance to the Registrar, Student and Registry Services (normally either by the Chair of the Board of Examiners or the Examination Supervisor as appropriate) as soon as possible after the matter has been detected.
2. Documentation to be provided to the Registrar, Student and Registry Services should include:
  - i) The examination script(s) or other work implicated in the suspicion of examination irregularity, and the question paper in the case of written examinations<sup>11</sup>;
  - ii) Where applicable, the report(s) of the supervisor(s) of the written examination(s) concerned;
  - iii) Any notes, or other items which may have conferred an unfair advantage, found in the possession of a student while in or around the examination room;

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<sup>11</sup> Copies of the relevant documents may be passed to the Chair of the Board of Examiners concerned. Where the examination script is implicated in the suspicion of examination irregularity, the Chair of the Board of Examiners will be invited to award a mark for the script prior to the meeting of the Examination Irregularities Panel.

- iv) Any record of any interview held with the student(s) concerned by the Head or other member(s) of the department/division involved<sup>12</sup>.
3. Where the Registrar, Student and Registry Services, deems on the evidence presented to him/her that the allegation of a breach of the examination regulations is of a minor or technical nature, he/she, after consultation with the Vice-Provost (Education and Student Affairs), and, where relevant, the Chair(s) of the Board(s) of Examiners concerned, may decide either that the matter may be dealt with by the Board(s) of Examiners concerned in whatever way is considered appropriate or that no further action shall be taken, or that an informal reprimand will be issued. The matter shall then be regarded as closed. Alternatively, a formal reprimand can be issued with the option for the student to go before an Examinations Irregularity Panel.
  4. Where the Registrar, Student and Registry Services, deems that prima facie evidence of a breach of the examination regulations has been presented, he/she shall refer the matter either to the Examinations Irregularities Panel or, in appropriate cases, to the University for investigation under its procedures<sup>13</sup>.
  5. If the matter is to be referred to the Examinations Irregularities Panel, the Registrar, Student and Registry Services, shall write, enclosing a copy of these regulations, to the student against whom the allegation is made. The letter shall inform him/her of the allegation(s), and the decision to refer the matter to the Panel and shall invite him/her to attend the Panel hearing. The Registrar, Student and Registry Services, will ask for written confirmation, within ten working days of the receipt of the letter, of both the receipt of the letter and appropriate addresses for correspondence.
  6. The Chair(s) of the Board or Boards of Examiners concerned, the Head(s) of Department(s)/Division(s) concerned (or, where the Department/Division is also the Chair of the Board of Examiners concerned, the Departmental/Divisional Tutor) and the Secretary of the Examinations Irregularities Panel shall also receive a copy of the Registrar, Student and Registry Services', letter.
  7. All formal communications from UCL to the student concerned, following referral of the matter to the Registrar, Student and Registry Services, shall be in writing and delivered by hand or sent to his/her last known UK address or sent to the student's UCL email account, unless the student has notified UCL of an alternative address outside the UK. It is the responsibility of students to ensure that UCL's records of their addresses are up to date and that they can be contacted at these addresses, and that they check their UCL email accounts regularly. No provision can be made for an extension to the deadline at paragraph 9.5.1.5 above if a student has failed to communicate to UCL any

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<sup>12</sup> If the allegation is submitted by the Chair of the Board of Examiners, a completed Report Form for an Allegation of a Breach of the Examination Regulations should also be completed (see Annex 4.6.2). If the report is submitted by the Examination Supervisor, a Suspected Examination Irregularity Statement form should normally be completed by both the Examination Supervisor and student concerned.

<sup>13</sup> Where necessary, the Academic Registrar will ask the Chair of the Board of Examiners to complete a Report Form for an Allegation of a Breach of the Examination Regulations.

change of address. Every student should be advised to ensure that he/she can be readily contacted during the six weeks following the last Board of Examiners meeting in the Summer Term (or, in the case of September resit examinations, the last meeting of the Board of Examiners concerned). Failure to do so will mean that (unless, exceptionally, the allegation(s) is reported to the Registrar, Student and Registry Services, after the end of the Summer Term) any allegation(s) will be considered in the student's absence.

8. The Panel will normally meet once in the Autumn and Spring Terms and also prior to the main Board of Examiners meetings in the summer. The dates when the Panel is to meet (if required) shall be set annually by the Registrar, Student and Registry Services, in consultation with the Vice-Provost (Education and Student Affairs). Students should be forewarned that decisions on any suspected breach of the regulations may be deferred until the next scheduled Examinations Irregularities Panel hearing is to be convened.

## 9.5.2 Establishment and Procedure of Examinations Irregularities Panel

1. The Examinations Irregularities Panel shall be constituted as follows:
  - i) The Vice-Provost (Education and Student Affairs) (or his/her nominee if the Chair's own department/division/Faculty is involved), who shall be Chair of the Panel;
  - ii) A Faculty Tutor who shall be nominated by the Chair of the Panel and who shall neither be from any department/division involved nor Chair of any Board of Examiners involved;
  - iii) A Sabbatical Officer of the UCL Union, normally the Education, Welfare or Medical and Postgraduate Officers, who shall not be from any department/division involved;
  - iv) The Director of Student Administration.
2. The Examinations Irregularities Panel shall be serviced by a member of the Registry through whom all documentation will be passed. There shall be no communication, either written or oral, between the Examination Irregularities Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly with members of the Examinations Irregularities Panel will not be admitted as part of the case documentation.
3. The Secretary to the Examinations Irregularities Panel shall provide the student with a copy of the Report and all other information available to the Panel, confirm the date and time of the Panel meeting which he/she is invited to attend (see Paragraph 9.5.1.5 above), and invite the student to submit, no later than a week before the meeting of the Panel, a statement in response to the allegation(s) (in addition to any he or she may have previously submitted). The statement may include any statements from witnesses.

4. The student shall also be advised that he/she may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Examinations Irregularities Panel or the Appeal Panel.
5. The student's statement, with any other information provided by the student, shall be copied to the Chair(s) of the Board(s) of Examiners concerned, who shall be invited to reply to any points raised in the statement(s) which have not been covered in the information so far received by the secretary of the Panel. Their replies should reach the secretary no later than two working days before the Examinations Irregularities Panel in question and be circulated to all participants including the student(s) concerned.
6. The Panel shall have power to call further witnesses, as it sees fit, and will normally invite a representative from the department/division concerned, whose role will be to provide clarification on factual matters (e.g. Departmental/Divisional procedures, etc.), as necessary, in order to assist the Panel with its deliberations.
7. The sole purpose of the Panel hearing shall be to investigate the grounds on which the allegations have been made and to determine, where appropriate, the penalty to be imposed.
8. The Panel shall endeavour to reach a decision on all cases referred to it at the meeting on the agreed date(s) but may, if necessary, reconvene as required provided that it shall have reached a decision on all cases referred to it within ten working days of the date of its first meeting. The student against whom the allegation(s) is made shall be notified of the date of any reconvened meeting.
9. The quorum for the Examinations Irregularities Panel shall be three including the Chair.
10. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
11. For the purpose of the meeting, a decision by the Examinations Irregularities Panel on any point of procedure will be binding. That decision may be the subject of appeal before the Appeals Panel.

### 9.5.3 Decisions of the Examinations Irregularities Panel

1. The decision of the Examinations Irregularities Panel shall be reached by the majority vote of the members of the Panel present at the meeting(s), but shall be, and shall be announced as, the decision of the Panel.
2. If the votes of the Panel are evenly divided on the question of the appropriate finding or action to be taken then its decision shall always be in favour of the less serious finding or action to be taken.
3. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.

4. At the conclusion of its consideration of the evidence the Panel shall determine whether a breach of the examination regulations has been committed and shall consider what action to take in respect of the student or students involved.
5. If the Panel finds that a breach of the examination regulations has been committed the Panel shall take the following into consideration in reaching its decision:
  - i) the seriousness of the offence;
  - ii) the relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;
  - iii) the effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment(s) in question would have (e.g. whether the assessment(s) in question is/are compulsory, or could be discounted when the award of the qualification is made);
  - iv) the arrangements for resitting/retaking the assessment(s) in question;
  - v) the effect in regard to the student's academic progression/Scheme of Award that failure of the assessment(s) in question would have on a student in normal circumstances.

#### 9.5.4 Penalties Open to an Examinations Irregularities Panel

1. The Examinations Irregularities Panel may decide on one or more of the following actions:
  - i) that no irregularity has been committed and no further action be taken;
  - ii) that no further action be taken;
  - iii) that the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations. Such an informal reprimand shall not be entered on the student's record;
  - iv) that the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations; the Faculty Tutor shall inform the Registrar, Student and Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned. Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record as shall all other actions taken except 9.5.4.1i, ii and iii above;
  - v) that the performance of the student in part or in all of the assessments he/she sat in the year the breach of the regulations occurred be withheld;
  - vi) that the student not be permitted to re-enter for part or all of those assessments before the expiry of a stated period of time;
  - vii) that the student be permitted to re-enter for part or all of those assessments on the next normal occasion;

- viii) that no degree/diploma/certificate be awarded to the candidate before the expiry of a stated period not exceeding three terms following satisfactory completion of the conditions for the award;
  - ix) that no degree/diploma/certificate be awarded to the candidate;
  - x) that the student be excluded from any future examinations of UCL for this programme or a different programme within UCL;
  - xi) that the penalty be a variation on any of the above to reflect more appropriately the seriousness of the offence and/or the effect that the decision may have on the student's future academic progression;
  - xii) that a degree, diploma or certificate already awarded to a student should be revoked.
2. The penalty set out at paragraph 9.5.4.1.iv above will normally be included in the Panel's decision where a penalty or penalties within the range at paragraph 9.5.4.1.v above have been imposed.
  3. Where the Panel orders that the performance of a candidate in part or in all of the assessments in question under paragraph 9.5.4.1.v above be withheld, and the candidate is permitted to enter for the assessment(s) in question on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the component.
  4. Where the Panel orders that the performance of a candidate in all of the assessments he/she sat in the year the breach of the regulations occurred, under paragraph 9.5.4.1.v above, be withheld and the candidate is permitted to enter for these assessments on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the assessments.
  5. Where the decision is that the student be permitted to re-enter for part or all of those assessments under paragraphs 9.5.4.1.vi and 9.5.4.1.vii above, it may, at its discretion, order that the maximum mark that the student can be awarded on re-entering the assessment(s) in question be no more than the minimum pass mark for that assessment.
  6. The Panel may refer any matter raised in the course of its enquiry which it considers to fall outside its jurisdiction to the appropriate officer or agency (see Section 9.1).
  7. Findings and decisions of the Panel shall be delivered in writing to the student concerned at his/her last known UK address (see paragraph 9.5.1.7 above) and reported to the Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 9.5.2.5 above normally within ten working days of the hearing being held.
  8. The findings and decisions shall not be published other than to the student and Chair(s) of the Board(s) of Examiners concerned and any person invited to

attend as per paragraph 9.5.2.5 above until after the end of the period within which an appeal may be lodged<sup>14</sup>.

9. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

### 9.5.5 Notice of Intention to Appeal

1. Any appeal against the decision of the Examinations Irregularities Panel shall be made under the following procedure.
2. Notice of intention to appeal shall be made in writing to the Registrar, Student and Registry Services, within ten working days of the date of the notification to the student of the decision in respect of which appeal is made. Such notice shall include all documentation pertaining to the grounds on which the appeal is being made. No further communications of any sort will be accepted for consideration under an appeal after this time.
3. An appeal should normally be made only on one or more of the following grounds:
  - i) that the Panel hearing was not conducted according to the above procedures;
  - ii) that fresh evidence has become available which was not, and which could not reasonably have been, made available to the Panel;
  - iii) that the penalty agreed by the Panel was inappropriate in relation to the offence.
4. As soon as is practicable after receipt of such notification the Registrar, Student and Registry Services, shall present the documentation relevant to the appeal to the Chair of the Appeals Panel who shall decide on the evidence available whether or not the appeal should be proceeded with in accordance with the grounds set out at paragraph 9.5.5.3 above, and notify the Registrar, Student and Registry Services, to that effect normally within ten working days of receipt of the documentation.
5. If it is decided not to proceed with the appeal, the Registrar, Student and Registry Services, shall inform the appellant of the decision of the Chair of the Appeals Panel, giving reasons, normally within five working days of receiving it.
6. Where it is decided that the appeal shall be proceeded with, the Registrar, Student and Registry Services, shall inform the appellant and will make the necessary arrangements for the appeal to be held as early as possible, and in any case within three calendar months of receipt of the notification of intention to

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<sup>14</sup> Where successful completion of a programme of study will lead to part or full professional accreditation or membership of a professional body or the right to practice professionally, UCL withholds the rights to notify the relevant professional body of any particulars of a proven offence.

appeal. The appellant will be notified of the date of the appeal and will be invited to attend, accompanied by a 'friend' (see paragraph 9.5.2.4 above).

7. The constitution of an Appeals Panel shall be as follows:
  - i) the Chair of the UCL Education Committee, or their nominee, who shall be Chair of the Appeals Panel;
  - ii) two members of academic staff to be nominated by the Chair of Academic Board;
  - iii) a UCL Union Sabbatical Officer or nominee.
8. None of the above shall have been a member of the Examination Irregularities Panel against whose decision the appeal is made, nor a member of any department/division involved, nor have assisted the appellant in any way with the presentation of his or her case for either the Examination Irregularities Panel or for the Appeals Panel.
9. The Chair of the Appeals Panel must be different to the Chair of the original Examinations Irregularities Panel under consideration e.g. where the Vice-Provost (Education and Student Affairs) chaired the original panel, he/she must nominate a different chair for the Appeals Panel).
10. The quorum for a Grievance Appeals Panel shall be three including the Chair.
11. The Secretary of a Grievance Appeals Panel shall be appointed by the Registrar, Student and Registry Services. He or she shall not have acted as secretary to the Examination Irregularities Panel<sup>15</sup>.
12. The Appeals Panel and all other parties shall be supplied with a statement of the grounds for appeal and a copy of the Report of the original proceedings and such other evidence as is considered appropriate.
13. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
14. An Appeals Panel shall have power to reverse or modify the decision appealed from in any way that it thinks fit.
15. In reaching its decision an Appeals Panel shall take into consideration the evidence provided under paragraph 9.5.12 above.
16. The decision of an Appeals Panel shall be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.
17. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.

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<sup>15</sup> The Registrar, Student and Registry Services, may also appoint a representative to act as an observer during the proceedings of the Appeals Panel and to provide the Panel with all relevant information relating to the appellant's academic position. The Chair of the original Panel or his/her nominee will also be invited to attend the Appeal hearing as a witness.

18. The Panel may adjourn for a period not exceeding seven days for the purpose of deciding upon the appropriate action to be taken upon the appeal.
19. Within ten working days of the conclusion of the hearing the Appeals Panel shall notify the Registrar, Student and Registry Services, in writing of the outcome of the appeal. The Registrar, Student and Registry Services, will in turn notify all parties of the decision of the Appeals Panel and a report on its proceedings shall be submitted to the next appropriate meeting of UCL Education Committee.
20. A decision of an Appeals Panel shall be final as far as internal UCL procedures are concerned.

## 9.6 Office of the Independent Adjudicator's [OIA] Student Complaints Scheme

1. The Office of the Independent Adjudicator for Higher Education [OIA] has been established to provide an independent scheme for the resolution of student complaints. All Higher Education Institutions [HEIs] are required to comply with the Scheme which came into effect from 1 January 2005. Areas of complaints covered by the OIA will include:
  - i) a programme of study or research for which the complainant was registered;
  - ii) a service provided by UCL;
  - iii) a final decision by a UCL disciplinary or appeal body.
2. The OIA will not, however, advise about a complaint if:
  - i) it relates to a matter of academic judgement (which will normally be about a student's academic performance);
  - ii) the matter is or becomes the subject of court or tribunal proceedings;
  - iii) it concerns a student employment matter.
3. Forms and further details on the operation of the OIA are available from the [OIA website](#).