UCL Academic Manual 2022-23

All Chapters

This document combines all of the chapters of the Academic Manual into a single accessible and searchable PDF.

UCL Academic Manual 2022-23

Chapter 1: Student Recruitment and Admissions Framework

Chapter 1 is UCL's regulatory framework for the recruitment and admission of students to UCL.

1   Student Recruitment

1.1   Guiding Principles

Student recruitment represents the first stage in the UCL student journey. The experience at this stage will set students' perceptions of UCL and will have a significant impact on their decision to apply to, and ultimately accept an offer of admission to UCL.

1. UCL aligns its student recruitment processes to Key Enabler 6 in its strategic plan, UCL-2034, via its central Student Recruitment and MarComms teams working in the Communications and Marketing (CAM) Division. The activities set out in this chapter are focused on delivering successful outcomes following the programme development activity set out in Chapter 7, Programme and Module Approval and Amendment Framework.
2. Activity within the CAM team encompasses: international and UK recruitment, affiliate recruitment, prospective student recruitment communications, plus digital marketing and market research to support recruitment in all segments.
3. A consolidated central team allows the institution to adopt a consistent approach to recruitment and ensures alignment with agreed strategic priorities. The central team liaises and works closely with the academic Faculties and Departments to ensure a coordinated approach throughout the institution.
4. The Vice-Provost (Education and Student Experience) takes the academic lead for recruitment and champions the strategic priorities to academic colleagues and other members of UCL's Senior Management Team.
5. UCL has a standing committee, the Student Recruitment, Admissions and Funding Committee (StRAFC) which is chaired by the Vice-Provost (Education and Student Experience) or their nominee. This Committee has institutional oversight of recruitment strategy and policy, reviewing these against the University's mission and strategic objectives. StRAFC membership encompasses senior colleagues from all of UCL's academic Schools, relevant Professional Service Divisions and from UCLU, ensuring appropriate representation from across UCL, facilitating strategic level discussion and allowing constructive dialogue to take place.
6. The Director of Student Recruitment and Head of MarComms are UCL's lead officers for student recruitment marketing policy and practice. The Director of Student Recruitment and Head of MarComms are responsible for developing and implementing student recruitment strategies for all affiliate, international, undergraduate and graduate recruitment. These strategies and policies align with UCL's wider strategic policies and priorities.
7. Staff involved in student recruitment advise prospective students in line with UCL's student recruitment and admissions policies. They are trained and informed of their responsibilities with regard to the need for accuracy and consistency of information when communicating with enquirers in order to comply with CMA good practice guidelines.
8. Student recruitment is undertaken with reference to UCL's Equal Opportunities Policy and to the QAA Quality Code for higher education, in particular Chapter B2: Recruitment, Selection and Admission to Higher Education. The recruitment of international students is also undertaken with reference to the UK Council for International Student Affairs (UKCISA) Code of Practice.
9. UCL works with one student recruitment agency, SI-UK, to support recruitment to graduate taught programmes, and ensure global diversity of the student body. The UCL Centre for Languages and International Education, also uses agents in a limited number of markets for pre-degree (preparatory and English language) programmes.

1.2   Market Research

1. UCL's core student recruitment activity is informed by market research and data analysis processes, designed to interpret UCL and external data to provide insight at both an institutional level and a departmental level. Market research further supports recruitment publication design, develops insight into new and existing markets across faculties and provides information and advice for best practice in independent market research.
2. UCL annually analyses relevant data to identify trends for students studying in the UK, understand UCL's performance against the sector, the Russell Group, and other identified groups. Regular insights into student recruitment performance are disseminated, along with top-level market insights, across UCL in the form of infographics, scorecards and by other methods.

3. CAM further provides data and insight at a greater level of detail for external use by Student Recruitment and MarComms in planning and executing recruitment and marketing activity.
4. CAM also works with Faculty Heads of Marketing and Communications to support academic colleagues with new degree programme proposals, and specifically to identify the appropriate quantitative and qualitative research needs to assess the market for proposed programmes. Further information is given in Chapter 7.
5. Policies and procedures related to student recruitment market research are laid out in Annex 1.1.1 Market Research Policies and Procedures, and also in Chapter 7.

1.3 Student Recruitment Communications

1. UCL's core student recruitment communications are managed by the MarComms department, part of the UCL Communications and Marketing Division. A range of student recruitment communications are published in print and digital media to inform prospective students about the details of UCL's degree and affiliate student programmes, and summer school programmes.
2. All student recruitment communications should follow the good practice guidelines set out in Annex 1.1.2 Good Practice in Student Recruitment Communications.
3. UCL produces annual versions of the following key student recruitment publications in print and online.

1.3.1 Undergraduate Prospectus

- This is published in March each year and is targeted at students intending to begin undergraduate degree studies at UCL in September of the following year, eighteen months after the date of publication.
- The printed edition of the prospectus provides an overview of UCL's undergraduate offering. More detailed information is hosted in the online edition.
- Details of the production process and timelines are set out in Annex 1.1.3 Undergraduate Prospectus and Associated Materials Policies and Procedures.

1.3.2 Graduate Prospectus

- This is published online in September each year and is targeted towards students intending to begin graduate taught studies one year after the date of publication or research studies at any time, although entry is usually in September of each year.
- The printed edition of the prospectus provides an overview of UCL's graduate study offering. More detailed information is hosted in the online edition.
- Details of the production process and timelines are set out in Annex 1.1.4 Graduate Prospectus and Associated Materials Policies and Procedures.

1.3.3 Study Abroad and Summer School Literature

- The printed edition of 'Study Abroad at UCL' provides an overview of UCL's study abroad offering. More detailed information is hosted in the online edition. This information is published in September of each year and is targeted towards students intending to begin affiliate studies in either the September twelve months after the date of publication or January sixteen months after the date of publication.
- The printed UCL Summer School leaflet provides a brief overview of UCL's Summer School offering and is published in August/September of each year. It is targeted at students intending to enter UCL in July/August 11/12 months after of the date of publication. Full details of the Summer School are made available online in September of each year and these are targeted at students intending to begin their Summer School programme in July/August, ten or eleven months after the date of publication. Details of the production process and timelines for 'Study Abroad at UCL' and UCL Summer School materials are set out in Annex 1.1.5 Study Abroad at UCL and Summer Schools Publications.

1.3.4 Faculty Marketing Materials

- Faculty marketing teams are responsible for ensuring that information about degree programmes is up-to-date, accurate, and complies with CMA guidance with regard to the application of Consumer Protection Law as it applies to the promotion of degree

programmes to prospective students. All prospectuses are intended to provide information to prospective students to inform the early stages of their decision-making process about whether to make an application to UCL. Online editions include text, imagery and video content.

- More detailed information, designed to provide enquirers with information about such issues as the study experience, departmental facilities and teaching staff, is provided by academic departments and faculties.

1.3.5 Web sites

- The prospectus websites detailed in <u>Student Recruitment Communications, para 1.3.3</u> above are intended to provide information to address first and second level enquiries from prospective students. Production and communication of detailed information about degree programmes (e.g. staff details, departmental facilities, detailed module content etc.) are the responsibility of faculty marketing teams in liaison with academic departments
- Guidance on what should be included, editorial standards and how it should be linked to prospectus content in order to benefit users' journeys through the UCL website are available at <u>Annex 1.1.6 Good Practice for Student Recruitment Content on Departmental Websites</u>.

1.3.6 Video content

- Advice and guidance for department and faculty staff wishing to produce video content to support student recruitment is available on the <u>CAM website</u>.
- It is important that quality control standards are applied and all video content complies with the advice and guidance prepared by the Competition and Markets Authority with regard to provision of information to prospective students.
- It is UCL policy that all video content must be subtitled. Not only does this meet accessibility standards to which UCL is committed, but it enables users to view videos without sound in situations when it is inappropriate for the soundtrack to be heard.
- Details of the editorial guidelines to be followed for all student recruitment-focused videos are available at <u>Annex 1.1.7 Good Practice in the Production of Student Recruitment Video Content</u>.

1.3.7 Social Media

- Where student recruitment is concerned, CAM maintains the corporate UCL social media accounts for the following purposes:
- Raising awareness of the UCL brand, the UCL offering, and student recruitment activities
- Driving traffic to the UCL website
- Advertising
- Social media accounts are also used to responds to queries from prospective students.
- Further information is available at <u>Annex 1.1.8 Student Recruitment Good Practice</u>.

1.4   Student Recruitment Activities

1. Via a comprehensive programme of student recruitment activities in the UK, overseas, and online, UCL seeks to ensure that all prospective students have access to information to help their decision-making. Further information is available at <u>Annex 1.1.8 Student Recruitment Good Practice</u>.

2. In the UK Student Recruitment organises UCL-wide undergraduate open days, a graduate open day, attendance at recruitment fairs, information sessions on how to apply, and visits to schools. These are complemented by SRS Access and Admissions activities such as delivering workshops, taster lectures and masterclasses and running a large number of projects and sessions specifically aimed at widening participation students including residential and non-residential summer schools (<u>see Annex 1.2: Widening Participation Guidelines for Good Practice</u>).

3. In overseas markets Student Recruitment interacts with and builds relationships with prospective students, their parents, advisers, and sponsors through a range of activities including school and university visits, visits to ministries and funding bodies, public presentations and information sessions, counselling sessions, and attendance at education exhibitions, study abroad fairs and sectorial conferences. All of these activities – which contribute to ensuring that applicants make informed decisions when applying for admission to UCL - are undertaken by trained staff and student ambassadors.

   These activities are supported by the printed prospectuses and the Prospective Students website which provide extensive information on studying at UCL and the programmes offered.

4. Student recruitment activities are reinforced by the collection of enquirer data to facilitate an enhanced prospective experience via the delivery of tailored information.

5. UCL uses a Customer Relationship Management (CRM) system to manage prospective student data, and to send student recruitment marketing communications, from enquiry to acceptance of an offer. The CRM is managed centrally by Communications and Marketing in order to ensure consistent and coordinated recruitment communications and full coverage across all faculties. The CRM system acts as a central repository for all prospective student data collected via the UCL prospective students' web pages, and collected by the Student Recruitment and MarComms teams as a result of recruitment activities.

   Policies and procedures related to the CRM are set out in <u>Annex 1.1.9 Student Recruitment Communications and the CRM Policy and Procedure</u>.

6. For the purpose of recruitment to UCL programmes, it is recognised that partnerships with other universities and organisations can play an important role. A strong network of exchange and study abroad partnerships can provide students with the sort of short-term study abroad experience that often leads to applications to full degree programmes.

7. For non-award bearing (but potentially credit bearing) term time and summer school affiliate study, UCL works with a number of study abroad organisations. UCL does not work with study abroad organisations on a for commission basis.

8. Partnerships with funding bodies are an integral part of UCL's student recruitment policy. Funding bodies can take a variety of forms, from private institutions to NGOs, to government ministries. SRM takes the institutional lead in negotiating new and renewed agreements with funding bodies. Most of these are fee partnership scholarship agreements whereby the funding body and UCL will contribute (to varying degrees) to the tuition fees and the maintenance costs of the students. Following approval by the Head of Student Funding, and referral to Legal Services, the agreements are approved by the Student Recruitment, Admissions and Funding Committee (StRAFC) and signed-off by the Chair. Academic Schools are represented on StRAFC at Dean and Faculty Tutor level. Once approved by StRAFC, there is no mechanism for faculties to opt out of the shared scholarship agreements.

9. All staff working centrally in student recruitment are required to read and comply with <u>UCL's anti-corruption and bribery policy</u>. Staff are required to familiarise themselves with the Bribery Act 2010 and its relevance to student recruitment.

1.5   Quality Control

1. In line with the guiding principles surrounding UCL's student recruitment activities, and to maintain compliance with CMA advice with regard to provision of content for use in student recruitment-focused marketing materials, all student recruitment communications, across all channels, must be produced in accordance with the guidelines for quality control as set out in Guiding Principles, para 1.1.7 of this document.
2. The Student Recruitment team is responsible for ensuring that high standards in student recruitment are maintained and that UCL's recruitment policies are adhered to. In instances of uncertainty and/or where clarification of policy is required, these should be referred to the Director of Student Recruitment.

1.6   General Data Protection Regulation (GDPR)

1. Prospective student data should be collected, stored, and processed in compliance with general data protection regulations. For further information, see Annex 1.1.9 Student Recruitment Communications and the CRM Policy and Procedure.

2 Entrance Requirements

2.1 Undergraduate Entrance Requirements

2.1.1 A Levels

1. UCL's entry requirement range is A*A*A–ABB.
2. Applicants' qualifications must satisfy the specific degree programme requirements which are outlined in the programme descriptions given in the Prospectus for the year of application.
3. The requirements for individual programmes are set out in the Prospectus.
4. UCL has a benchmark entry level of ABB at GCE A level and does not make offers of admission with any grades lower than B.
5. Applicants will not be admitted below the benchmark level without the advance approval of the Vice-Provost (Education & Student Experience) and cases for consideration should be submitted by Faculty Tutors to the Vice-Provost (Education & Student Experience), via Admissions in Student & Registry Services.
6. For further information about the acceptability of A Level subjects see Preferred A Level Subjects.

2.1.2 GCSE and Equivalent Qualifications

1. All UCL programmes require GCSE or equivalent passes in English Language and Mathematics at grade 5 / C or higher.
2. Some programmes require additional GCSE passes in specific subjects or higher grades than 5 / C in English Language and/or Mathematics, as outlined in the programme descriptions given in the Prospectus for the year of application.

2.1.3 Admissions Tests

1. In addition to making an application via UCAS, all applicants for the UCL MBBS programme must take the Biomedical Admissions Test (BMAT).
2. In addition to making an application via UCAS, all applicants for UCL undergraduate Law programmes must take the National Admission Test for Law (LNAT).

2.1.4 Access UCL and Contextual Data

1. The Access UCL scheme is aimed at UK domiciled applicants who are from underrepresented groups, including students from areas of low progression to higher education and those from less advantaged backgrounds including those from low performing schools.
2. Eligible applicants will be automatically flagged when UCL receives the application from UCAS.
3. Applicants must be UK domiciled and be attending/have attended a state school for post-16 study and meet one of the following criteria:
   - Home postcode in the lowest POLAR quintile
   - Home postcode in bottom 20% of Indices of Multiple Deprivation (IMD)
   - Home postcode in Acorn groups L,M,O, P or Q
4. Care leavers, estranged students and young carers are automatically eligible, provided they are attending or attended a state school for post 16 study. A care leaver is a person aged 25 or under who has been looked after by a local authority for three months in their life. The months do not need to be consecutive.

   Further guidance

1. Access UCL is not a guaranteed offer scheme. All subject specific requirements, personal statements and additional entry tests will be still assessed when making offers.
2. Successful applicants will receive a dual offer: a standard UCL offer and a lower offer of up to two grades.
3. If an applicant does not access the lower offer through the above criteria, the higher UCL offer will still stand.
4. In addition to Access UCL, applicants who meet one of the eligibility criteria in 2.1.5 (3) will be flagged to assist Admissions Selectors in their consideration of an application, and an individual

may be given additional consideration. Admissions Selectors should not systematically adjust grades in offers of admission, to favour these applicants.

2.2   Taught Postgraduate Entrance Requirements

2.2.1   Postgraduate Certificate, Postgraduate Diploma, Taught Masters and Graduate Diplomas/Certificates

1. UCL requires a UK Bachelor's degree in an appropriate subject, awarded with first or second-class Honours, or an overseas qualification of an equivalent standard from a university or educational institution of university rank.
2. Applicants' qualifications must satisfy the specific degree programme entry requirements which are outlined in the programme descriptions given in the Prospectus for the year of application.
3. For some taught programmes, an applicant whose qualifications, although otherwise acceptable, are of lower standard may be admitted if evidence of an adequate academic background and experience in an appropriate field can be shown. In certain instances, applicants may be required to pursue the programme over an extended period of time (including a qualifying year) and/or pass a qualifying examination before being registered for the degree programme.
4. Applicants must meet any entry conditions set by UCL by the start of the academic year in which they expect to begin their studies.
5. Some programmes take into account individual professional and work experience for admissions purposes. Please refer to the Prospectus or relevant Department/ Division for details of specific entry requirements.

2.2.2   Research Masters (MRes)

1. A UK Bachelor's degree in an appropriate subject, awarded with first or upper second-class Honours, or an overseas qualification of an equivalent standard from a university or educational institution of university rank is required.
2. Applicants' qualifications must satisfy the specific degree programme entry requirements which are outlined in the programme descriptions given in the Prospectus for the year of application.

2.3   Other Qualifications

2.3.1   Undergraduate Programmes

1. UCL specifies and recognises a range of other UK and international qualifications for entry to its undergraduate programmes. These requirements for these qualifications are listed at programme level on the Prospectus.
2. It should be noted that some programmes require specific subject knowledge, and each application is considered on a case-by-case basis.

2.3.2   Taught Postgraduate Programmes

1. UCL will consider a wide variety of international qualifications for entry to its taught postgraduate programmes, and these are provided at programme level on the Prospectus.
2. Applicants should be aware that, in addition to the required grades, the acceptability of qualifications can be dependent on the type, content and length of the degree programme studied as well as the institution attended.

2.4 Suspension of Regulations

2.4.1 General

1. Admissions tutors wishing to accept a candidate who does not satisfy either UCL's minimum benchmark entrance requirements or any programme specific entrance requirements may seek a suspension of UCL's regulations from the Director of Access and Admissions.

2.4.2 Admission to Undergraduate Programmes via Special Entrance

1. The term "special entrance" is applied to applicants seeking admission who hold qualifications which do not satisfy UCL's benchmark entry requirement or programme-specific entry requirements. All students offering non-standard qualifications are expected to demonstrate the same level of academic potential as those offering standard qualifications. To be considered for special entrance, the applicant must possess one of the following types of qualification:
   - an appropriate academic qualification other than a degree from a recognised university or other institution
   - an intermediate or equivalent examination towards the award of a degree by a recognised university, or institution of similar status, plus passes in an appropriate number of subjects at GCSE level or the equivalent
   - a qualification gained by examination which satisfies the entrance requirements for admission to a recognised university outside the UK
   - a qualification gained by examination and which is necessary for admission to membership (Associateship, Corporate Membership or the equivalent) of a recognised professional body or leading to appointment in another field of public service
   - recognised qualifications that fall short of the benchmark requirements but are supplemented by additional recent study over a sustained period of time. Applicants in this category must demonstrate that they have achieved sufficient competence in their chosen field of study to justify admission.
2. Admissions tutors wishing to recommend an applicant for special entrance should provide full details to the Faculty Tutor. The Faculty Tutor then decides whether or not the applicant's case should be forwarded to the Director of Access and Admissions via Admissions for consideration. The decision of the Director of Access and Admissions in such matters is final.

2.4.3 Admission to Taught Postgraduate Programmes & Postgraduate Research Programmes via Special Entrance, a Qualifying Examination or Qualifying Year

1. The term "special entrance" is applied to applicants seeking admission who hold qualifications which do not satisfy UCL's benchmark entry requirement or programme-specific entry requirements. Application for a suspension of regulations should be submitted via Admissions. Requests to suspend English Language regulations will not normally be approved.
2. In the case of graduate candidates, and subject to the approval of the Director of Access and Admissions, candidates who do not satisfy UCL's minimum entrance requirements or programme specific entrance requirements may be admitted subject to the satisfactory completion of either a qualifying examination or a qualifying year. Approval of the admission of a graduate candidate on the basis of a qualifying examination/year should be sought via Admissions. All qualifying examinations are set by the admitting Department. Wherever possible the assessment of a qualifying examination should include external moderation. In accordance with UCL regulations, a qualifying examination need not necessarily be restricted to a formal written examination. The structure of a qualifying year is determined by the admitting Department having regard to the candidate's academic background and subject to the approval of the Director of Access and Admissions. All qualifying examinations/years must be completed and assessed prior to a candidate embarking upon the relevant Master's or research programme. Candidates will not normally be permitted to retake a qualifying examination or qualifying year.
3. Alternatively, students offering non-standard qualifications are expected to demonstrate the same level of academic potential as those offering standard qualifications. To be considered for special entrance, the applicant must present evidence of one of the following:

- a third-class honours degree (or international equivalent) would be required to hold at least one year of relevant full-time work experience for a suspension of regulation request to be considered.
- PGR applicants holding a lower second-class honours degree (or international equivalent) would be required to hold at least one year of relevant full-time work experience for a suspension of regulation request to be considered.
- a recognised degree with below a third-class honours (or international equivalent) would be required to hold at least three years of relevant full-time work experience for a suspension of regulation request to be considered.
- an awarded qualification equivalent to a UK bachelors honours degree by a university, or institution of similar status, recognised by ENIC, but not currently accepted by UCL for entry.
- qualification gained by examination and which is necessary for admission to membership (Associateship, Corporate Membership or the equivalent) of a recognised professional body or leading to appointment in a field of public service, and at least one year of relevant work experience within the relevant field.
- an applicant does not hold a formal qualification but has at least five years of relevant work experience.

4. Any student admitted through suspension of regulations who has not met the English proficiency requirement will be required to undertake an in-sessional language course at the Centre for Languages and International Education. It will be the responsibility of the admitting department to pay the cost of the in-sessional course.

2.5 English Language Requirements

2.5.1 General

1. All students seeking admission to UCL (including EU and Overseas), who are not a national of a United Kingdom Home Office "majority English speaking" country, are required to provide recent evidence that their command of spoken and written English is adequate for the programme of study for which they have applied.
2. UCL specifies the need for its undergraduate and graduate students to have adequate English in order to ensure that their academic progress is not hindered by language difficulties and that students are able to integrate socially whilst studying at UCL and living in this country.
3. UCL's English language proficiency policy has been approved by the relevant committees of UCL's Academic Committee. This policy places responsibility on faculty and departmental admissions tutors in deciding, to at least UCL's minimum standard level requirement, the level of English language proficiency that their students must meet.
4. UCL considers all applicants who meet its English language requirements to meet or exceed the Common European Framework of Reference for Languages (CEFR) B2 level in reading, writing, speaking and listening. UCL makes use of the CEFR to benchmark its English language requirements framework.
5. EU exchange students and EU students entering UCL on a partnership agreement can satisfy UCL's English language requirements by meeting CEFR B2 level, subject to departmental approval.

2.5.2 Programme Specific English Language Requirements

1. All applicants are advised to check any programme specific English Language requirements by consulting the Prospectus.
2. Applicants should be aware that UCL reserves the right to ask for higher English Language requirements in individual cases.

2.5.3 Evidence of meeting UCL English language requirements

1. A national of one of the following countries, which the UK Home Office lists as 'majority English speaking':

Antigua and Barbuda, Australia, The Bahamas, Barbados, Belize, Canada, Dominica, Grenada, Guyana, Ireland, Jamaica, New Zealand, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Trinidad and Tobago, United Kingdom or United States of America.

2. Completed a minimum of twelve months academic education leading to an awarded qualification, no more than two years prior to the proposed date of enrolment (or the summer two years prior to enrolment if starting in September), in one of the following countries:

   Antigua and Barbuda, Australia, Barbados, Belize, Botswana, Cameroon (only if the qualification is taught in English), Canada, Caribbean / West Indies (English-speaking Caribbean Commonwealth territories), Dominica, Fiji, Gambia, Ghana, Grenada, Guyana, Ireland, Ireland, Jamaica, Kenya, Malawi, Malta (only if the qualification is taught in English), Mauritius, New Zealand, Nigeria, Singapore, South Africa, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Swaziland, Tanzania, The Bahamas, Trinidad and Tobago, The Netherlands (where the degree is taught entirely in English), Uganda, United Kingdom, United States of America, Zambia, or Zimbabwe.

   English language courses and study preparation courses such as pre-Masters are not acceptable. All qualifications must have been studied in the country of the awarding institution.

3. Completed a minimum of eighteen months of work experience no more than two years prior to the proposed date of enrolment, evidenced by a letter from the employer including start and end dates and language of business, in one of the following countries:

   Antigua and Barbuda, Australia, Barbados, Belize, Botswana, Canada, Caribbean / West Indies (English-speaking Caribbean Commonwealth territories), Dominica, Gambia, Ghana, Grenada , Guyana, Ireland, Ireland, Jamaica, Kenya, Malawi, Mauritius, New Zealand, Nigeria, Singapore, South Africa, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Swaziland, Tanzania, The Bahamas, Trinidad and Tobago, Uganda, United Kingdom, United States of America, Zambia, or Zimbabwe.

4. Taken English language as part of one of the following school leaving qualifications, no more than the summer two years prior to the proposed date of enrolment:

Country	Requirement
Austria	Matura/Reifeprufung, 2 (gut) in English when both written and oral examinations have been taken.
Belgium	Diploma van Secundair or the Certificat d'Enseignement Secondaire Superieur, the equivalent of 8/80%/grote onderscheiding/avec grande distinction in English.
Brunei	Brunei-Cambridge GCE O Level English at grade C in English.
Denmark	Studentereksamen, 10 in English.
European Baccalaureate	A8 in English as either an Obligatory Subject (Language I or II) or as a Full Option (Language III or IV).
Finland	Ylioppilastutkinto/Studentexamen matriculation examination, 5 (magna cum laude approbatur) in English.
France	Baccalaureat General or OIB, 13 (assez bien) in English, where the co-efficient applied to the subject is greater than 1.
Germany	Abitur, 12 (gut) in English when taken as an achievement/main/intensive course.
Iceland	Studentsprof matriculation examination, 8 in English when taken as a compulsory modern language.
Luxembourg	Examen de Fin d'Etudes Secondaires, 45 (bien) in English.
Netherlands	Voorbereidend Wetenschappelijk Onderwijs (VWO) diploma, 7 (ruim voldoende) in English.
Norway	Vitnemal - videregaende opplaering, 5 in English.
Sweden	Avgangsbetyg, VG (val godkant) in English.

Switzerland	Maturitatzeugnis/Certificat de Maturite/Attestato de Maturita federal maturity certificate or the federally-recognised cantonal maturity certificate, 5 (gut/bien/bene) in English.

5. Taken one of the following tests no more than two years prior to the proposed date of enrolment:

Test	Scores Required
AQA Level 2 Certificate in English Language (8705) Speaking and listening must be separately endorsed on the certificate	**Level 1:** Pass at grade C. **Level 2:** Pass at grade C. **Level 3:** Pass at grade B. **Level 4:** Pass at grade B. **Level 5:** Pass at grade A.
Cambridge English: C1 Advanced (Certificate of Advanced English)	**Level 1**: Overall score of 176 with 169 in all subtests **Level 2:** Overall score of 180 with 172 in all subtests **Level 3:** Overall score of 185 with 180 in all subtests **Level 4:** Overall score of 191 with 180 in all subtests **Level 5:** Overall score of 210 with 200 in all subtests
Cambridge English: C2 Proficiency (Certificate of Proficiency in English)	**Level 1:** Overall score of 176 with 169 in all subtests **Level 2:** Overall score of 180 with 172 in all subtests **Level 3:** Overall score of 185 with 180 in all subtests **Level 4:** Overall score of 191 with 180 in all subtests **Level 5:** Overall score of 210 with 200 in all subtests
Cambridge English Language 1119	**Level 1:** Pass at grade C or 6. **Level 2:** Pass at grade C or 6. **Level 3:** Pass at grade B or 4. **Level 4:** Pass at grade B or 4. **Level 5:** Pass at grade A or 2.
Cambridge Assessment International Education (formerly Cambridge International Examinations CIE) GCE Ordinary Level in English Language	**Level 1:** Pass at grade C. **Level 2:** Pass at grade C. **Level 3:** Pass at grade B. **Level 4:** Pass at grade B. **Level 5:** Pass at grade A.
GCSE English Language	**Level 1:** Pass at grade C or 5. **Level 2:** Pass at grade C or 5. **Level 3:** Pass at grade B or 6. **Level 4:** Pass at grade B or 6. **Level 5:** Pass at grade A or 7.

Test	Scores Required
Hong Kong Certificate of Education English Language (Standards-Referenced Reporting Scheme)	**Level 1:** Pass at grade 3. **Level 2:** Pass at grade 3. **Level 3:** Pass at grade 4. **Level 4:** Pass at grade 4. **Level 5:** Pass at grade 5.
IGCSE * Indicates that speaking and Listening must be separately endorsed on the certificate **Cambridge Assessment International Education (formerly Cambridge International Examinations)** • Cambridge IGCSE English - First Language (0500)* or (0990)* • Cambridge IGCSE English - First Language (UK) (0522) • Cambridge IGCSE English - First Language (UK) (0627)* • Cambridge IGCSE English - First Language (US) (0524)* • Cambridge IGCSE English as a Second Language (Speaking endorsement) (0510)* or (0993)* • Cambridge IGCSE English as a Second Language (Count-in speaking) (0511) or (0991) • Cambridge English as a Second Language (US) (0526)* **Pearson Edexcel** • Edexcel IGCSE English as a Second Language (ESL) (4ESO/01)* • Edexcel IGCSE English as a Second Language (4ES1)* • Edexcel IGCSE English Language A (4EA0) or (4EA1)* **Oxford International AQA Examinations** • Oxford AQA IGCSE English Language (9270)* • Oxford AQA IGCSE English as a Second Language (9280)	**Level 1:** Pass at grade C or 5. **Level 2:** Pass at grade C or 5. **Level 3:** Pass at grade B or 6. **Level 4:** Pass at grade B or 6. **Level 5:** Pass at grade A or 7.
International Baccalaureate (IB)	For native or near-native speakers **Level 1:** IB English Language A: Literature or Language and Literature or Literature and Performance at either higher or standard level - grade 4. **Level 2:** IB English Language A: Literature or Language and Literature or Literature and Performance at either higher or standard level - grade 4. Level 3: IB English Language A: Literature or Language and Literature or Literature and

Test	Scores Required
	Performance at either higher or standard level - grade 5. **Level 4:** IB English Language A: Literature or Language and Literature or Literature and Performance at either higher or standard level - grade 5. **Level 5: I**B English Language A: Literature or Language and Literature or Literature and Performance at either higher or standard level - grade 6. For non-native speakers **Level 1:** IB Language B at higher level - grade 4; IB Language B at standard level - grade 6. **Level 2:** IB Language B at higher level - grade 4; IB Language B at standard level - grade 6. **Level 3:** IB Language B at higher level - grade 5; IB Language B at standard level - grade 7. **Level 4:** IB Language B at higher level - grade 5; IB Language B at standard level - grade 7. **Level 5:** Not accepted.
International English Language Testing System (IELTS) Academic	**Level 1:** Overall score of 6.5 and a minimum of 6.0 in each component **Level 2:** Overall score of 7.0 and a minimum of 6.5 in each component **Level 3:** Overall score of 7.0 and a minimum of 7.0 in each component **Level 4:** Overall score of 7.5 and a minimum of 7.0 in each component **Level 5:** Overall score of 8.0 and a minimum of 8.0 in each component
Malaysian Certificate of Education English Language Communicational (122)	**Level 1:** Pass at grade 6 or C. **Level 2:** Pass at grade 6 or C. **Level 3:** Pass at grade 4 or B. **Level 4:** Pass at grade 4 or B. **Level 5:** Pass at grade 2 or A.
Pearson Test of English (Academic)	**Level 1:** Overall score of 75 with a minimum of 67 in each Communicative Skill **Level 2:** Overall score of 76 with a minimum of 75 in each Communicative Skill **Level 3:** Overall score of 76 with a minimum of 76 in each **Level 4:** Overall score of 80 with a minimum of 76 each Communicative Skill **Level 5:** Overall score of 88 with a minimum of 80 in each Communicative Skill
Test of English as Foreign Language (TOEFL) iBT	**Level 1:** Overall score of 92 with 24/30 in reading and writing and 20/30 in speaking and listening

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Test	Scores Required
	Level 2: Overall score of 96 with 24/30 in reading and writing and 22/30 in speaking and listening
	Level 3: Overall score of 100 with 25/30 in reading and writing and 23/30 in speaking and listening.
	Level 4: Overall score of 109 with 27/30 in reading and writing and 23/30 in speaking and listening.
	Level 5: Overall score of 110 with 29/30 in reading and writing and 23 in in speaking and listening.
Trinity Integrated Skills in English level II (Trinity ISE II)	**Level 1:** Successful completion with a 'merit' in all components
	Level 2: Successful completion with a 'distinction' in all components
	Level 3: Not accepted
	Level 4: Not accepted
	Level 5: Not accepted
Trinity Integrated Skills in English level III (Trinity ISE III)	**Level 1:** Successful completion with a 'pass' in all components
	Level 2: Successful completion with a 'pass' in all components
	Level 3: Successful completion with 'pass' in all components
	Level 4: Successful completion with 'distinction' in all components
	Level 5: Not accepted
Trinity Integrated Skills in English level IV (Trinity ISE IV)	**Level 1:** Successful completion with a 'pass' in all components
	Level 2: Successful completion with a 'pass' in all components
	Level 3: Successful completion with a 'pass' in all components
	Level 4: Successful completion with a 'pass' in all components
	Level 5: Successful completion with a 'pass' in all components
UCL Centre for Languages and International Education - Diploma in English for Academic Purposes with Academic Research Skills	*Standard level:* Overall mark of 65% with at least 60% in each of the four subtests.
	Good level: Overall mark of 70% with at least 65% in each of the four subtests.
	Advanced level: Overall mark of 75% with at least 70% in each of the four subtests.
UCL Centre for Languages and International Education - Pre-Sessional English Language Courses	*Standard level:* Mark of 65%, with at least 60% in each of the subtests.
	Good level: Mark of 70%, with at least 65% in each of the subtests.
	Advanced level: Mark of 75%, with at least 70% in each of the subtests.
UCL Centre for Languages and International Education – Undergraduate Preparatory Certificates (Academic English)	*Standard level:* Overall mark of 65% with at least 60% in each of the sub-tests.
	Good level: Overall mark of 70% with at least 65% in each of the sub-tests.

Test	Scores Required
	Advanced level: Overall mark of 75% with at least 65% in each of the sub-tests.

2.6 Additional requirements for entry to courses of Initial Teacher Education

General

1. Applicants undertaking any course of initial teacher education must meet the Secretary of State's requirements for physical and mental fitness to teach. This will be assessed by an (or UCL's) Occupational Health Provider through completion of a health questionnaire and, if necessary, a face-to-face assessment. Applicants are responsible for bearing the cost of this assessment.
2. Applicants who accept an offer of a place on an initial teacher education course must be in possession of satisfactory clearance from the Disclosure and Barring Service prior to the start of the programme, and must also comply with any additional safeguarding requirements in operation at the time of the programme. The applicant is responsible for applying for and bearing the cost of obtaining this disclosure and the process will be undertaken via Admissions.

2.7 University Preparatory Certificate

2.7.1 University Preparatory Certificate for Science & Engineering and University Preparatory Certificate for Humanities

1. International applicants whose secondary education qualifications are not suitable for direct admission to leading UK universities may apply for a one-year programme for Science and Engineering <u>or</u> Humanities offered by UCL.
2. Successful completion of the one-year programme may be used to apply for an undergraduate programme of study at UCL or other university.
3. Entrance requirements by country can be obtained from the <u>Centre for Languages and International Education (CLIE)</u>.
4. All applicants are required to take an entrance test and further information can be obtained from the <u>(CLIE)</u>.

2.8 Recognition of Prior Learning (RPL) for Entry to UCL

Please note that there are separate regulations and an initial assessment template for Degree Apprenticeship programmes – see <u>Chapter 11, Section 6.1: Apprentice Support and Success/ Initial Assessment</u>

2.8.1 Definitions

1. The following regulations define the types and quantities of prior learning that may be considered for entry to a UCL Programme.
2. Applicants wishing to apply for RPL should contact <u>Admissions in Student & Registry Services</u>.
3. The Recognition of Prior Learning encompasses the following terms:

Term	Definition
Recognition of Prior Learning (RPL)	RPL is the overarching term for a process which allows students to apply for exemption from particular entry requirements, or from some parts of a Programme of Study, by recognition of their learning from previous experiences and achievements.
Accredited Prior Learning (APL)	A sub-set of RPL. APL is prior learning that has been formally assessed and certificated by a recognised institution.

Experiential Prior Learning (EPL)	A sub-set of RPL. EPL is the non-certified acquisition of relevant skills and knowledge, gained through relevant experience, which is capable of being evaluated.

4. There are three main ways in which RPL can be applied:

Term	Definition
Initial Entry	For initial entry to a UCL Programme, where a student does not hold the precise entry requirements specified by UCL.
Advanced Entry	For advanced entry to a UCL Programme, where a student has already completed certified learning of a standard judged to be equitable with the UCL Programme to which the student is applying.
Internal Transfers	It *may* also be necessary to use RPL for transfers within UCL, where a student wishes to transfer to another Programme that has a significantly different structure.

2.8.2   Core Principles

1. The acceptance of RPL is entirely at the discretion of UCL.
2. Applicants are responsible for demonstrating to UCL that the prior learning evidences the required skills and knowledge, and that the learning is still current. UCL *must* be satisfied that, by successfully completing the remaining part of the Programme, the applicant will have had the opportunity to fulfil the Programme objectives and attain the standards required for the Qualification.
3. If agreed, RPL becomes part of the agreement between UCL and the student.
4. Modules for which RPL is granted and any variation in the student's Programme of Study *should* be clearly defined when the offer of admission is made.
5. RPL *should* neither advantage nor disadvantage a student over other students on a Programme.
6. RPL cannot be used as an Extenuating Circumstance for underachievement in subsequent assessments.

2.8.3   Initial Entry

1. RPL *may* be considered for initial entry to a UCL taught or research Programme where a student does not meet the standard entry requirements as defined in Section 2: Entrance Requirements and Chapter 5: Research Degrees Framework e.g. a student holds an international Qualification that could be judged equivalent to the standard entry requirements, or a student has significant, evidenced industry experience that could be judged equivalent to the standard entry requirements.
2. RPL for initial entry *may* be 'certified' (APL) or 'experiential' (EPL).
3. Applications for RPL for initial entry *may* be considered, at the discretion of UCL, where:
    a) UCL is satisfied that the student is at least as well qualified as candidates who are able to satisfy the standard entrance requirements, and
    b) UCL is satisfied that the candidate's general education, scholarship, training and experience are suitable for the Programme which they wish to follow, and
    c) The applicant is able to provide (accredited or experiential) evidence of their background and experience that satisfies UCL as to their fitness to follow the Programme, and
    d) The applicant satisfies UCL's English Language proficiency requirements.
4. Where UCL deems it necessary, an applicant *may* also be required to pass a qualifying examination or to meet other appropriate qualifying conditions prescribed by the UCL department.

2.8.4   Accredited Prior Learning for Advanced Entry to Taught Programmes

1. Accredited Prior Learning (APL) *may* be considered for advanced entry to a UCL taught Programme or Research Masters where a student has already completed accredited learning of a standard judged equitable with the UCL Programme concerned e.g. a student who has

completed the first year of a cognate Honours degree at another HEI and wishes to transfer to a UCL Honours degree, or a student who has completed a PG Cert and wishes to enrol on a UCL Masters.

2. Applications for APL for advanced entry *may* be considered, at the discretion of UCL, where:
   a) There is space for additional students on the UCL Programme concerned, and
   b) UCL is satisfied that the student is at least as well qualified as students who were able to satisfy the standard entrance requirements at initial entry, and
   c) UCL is satisfied that the learning can adequately replace the UCL Modules concerned, and
   d) The applicant is able to provide certified evidence of their background and experience that satisfies UCL as to their fitness to follow the Programme, and
   e) The applicant satisfies UCL's English Language proficiency requirements, and
   f) The credit has been earned at and certified by a recognised degree-awarding body whose academic standards are judged by UCL to be at least consistent with those set out in the Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (FHEQ), and
   g) The credit has been earned at the appropriate academic Level and in an appropriate Field of Study, and
   h) The learning has been completed within the last five years, and
   i) The student has achieved the full pass mark for all Modules concerned and credit has not been achieved via a condoned (compensated) pass.

3. The following table specifies the maximum number of APL credits for which a student *may* apply for each group of UCL Qualifications:

UCL Qualification	Maximum APL
Certificate of Higher Education	Up to 30 credits
Diploma of Higher Education	Up to 60 credits
Foundation Degree	Up to 60 credits
Bachelors with Honours Degree	Up to 120 credits
Integrated Masters with Honours Degree	Up to 120 credits
Graduate Certificate	Up to 20 credits
Graduate Diploma	Up to 40 credits
Postgraduate Certificate	Up to 30 credits
Postgraduate Diploma	Up to 60 credits
Taught Masters	Up to 90 credits
Research Masters	Up to 90 credits

4. Applicants who have already completed a Qualification *may* only use those credits to apply for advanced entry to a UCL Programme where the original Qualification is surrendered, unless the previous Qualification is a constituent part of a student's professional accreditation (e.g. Qualified Teacher Status).

5. Where the surrender of the previous Qualification would result in forfeiture of professional accreditation students *may* be permitted to retain their previous Qualification in addition to their UCL Qualification, at the discretion of UCL. The UCL transcript *must* clearly demonstrate which credits have been awarded directly by UCL.

6. Credits for Modules awarded through APL are included in the total number of credits for the Qualification.

7. Credits awarded via APL from any institution other than UCL will be excluded from the calculation of the classification. Credits accrued at UCL and awarded via APL will be included in the calculation of the classification.

8. Where a student has left UCL with an interim qualification and asks to re-join the same programme at a later date, this is not APL, it is re-opening a closed record. Please see Chapter 3, Section 1.7 Closing and Re-Opening Records for further details.

2.8.5 Experiential Prior Learning for Advanced Entry to Taught Programmes

1. Experiential Prior Learning (EPL) *may* be considered for advanced entry to a UCL taught Programme or Research Masters, at the discretion of UCL, where:
    a) There is space for additional students on the UCL Programme concerned, and
    b) UCL is satisfied that the student is at least as well qualified as students who were able to satisfy the standard entrance requirements at initial entry, and
    c) UCL is satisfied that the learning can adequately replace the UCL Modules concerned, and
    d) The applicant is able to provide evidence of their background and experience that satisfies UCL as to their fitness to follow the Programme, and
    e) The applicant satisfies UCL's English Language proficiency requirements, and
    f) The learning is at an appropriate Level and in an appropriate discipline, and
    g) The learning has been completed within the last five years.
2. The following table specifies the maximum number of EPL credits for which a student can apply for each group of UCL Qualifications:

UCL Qualification	Maximum EPL
Certificate of Higher Education	Up to 30 credits
Diploma of Higher Education	Up to 30 credits
Foundation Degree	Up to 30 credits
Bachelors with Honours Degree	Up to 30 credits
Integrated Masters with Honours Degree	Up to 30 credits
Graduate Certificate	Up to 20 credits
Graduate Diploma	Up to 30 credits
Postgraduate Certificate	Up to 20 credits
Postgraduate Diploma	Up to 30 credits
Taught Masters	Up to 30 credits
Research Masters	Up to 30 credits

3. Where UCL deems it necessary, an applicant for EPL *may* be required to pass a qualifying examination or to meet other appropriate qualifying conditions prescribed by the UCL department.
4. Credits for Modules awarded through EPL are included in the total number of credits for the Qualification (and, where applicable, are treated as 'complete') but are not graded nor included in the classification calculation.

2.8.6 Advanced Entry to Research Programmes

1. Recognised Prior Learning (RPL) *may* be considered for advanced entry to a UCL research Programme where a student has already completed learning of a standard judged equitable with the UCL Programme concerned e.g. a student has commenced a PhD at another Higher Education Institution and wishes to transfer to a UCL PhD.
2. RPL is not permitted for advanced entry to Completing Research Status (CRS).
3. Applications for RPL for advanced entry to research Programmes *may* be considered, at the discretion of UCL, where:
    a) A UCL supervisor is available in the appropriate Field of Study, and
    b) The learning is formally recognised by a Higher Education Institution whose academic standards are judged by UCL to be at least consistent with those set out in the Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (FHEQ), and
    c) The learning is at the appropriate academic Level and in an appropriate field, and
    d) The learning can adequately replace the learning from the UCL Programme concerned, and
    e) The learning has been completed within the last five years, and

f) The student has received research supervision for a minimum of one year.

4. UCL will determine the appropriate point of entry to the Programme, taking the following into consideration:

   a) The number of months of study completed on the previous Programme, and
   b) Whether or not the student has successfully upgraded to PhD, and
   c) Any other evidence of progress such as a research log.

5. Once RPL is agreed, the supervisor and student *must* agree an upgrade and examination timetable.

3   Admissions and Selection

3.1   Equal Opportunities

1. UCL is firmly committed to promoting equal opportunity. UCL's Equal Opportunities policy in respect of student recruitment and admissions is as follows:
2. In the recruitment and selection of students the only consideration must be that the individual meets, or is likely to meet, the requirements of the programme or course. These requirements being met, no applicant will be discriminated against on the basis of their gender, race, colour, ethnic origin, nationality (within current legislation), disability, sexual orientation, marital status, caring or parental responsibilities, age, or beliefs on any matters such as religion and politics.
3. The above policy must be adhered to in all matters concerning student recruitment and admissions. UCL is committed to a programme of action to ensure that its policy is implemented and monitored at an organisational and individual level. Each department has a Departmental Equal Opportunities Liaison Officer who disseminates information on good practice and training.

3.2   Authority to Admit Students

1. UCL Statutes vest with the Provost the power to admit as a student to UCL anyone having the qualifications required for admission as stipulated in UCL Regulations. The Statutes further grant the Provost the power to delegate his power to admit students to any Officer of UCL or other person or body as he may think fit. The arrangements for the admission of students as outlined in this and other sections of the Academic Manual present the current position as regards the delegation of the Provost's power to admit students. The Provost reserves the right, at any time, to delegate the power to admit students to other Officers of UCL, persons or bodies deemed suitable by him should any particular circumstances require it.

3.3   Making an Application to Study at UCL

3.3.1   Undergraduate Applications

1. All full-time undergraduate applications to study at UCL, except for the Intercalated BSc, affiliate, and Medical students transferring from Oxford, must be submitted through UCAS and not directly to UCL. Applicants should complete their UCAS submission by the deadlines specified by UCAS.

Further guidance

1. Regardless of where applicants are applying from, they must submit their UCAS application by the dates published by UCAS.
2. Applications made after the deadline cannot be guaranteed equal consideration by UCL.
3. Applicants for Medicine, Fine Art and Law programmes should see the additional criteria for special admissions by reference to the Prospectus for the intended year of entry. Applicants for Integrated BSc degrees should reference the UCL iBSc webpages.
4. Applications for part-time study should be made directly to UCL, via Admissions in Student & Registry Services.

3.3.2   Taught Postgraduate Applications

1. Applications for taught postgraduate programmes are made directly to UCL, with the exception of programmes listed on the Prospective Students website.

Further guidance

1. There are two options for applications that are made directly to UCL:
    i)   Apply Online
    ii)   Downloadable Application Form
2. There is a standard application fee of £90 for online applications made directly to UCL and £115 for a hard copy application. Higher application fees apply to some programmes.
3. For hard copy applications the information on the Disability and Ethnic Origin Monitoring form is recorded for monitoring purposes, but not submitted to the admissions selector.

4. For further information see the [Prospective Students website](#).

PGT Application Deadlines

1. The Friday of the last week in July is UCL's general deadline for the receipt of applications for taught postgraduate programmes, however earlier programme specific deadlines may apply.
2. For programmes starting at times other than September, different deadlines may apply.

Further guidance

1. For further information see the Programme Specific Application Deadlines on the [Prospective Students website](#).
2. Registration and enrolment must be completed by the deadlines outlined in Chapter 3, Section 1.2: Enrolment and Re-enrolment.

3.3.3 Applications for Deferred Entry

Undergraduate Applicants

1. UCL will consider applications for deferred entry from undergraduate applicants intending to spend a pre-university year in a constructive activity.

Taught Postgraduate Applicants

2. UCL will not accept applications for deferred entry to taught postgraduate programmes. Applicants must apply in the admissions cycle for which they seek entry.
3. However, once an offer of admission has been made, applicants may to seek to defer the place to the following year. Agreement to defer is considered on a case-by-case basis and must meet one of the following criteria:
   - The serious illness of the offer holder or the serious illness of a parent, guardian, partner or child of the offer holder.
   - The death of a parent, guardian, partner or child of the offer holder.
   - The need to take parental or adoption leave during the next 12 months.
   - Where the offer holder is directly and severely affected by a natural or human-made disaster (i.e., war, earthquakes or flooding).
   - The offer holder has been awarded a UCL scholarship (including UCL partnership agreements and Faculty awards); or a full scholarship (tuition fee and maintenance support) from a recognised funding body - for study in the following academic year. (A 'scholarship' does not include student loans. The UCL Student Funding office can confirm the standing of a funding body or partnership as required).
   Request approved or not by Admissions or the admitting department/division.
4. Applicants holding an offer of admission may only apply for deferral for one year of entry. Applicants wishing to take a further year prior to admittance will be required to re-apply for admission and be considered in competition with other applicants.

Further guidance

1. Undergraduate applicants should state their reasons for wishing to defer entry on their UCAS application and they will then be considered a year ahead of the normal application timetable.
2. All undergraduate applicants considering applying for deferred entry are advised to check with [Admissions in Student & Registry Services](#) about the acceptability of deferred entry application for the degree programme for which they are applying.
3. The Slade School of Fine Art does not consider applications for deferred entry.
4. Further information about deferred entry is available on the [Prospective Students website](#).

3.3.4 Applications for Part-Time Study

Undergraduate Applicants

1. Applications for undergraduate admission on a part-time basis will only be considered for a small number of undergraduate degree programmes. At UCL undergraduate degree programmes are mostly taught during the day.

Further guidance

1. All applicants considering applying for part-time study are advised to refer to the [Prospectus](#) or contact [Admissions in Student & Registry Services](#) about the availability of this option for the degree programme for which they are applying.

2. Applications for admission on a part-time basis should be submitted directly to UCL using the appropriate part-time application form.

Taught Postgraduate Applicants

3. Applications for taught postgraduate admission on a part-time basis will be considered for programmes that offer a part time or modular/flexible option.

3.3.5   Applicants with Disabilities

1. Applicants who have a disability should inform UCL of this on their application. This will ensure that any special requirements can be put in place.

Further guidance

1. Applicants with disabilities should contact the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) if they have any general queries about facilities at UCL before submitting their application.
2. UCL endeavours to ensure equal access to all facilities and to make reasonable adjustments to UCL buildings if required when and where possible.

3.3.6   Applicants under the Age of 18

1. UCL will consider for admission to its undergraduate programmes applicants who will reach the age of 18 during or after their expected period of attendance. If a young applicant is offered a place, UCL has procedures to support / safeguard young applicants and young students and the arrangements prescribed will be put in place prior to them enrolling at UCL as a 'young student'.
2. Applicants that are under 18 at enrolment must have the written consent of their parent/guardian to study at UCL, provide two emergency contacts and also have a nominated local guardian living in the Greater London area.
3. In considering such applications Departments must adhere to the UCL Children and Vulnerable Adults Safeguarding Policy for Applicants and Current Students.

3.3.7   Affiliate Applicants (Students Registered at Other Higher Education Institutions)

1. Affiliate students are students registered at other Higher Education Institutions.
2. Signed agreements between UCL and participating JYA, Exchange or Erasmus institutions must be in place before an offer is made.
3. The regulations covering the registration of affiliate students at UCL are located in Chapter 3: Registration Framework for Taught Programmes.
4. Further information and guidance for affiliate student applications is available from Admissions in Student & Registry Services.

Undergraduate Affiliate Applicants

5. Undergraduate affiliate applicants must be students registered at other Higher Education Institutions.
6. Undergraduate affiliate applicants should have completed at least two years' study at university and be fully enrolled at their home institution by the time they come to UCL.
7. Undergraduate affiliate applicants are expected to present an average of no less than 2.2 or equivalent in their current study.
8. During their period of affiliation, affiliate students do not qualify for a UCL Degree.

Further guidance

   i)   In this context an undergraduate affiliate student is a student from another university who has accepted an offer by UCL to enrol on an undergraduate affiliate programme and register on modules that are academically assessed.

   ii)   Undergraduate affiliate students usually study on a full-time basis and can register to study for an academic year or, if appropriate, for the term or terms in which the modules they are undertaking are offered.

   iii) Departments/Divisions may, at their discretion, accept an undergraduate affiliate student who has not completed at least two year's study at a university.

Taught Postgraduate Affiliate Applicants

9. Applicants registered for taught postgraduate level qualifications in other Higher Education Institutions may apply to study at UCL for academic credits.
10. Taught postgraduate affiliate applicants are required to meet the graduate entry requirements detailed in Section 3.2 Authority to Admit Students.
11. Taught postgraduate affiliate applicants should be enrolled on a programme in their home institution that is equivalent to the QAA Framework for Higher Education Qualifications (FHEQ) level 7.

Further guidance

   i)   Academic credits are awarded for the successful completion of assessed modules.

Affiliate Student English Language Requirements

12. Affiliate students should satisfy UCL's English Language Requirements (see Section 2.5). EU students admitted via an exchange or EU partnership agreement can satisfy UCL's English language requirements by meeting CEFR B2 level, subject to departmental approval.

Exemption from Dual Registration Regulations - Affiliate Students and Joint/Double/Dual Degree Students

13. Affiliate students and students registered on joint, double/dual degrees are exempt from UCL's Dual Registration regulations (see Chapter 3: Registration Framework for Taught Programmes).

Further guidance

   i)   Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they are no longer registered with another institution, having graduated or left.

3.3.8   Erasmus Programme Applications

1. In the first instance applicants wishing to study at UCL as an Erasmus Programme exchange student must ensure that there is an appropriate institutional link in operation.

Further guidance

1. Erasmus Programme exchange applicants should contact the relevant Erasmus Co-ordinator and/or International Relations Office at their home university.
2. Submitted Socrates-Erasmus application forms must include an official institutional stamp and the signature of the Erasmus Co-ordinator at the applicant's home institution.
3. Successful selection by an applicant's home institution is not a guarantee of being accepted by UCL.
4. If successfully selected by their home institution, Erasmus applicants need to complete and submit the online application form
5. Successful applicants will be registered at UCL as visiting Erasmus students (known as affiliates) and as such will not be eligible for the award of any UCL degree or other qualification.
6. Further information about the Erasmus Programme is available from the Erasmus Programme web pages and the British Council website.

3.3.9   Applicants Transferring from Other Higher Education Institutions

1. All applicants studying at another higher education institution, including those who wish to transfer to a full-time degree programme at UCL, whether to commence a new programme of study, or to enter direct into the second year of a degree programme, must apply through the channels described in Section 3.3.1 Undergraduate Applications and Section 3.3.2 Taught Postgraduate Applications.

Further guidance

1. All applicants studying at another higher education institution who wish to transfer to UCL should also refer to the regulations relating to Dual Registration (see Chapter 3: Registration Framework for Taught Programmes).

3.4   Accuracy of Applicant Information

1. Information provided by applicants is expected to be accurate and complete. UCL reserves the right to refuse admission or, if already registered, terminate registration if information provided by an applicant is inaccurate or incomplete.

Further guidance

1. UCL is conscious of the potential risk of applicants seeking fraudulently to gain admission and/or receive a grant, loan or bursary. The prevention of such fraud is implicit in UCL's procedures governing the following areas of work:
   i. Selection of candidates for admission
   ii. Assessment of accepted candidates' fees status
   iii. Verification of the qualifications of students admitted
   iv. Enrolment of students
   v. Issuing of maintenance allowances to enrolled students and the processing of student loan applications
   vi. Issuing of certificates of student attendance
   vii. Monitoring of the attendance of students.
2. Where there is evidence that an applicant for admission to UCL may have provided false or misleading information on his/her application or papers associated with his/her application, the case will initially be considered by the Director of Access and Admissions who will seek to determine whether the applicant has been guilty of deliberate misrepresentation.   This procedure will also be followed where evidence comes to light after an individual has become a registered student of UCL that he/she may have provided false or misleading information when making his/her application for admission to UCL.
3. The applicant will be informed in writing by the Director of Access and Admissions of the apparent misrepresentation and asked to provide a statement in explanation or mitigation. Failure to provide a statement, or to provide satisfactory evidence to corroborate his/her explanation, will result in the applicant having the application and/or offer of admission to UCL withdrawn. The decision to withdraw an offer of admission or de-register a student from UCL as a result of fraud in an application will be made in consultation with the Vice-Provost (Education and Student Experience).
4. The Director of Access and Admissions will communicate immediately in writing the decision to the applicant.
5. An applicant to UCL does not have the right of appeal against the decision.
6. If fraud is suspected, UCL will, as appropriate, liaise with relevant external bodies (including the police, local education authorities, Student Loans Company, UCAS, UK Visas and Immigration).

3.5   Plagiarism in Undergraduate Personal Statements

General

1. Should the UCAS Similarity Detection Service alert UCL to possible plagiarism in an application, the faculty office/Admissions will be passed the similarity report and the UCAS application flagged. The admissions selector will review the application in the normal way against the usual initial criteria for consideration for entry to the programme. If the applicant does not meet the criteria, the application will be rejected in the normal manner and no reference will be made to the similarity detection.
2. If the criteria for further consideration are met, the admissions selector will alert the faculty office or Admissions who will contact the applicant. The applicant will be invited to state their case and provide any supporting documentation. The case will then be considered by the Faculty Tutor or Director of Access and Admissions. This assessment must take place before any further stage in the selection process is initiated, including an invitation to interview and/or open day or the issuing of any offer.
3. If it is considered that the case is not sufficiently addressed by the applicant, the application should be rejected and the applicant informed in writing of the reasons for this rejection.
4. If it is considered that the applicant has sufficiently answered the case, then the application must be passed to the Vice-Provost (Education and Student Experience) for review and endorsement before the processing of the application can continue. Once endorsed by the Vice-Provost (Education and Student Experience), the applicant will be informed by the faculty or Admissions that their application has not been prejudiced on the basis of the similarity detection alert.

5. An applicant will have the right of appeal against a decision. Any such appeal must be made within 21 days of the decision letter. The case will be considered by the Vice-Provost (Education and Student Experience) (or nominee).
6. Should the applicant be admitted and subsequently enrol at UCL, no reference to the similarity detection will be made in any future consideration of the student's conduct or work.

3.6 Revising UCAS Applications Following Submission

General

1. UCL considers the information contained on an application as complete and accurate at the point of submission to UCAS. It is not anticipated that any amendments will be made to the personal statement, the reference or the grade predictions provided in the reference.
2. Should a school/college wish to submit additional information that has not been solicited by UCL then this must be done prior to a decision being taken on the application and no later than 15th January UCAS deadline, whichever is earlier.
3. Revisions to predicted grades will only be considered if there has been a genuine administrative error on the part of the school/college when the original reference was completed. Any requests for such a revision must be supported by a statement from the school/college indicating that such an error has occurred. Such revisions will only be considered prior to UCL making a decision on the application and no later than the UCAS Equal Consideration deadline, whichever is earlier.
4. Applicants who wish to be considered as a consequence of revised predicted grades have the option of re-applying the following year, when they will be considered in competition with all other applicants.

3.7 Assessment Templates

General

1. An admissions criteria template must be completed for each admitting programme of study. The template should be defined and agreed by the Department and will then be used by the admissions selector to assess the qualifications, statement and reference of candidates. Departments must be able to demonstrate that their selection process is appropriate, consistent and fair.

3.8 Interviewing

General

1. UCL does not standardly interview its applicants. Departments seeking to interview applicants must have permission of the Vice-Provost (Education and Student Experience).
2. An interview is a meeting with an applicant for admission as a student that takes places only once it has been established that the applicant meets, or is likely to meet, UCL's entry requirements and is used only for selection purposes and not solely as a means of recruitment.
3. Interviews should be conducted by a minimum of two members of staff, both of whom have been trained in interviewing and equal opportunity awareness.
4. If it is deemed that an interview is required for a group of applicants, then all applicants in this group should be interviewed regardless of their place of residence. Applicants living in exempted areas of the UK as well as overseas (in other EU countries or elsewhere) may be interviewed by telephone or Skype rather than in person. Technology, such as OVIA interviews, can be used instead of other formats of interview.
5. An agreed line and level of questioning should be adopted and questions must be relevant to entry criteria. Supplementary questions should be used to probe for further information or clarification where answers are incomplete or ambiguous.
6. Interviews should be assessed against predetermined criteria which are consistently applied throughout the whole admissions cycle.
7. The interviewers should keep a set of notes between or among themselves to help them reach an informed decision based on the content of the interview. Interview notes should relate to how candidates demonstrate their knowledge, skills, experience and abilities in relation to the entry

criteria. All interview notes should be uploaded to UCLSelect. Under the Data Protection Act (DPA) 2018 and the General Data Protection Regulation (GDPR), access to interview notes must be given to applicants who request it.

3.9 Application Decisions

3.9.1 Offer of an Undergraduate Place

1. UCL endeavours to ensure that all applicants who have applied by the October or January equal consideration deadline will receive a decision via UCAS by the end of April in the calendar year of proposed entry, or a calendar year ahead for deferred entry applicants.
2. In addition to the UCAS decision, a formal UCL offer letter and notification of the applicant's fee classification will be made available by Admissions in Student & Registry Services or the relevant Faculty Tutor, via the UCL Applicant Portal. This will also include UCL's Terms and Conditions.

Further guidance

1. Applicants can follow the progress of their application via the UCAS Online Application Tracking Facility or via UCL's Applicant Portal.
2. Applicants are advised to consult UCAS for any changes in the deadline for the release of application decisions.
3. All applicants must be given an opportunity to visit UCL before they are required to make a final decision on any offer they may receive.

3.9.2 Offer of a Taught Postgraduate Place

1. Upon receipt of a complete application, applicants are invited to join UCL's Applicant Portal where they can follow the progress of their application.
2. Where there is a specific deadline for a programme of study, decisions may be notified after the closing date has passed.
3. Upon the recommendation of the relevant department/division, a formal UCL offer will be made to the applicant by Admissions in Student & Registry Services.

Further guidance

1. If unclear, applicants should contact Admissions in Student & Registry Services to clarify the likely decision date.
2. Departmental/divisional recommendations for the offer of a place are checked and authorised by Admissions in Student & Registry Services.
3. Departments offering applicants fully-funded places at UCL are responsible for ensuring that funding is available for the duration of the programme.

3.9.3 Conditional Offers

1. Conditional offers based on future examination performance may be issued by UCL. In such circumstances, all conditions must be fulfilled by 31 August or the specific deadline stipulated in the offer letter.

Further guidance

1. Applicants are advised to note Section 4.3 Declining Examination Results. Applicants who have requested re-marking of an A level paper should be aware that, irrespective of the outcome, if the re-mark is not available by 31 August in the year of entry, they will not be eligible for admission.

3.9.4 Feedback to Undergraduate Applicants

1. Feedback on decisions will be provided via UCAS to all unsuccessful applicants who have applied for entry to a full time undergraduate degree programme.
2. Each admissions tutor/selector will be responsible for providing the faculty office/Admissions with a reason for rejection taken from an agreed list of statements. The reasons for rejection must relate to the admissions criteria specified. If a standard statement cannot be used for an

individual applicant, the admissions tutor must provide a brief statement giving the reason for rejection.

3. UCL does not require Admissions, any of its academic departments or faculties to provide further feedback beyond that given with the initial rejection. However, if an applicant requests additional feedback in writing, Admissions, the department or faculty may choose to provide additional information on the decision.

4. Additional feedback should only be provided in response to a request made in writing by the applicant.

5. Under the Data Protection Act (DPA) 2018 and the General Data Protection Regulation (GDPR), UCL cannot respond to requests from schools, parents/guardians or advisors for feedback on unsuccessful applications, unless that request is made in writing and is accompanied by a written statement from the applicant giving consent to the discussion of their application with the named third party.

6. A request for additional feedback will not be considered as an appeal against the decision on the application. When such a request is received, this will not prompt a review of the application nor will providing feedback to an applicant imply that an application has been re-considered.

7. UCL will not consider any new information or documentation that is submitted as a result of any feedback received. Applicants who wish to be re-considered are required to re-apply the following year and to be considered in competition with all other applicants.

8. Decisions on the admission of applicants are final and there is no right of appeal against such decisions except as outlined in <u>Section 3.10 Appeal of Entry Decisions</u>.

9. UCL will consider a complaint relating to an applicant for admission only if it is in relation to process and procedure. Complaints relating to an academic judgement made on an application will not be considered.

3.10   Appeal of Entry Decisions

1. UCL decisions on applications are final, and there is no right of appeal against them. UCL will consider a complaint against any decision only if there is substantive evidence of an irregularity in the processing of the application in question.

Further guidance

1. For all undergraduate applicants, in the first instance complaints concerning an undergraduate application should be addressed to the Director of Access and Admissions unless the complaint concerns the Bartlett School of Architecture of the Faculty of Laws where it should be addressed to the Faculty Tutor of the Faculty concerned. If the complaint is against the Director of Access and Admissions or the Faculty Tutor, it should be addressed to the Vice-Provost (Education & Student Experience) or another senior member of administrative or academic staff, should there be any conflict of interest.

2. For all taught postgraduate applicants, in the first instance any complaint concerning a taught postgraduate application should be addressed to the Director of Access and Admissions. If the complaint is against the Director of Access and Admissions, it should be addressed to the Vice-Provost (Education & Student Experience) or another senior member of administrative or academic staff, should there be any conflict of interest.

3. The Faculty Tutor/Director of Access and Admissions will investigate the complaint and respond formally to it. If the complaint is not resolved through this investigation, or if the complainant is not satisfied with the response, the complainant may submit the complaint to the Registrar. The complaint must be received by the Registrar within 28 days of the date of the formal response from the Faculty Tutor/Director of Access and Admissions. Complaints received after that deadline will not be considered.

4. When a complaint is received, the Registrar or another officer nominated by the Registrar will decide whether there is substantive evidence sufficient to justify a formal investigation.

5. If the Registrar decides the evidence is not sufficient to justify a formal investigation, he/she will inform the complainant accordingly.

6. If the Registrar decides there are prima facie grounds for a formal investigation, the complaint will be referred to a panel comprising:
   - Vice-Provost (Education and Student Experience)
   - The Nominee of the Registrar;
   - A person independent of UCL to be nominated by the Registrar.

7. The Registrar will inform the complainant of the decision to refer the complaint to the panel.

8. The panel will normally consider the appeal on the basis of the papers relating to the case. The panel may interview the applicant and any other persons involved in the case, and shall be required to ensure equal treatment to the parties concerned, i.e. the applicant and the officer(s) who took the decision on the application or who were involved in the procedure for handling it. Such persons shall receive copies of all the documentation relevant to the complaint.

9. The panel will determine the complaint and decide upon any action to be taken as a result of their determination. Their decision will be conveyed to the Registrar who will communicate it to the complainant and arrange for the implementation of any action resulting from it. The other parties to the complaint will also be informed.

10. The decision of the complaints panel is final as far as UCL's internal procedures are concerned. If a complainant is dissatisfied with the decision of the panel, he or she may have recourse to the courts to request a judicial review.

11. The Registrar will keep a record of complaints which will include details of the age, gender and ethnicity of complainants.

3.11 Applicant Behaviour

1. UCL aims to ensure that staff, students, applicants, visitors and all others associated with the university are treated with dignity, respect and equity. If an applicant displays behaviours that are in contravention of UCL's Equality and Diversity Policy, we reserve the right to reject the application or withdraw any offer of admission made and terminate our contract with the applicant.

2. Hostile, aggressive or otherwise, inappropriate behaviour or language, whether expressed verbally, in writing or on social media, will not be tolerated. Where the university becomes aware of such behaviour, it will act to address this.

4 Offer Holders

4.1 Accepting an Offer

4.1.1 Undergraduate Applicants

1. All applicants for full-time undergraduate degree programmes will be informed by UCAS of the date by which they have to make a formal response to the offers they have received, either accepting them firmly, or on an insurance basis, or declining them.

Undergraduate Affiliate Applicants

2. For programmes starting in September/October, affiliate applicants have until 31 July in the calendar year of a programme to accept their offers formally.
3. For programmes starting in January, affiliate applicants have until 30 November of the preceding calendar year to accept their offers formally.

Further guidance

    i) Affiliate applicants confirm or decline their acceptance of an offer of a place to study at UCL via the Applicant Portal.

Undergraduate Part-Time Applicants

4. Applicants for undergraduate part-time study should confirm their acceptance of an offer from UCL in writing directly to Admissions in Student & Registry Services.

Further guidance

    i) Part time study applicants confirm or decline their acceptance of an offer of a place to study at UCL by completing the Offer Reply Form sent to them with their offer letter.

4.1.2 University Preparatory Certificate Applicants

1. Applicants for the University Preparatory Certificates for Science & Engineering and Humanities Programmes have until 7 July in the calendar year of a programme starting in September/October to decide upon their offers.

Further guidance

1. Applicants accepting the offer of a place on these programmes return the acceptance form provided with their offer to the UCL Centre for Languages and International Education.

4.1.3 Taught Postgraduate Applicants

1. All applicants for taught postgraduate degree programmes will be informed by UCL of the date by which they have to make a formal response to the offer they have received, either accepting the offer firmly or declining the offer via the Applicant Portal.
2. Successful applicants to selected postgraduate programmes are required to pay a tuition fee deposit. Following enrolment, any tuition fee deposit payment will be counted towards the tuition fees payable for the programme of study. Payment of the deposit allows applicants to demonstrate their commitment to attending their chosen programme of study at UCL and aids UCL in its student number planning. Once a successful applicant is enrolled on their programme of study, the deposit will form part of the total tuition fee, as quoted on the offer of admission. A list of postgraduate programmes requiring a tuition fee deposit and the tuition fee deposit policy can be accessed at https://www.ucl.ac.uk/prospective-students/graduate/taught-degrees/fees-and-funding/tuition-fee-deposits

Taught Postgraduate Affiliate Applicants

3. For programmes starting in September/October, affiliate applicants have until 31 July in the calendar year of a programme to accept their offer formally.
4. For programmes starting in January, affiliate applicants have until 30 November of the preceding calendar year to accept their offer formally.

Further guidance

1. Affiliate applicants confirm or decline their acceptance of an offer of a place to study at UCL via the Applicant Portal.

4.2 Proof of Identity

General

1. All students are required to provide an accepted form of identification, as determined by UCL, for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

4.2.1 UK/EU/EEA-Based Students

1. Students based in the United Kingdom, European Union or European Economic Area are required to provide an accepted form of identification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.
2. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
   i) A UK photo driving licence, Armed Forces Identity Card or a European National Identity Card, or
   ii) An original Birth Certificate, Adoption Certificate, Deed Poll Certificate or Certificate of Naturalisation.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.
4. No other forms of identification are acceptable.

4.2.2 Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements all students who require a visa to study in the UK must provide a passport and the appropriate visa, as no other form of identification is acceptable.
2. Enrolment will not take place without presentation of a valid passport and an appropriate visa.

Further guidance

1. Further information about the UK Points-Based Immigration System is available on the Immigration and Visa webpages.
2. UCL will only assign a Confirmation of Acceptance for Studies once an applicant has met all conditions of their offer and provided evidence of meeting the requirements for the relevant programme. More information on UCL's CAS issuing policy can be found on the Immigration and Visa webpages.

4.3 Declining Examination Results

1. Applicants who have accepted a place at UCL and who subsequently decline any of their A level results or Bachelor Degree results (i.e. appeal against their marks) may render themselves ineligible to take up a place on a degree programme at UCL or, if they have already enrolled, liable for deregistration from UCL.

Further guidance

1. Undergraduate applicants should be aware that if they decline any of their A level results, i.e. appeal against their marks, this might mean that they will be unable to meet UCL entry criteria and that any offers would be invalid, including re-marking completed after 31 August. Applicants are advised to check with Admissions in Student & Registry Services before declining any of their A level results.
2. Taught Postgraduate Applicants should be aware that if they decline any of their Bachelor Degree results or results obtained for an equivalent qualification (i.e. appeal against their marks), this may mean that they will be unable to meet UCL entry criteria and that any offers would be invalid.

4.4 Confirmation of Offer

4.4.1 General

1. Applicants who firmly accept an offer of a place at UCL have their places confirmed by UCL as and when any conditions attached to the offer are satisfied.
2. If any conditions of any offer have not been met, applicants should contact Admissions in Student & Registry Services by telephone as soon as possible to ascertain whether they may still gain admission.

4.4.2 Confirmation of Undergraduate Offer via UCAS

1. UCAS applicants will receive notification of their place being confirmed via UCAS, once any conditions attached to the offer are satisfied.
2. All offer conditions must be met by 31 August in the year of application.

Further guidance

1. The A level results are received by UCL from the qualifications awarding bodies via UCAS usually on the second weekend in August.
2. Where results are not provided by UCAS, applicants will be informed in June and asked to upload these onto the Applicant Portal no later than 31 August in the year of application.
3. Admissions Selectors pass the recommendation made on the basis of these results to Admissions in Student & Registry Services and these are processed through UCAS after discussion with the Vice-Provost (Education & Student Experience).

4.4.3 Confirmation of Undergraduate Offer: Non-UCAS

1. Applicants successfully applying for the University Preparatory Certificate, part-time students, affiliate students and Integrated BSc students who have received an offer of a place directly from UCL should confirm their acceptance in writing.

Further guidance

1. Applicants should also refer to Section 4.2 Proof of Identity.

4.5 Undergraduate Student Number Management

General

1. When reviewing the examination results of conditional offer holders Admissions will mark up applications where the conditions have been missed and Department and Faculties can request to confirm these applicants where they believe there is room on the programme.
2. No final decision is taken on near miss candidates that faculties would like to accept until the Vice-Provost (Education and Student Experience) has agreed the overall strategy with the Director of Access and Admissions. The number of near misses that can be admitted will then be confirmed. This takes place on the Monday following the release of A level results.
3. UCL does not participate in Clearing activities and consideration should not be given to candidates approaching UCL after 30 June UCAS application deadline. UCL may participate in UCAS Adjustment should departments be short of their intake target and overall capacity allows. The decision to enter Adjustment rests with the Vice-Provost (Education and Student Experience).

4.6 Student Accommodation Deadlines

1. Applicants should be aware of the deadline both for applying for student accommodation and firm acceptance of an offer of admission in order to guarantee the allocation of a room.
2. Applicants should note that only those who have an offer of a place to study at UCL can apply for accommodation.
3. Further information about applying for student accommodation can be found on the Prospective Students website.

UCL Academic Manual
2022-23

Chapter 2: Student Support Framework

1   How to use this framework

1.1   Introduction

UCL is committed to providing the support you need in order to make the most out of your studies. The Student Support Framework draws together our main academic support processes under one banner to help you understand the options open to you. The Framework includes the following components:

This section: How to Use this Framework helps you find your way around the different support options open to you. It includes:

- Where to find help and advice
- Information about when to use this framework (for example if you are an affiliate, study abroad or placement student)
- Advice on confidentiality and how UCL will look after your data
- Information on providing supporting evidence
- Links to other support options that are available to you.

The following sections explain how each of the following processes works:

Support process:	Use this if:	What this covers:
Short-term Illness and other Extenuating Circumstances	You have a short-term illness, bereavement or other unexpected emergency.	'Extenuating Circumstances' (often know as 'ECs') are events which are sudden, unexpected, significantly disruptive and beyond your control and which may affect your performance at summative assessment, such as a serious illness or the death of a close relative. You can submit an Extenuating Circumstances claim to access 'mitigation' such as an extension or deferring an assessment to a later date.
Reasonable Adjustments for Disabilities and Long-term Conditions	You have a disability or long-term physical or mental health condition.	UCL can provide longer-term 'Reasonable Adjustments' to support your learning and assessment. This includes setting up a 'SoRA' (Summary of Reasonable Adjustments) with UCL's Student Support and Wellbeing team.
Academic Adjustments	You need long-term or ongoing support with one or more of the following: - You or your partner is pregnant or planning maternity, paternity or adoption leave - You are a parent or carer	Academic Adjustments include long-term reasonable adjustments arranged by your Department if you need additional support with learning, teaching and assessment.

Support process:	Use this if:	What this covers:
	• You observe religious beliefs or cultural customs • You are affected by any form of harassment or discrimination • You are affected by traumatic world events such as war or terrorism • You are a critical worker (e.g. NHS staff).	
Exam Adjustments	You need additional support to sit an online or in-person exam.	Exam Adjustments are specifically for Controlled Condition Exams and Take-Home Papers, and include adjustments such as extra time, rest breaks, a more comfortable chair and specialist equipment. These are available to students with a longer-term disability or health condition, and to students who need shorter-term support e.g. if you are pregnant, or have a broken arm.
Interruption of Study	You are thinking of taking time out from your studies .	Interruption of Study is for students who wish to take a break from their studies and return at a later date. You can take time out from your studies for a wide range of reasons - you might want to take up an internship or placement, take time out to travel, be planning to have children, or be facing personal challenges which are making it hard to study.
Support to Study	You are having persistent or ongoing difficulties and UCL's other support processes are not providing the right level of help.	Support to Study aims to help you if you are having significant, persistent, longer-term difficulties and UCL's normal mechanisms (e.g. Reasonable Adjustments, Extenuating Circumstances, Interruption of Study) are not providing enough support. We will work with you to put together a Support Plan to help you get the most out of your studies.

The Student Support Framework is just one of the ways in which UCL helps you to get the most out of your time with us:

This Student Support Framework	Your Personal Tutor	Your Department
This Student Support Framework explains how you can apply for formal support with your studies such as extensions, reasonable adjustments, or taking time out from your studies.	One of your first priorities should be to meet your Personal Tutor. They will help you to get the most out of your studies, and provide support and encouragement during your time with us.	Help is also available from members of staff in your UCL department including academic staff and departmental administrators. You can find their contact details on Moodle or in your Student Handbook.
UCL Student Support and Wellbeing	**FAQs and Enquiries**	**Students' Union UCL Advice Service**
UCL's team of expert wellbeing, disability and mental health staff provide a safe, confidential and non-judgemental space in which you can discuss any issues that may be affecting your ability to study.	askUCL is our self-help centre and student enquiry system. It includes a wide range of Frequently Asked Questions. If you can't find what you're looking for, you can log an enquiry.	The Students' Union UCL provides a free, confidential and independent advice service with a trained and experienced team.

1.2   Help and advice

If you have any questions about the processes in this Student Support Framework, there are a number of different people who can help:

Have a question? askUCL

- askUCL is our self-help centre and student enquiry system. It includes a wide range of Frequently Asked Questions or, if you can't find what you're looking for, you can log an enquiry.

Talk to your Department

- Your Personal Tutor is there to support and encourage you throughout your time at UCL. They can help to answer questions about your programme, teaching and assessments. If you are not sure who your Personal Tutor is, please contact your Department. Please note that some departments use a different term such as 'Academic Mentor'.
- Help is also available from other staff in your Department, such as Student Advisers, departmental administrators, your Programme Leader, Departmental Tutor and other academic staff. Each UCL Department is organised differently, so the best place to start is normally your programme's Moodle site or Student Handbook. These should include contact details for key members of staff.
- Your Department also has a named 'SoRA contact' who can help if you have any questions about your Summary of Reasonable Adjustments.
- Your 'Home' Department and Faculty are normally responsible for providing support. If you are taking any modules in another UCL Department or Faculty, you can also speak to your Module Organiser about the support available locally.

Make an appointment with UCL Student Support and Wellbeing

- UCL Student Support and Wellbeing is a team of expert wellbeing, disability and mental health staff. They provide a safe, confidential and non-judgemental space in which you can discuss any issues that may be affecting your ability to study. You can make an appointment, attend drop-in sessions or contact them via askUCL.
- More information: UCL Student Support and Wellbeing

Talk to the Students' Union UCL Advice Service

- The Students' Union UCL provides a free, confidential and independent advice service run by a trained and experienced team. They can talk to you about concerns that you might have relating to Extenuating Circumstances, Interruptions, SoRAs, Support to Study and other forms of support.
- More information: Students' Union UCL Advice Service

1.3 Who can use this Framework

This section explains how the Student Support Framework applies to different groups of students.

1.3.1 Level of study

1. The Student Support Framework applies to all UCL Undergraduate and Taught Postgraduate students.

2. If you are a Postgraduate Research student, some of the procedures apply to you (for example Summaries of Reasonable Adjustments) but there are also some differences for doctoral level study (e.g. how Interruption of Study works). The Doctoral School website explains the support available to you.

3. UCL Short Course Learners may be eligible for some forms of support through these procedures – please check your course literature for details.

1.3.2 Home and Teaching Departments

1. Your 'Home' Department and Faculty are normally responsible for providing support and approving requests made through this Framework.

2. If you are taking any modules in another UCL Department or Faculty, your 'Teaching' Department may need to approve some forms of support to make sure adjustments are possible and appropriate in the local context.

3. Throughout this Framework, when you see the word 'Department' this also covers local variations such as divisions, institutes, short course providers etc.

1.3.3 Study abroad programmes

1. If you are on a Study Abroad programme, UCL has overall responsibility for your support, but you should also be able to access support at your Teaching Institution.

2. Your Teaching Institution should provide the following (although please note that they may use different terminology):

   - Short-term Extenuating Circumstances mitigations such as a coursework extension or condoned late submission
   - Reasonable Adjustments for disabled students
   - Exam Adjustments
   - Academic Adjustments

3. You should use UCL's regulations to apply for:

   - Any Extenuating Circumstances mitigation which might affect your UCL progression, award and/ or classification, such as deferrals
   - An Interruption of Study
   - A Support Plan or Support to Study Panel.

4. Before you go on Study Abroad, you are encouraged to contact <u>UCL Student Support and Wellbeing</u> to discuss your plans. If you have a disability or long-term condition, your SSW adviser can also liaise with your Teaching Institution to put reasonable adjustments in place for you, and can discuss whether you will continue to engage with any support at UCL.

1.3.4 Affiliate students

1. If you are an incoming Affiliate or Intercollegiate student, your Home Institution normally has overall responsibility for your support, but you can also access some forms of support at UCL.

2. You should use UCL's regulations if you need help with any of the following while you are registered with UCL:

- Short-term Extenuating Circumstances mitigations such as a coursework extension or condoned late submission
- Reasonable Adjustments for disabled students
- Academic Adjustments
- Exam Adjustments

3. Your Home Institution should provide the following (although please note that they may use different terminology):

- Any Extenuating Circumstances mitigation which might affect your UCL progression, award and/ or classification, such as deferrals
- An Interruption of Study
- A Support Plan or Support to Study Panel.

4. If you have a disability or long-term condition, <u>UCL Student Support and Wellbeing</u> can liaise with your Home Institution to put reasonable adjustments in place for you at UCL.

1.3.5 Placement programmes

1. If you are on a UCL programme with a placement element, UCL has overall responsibility for your support needs, but your placement provider should also provide some support.

2. Your placement provider should arrange the following (although please note that they may use different terminology):

- Reasonable Adjustments for disabled students

3. You should use UCL's regulations if you need academic support, for example with:

- Extenuating Circumstances mitigations for any assessments that you need to complete
- Academic Adjustments
- An Interruption of Study
- A Support Plan or Support to Study Panel.

4. Before you start your placement, you are encouraged to contact <u>UCL Student Support and Wellbeing</u> to discuss your plans. If you have a disability or long-term condition, your SSW adviser can also liaise with your placement provider to put reasonable adjustments in place for you, and can discuss whether you will continue to engage with any support at UCL.

1.3.6 Joint and dual degrees

1. If you are on a joint or dual degree (where your programme is delivered in partnership with another institution) you should follow the regulations of the institution that you are currently registered with e.g. if you are taking years 1 and 2 at UCL, you should use UCL's regulations for those years; if you are taking years 3 and 4 at the partner institution, you should use the partner's regulations for those years.

2. Please note that the partner institution may use different terminology for different processes.

3. UCL and the partner institution may share necessary information, such as your SoRA adjustments, with each other to ensure that you are fully supported throughout your studies. <u>Section 1.4: Confidentiality and Looking After Your Data</u> includes more information.

1.4   Confidentiality and Looking After Your Data

1. This section explains how UCL's Student Privacy Notice applies in relation to the Student Support Framework.

2. There are two main categories of data which fall under this Student Support Framework:

   a) **Personal Data:** This is any information which identifies you as an individual. It may include your name, date of birth, nationality or other datapoints which, when combined, identify you.

   b) **Special Category Personal Data (Sensitive):** This is personal data that is seen as being particularly sensitive and that needs to be processed by organisations with extra care and attention. This includes health data and any medical evidence that you submit when you apply for support. It also covers information about your race, ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data, sex life, or sexual orientation.

3. The following table gives some examples of the differences between Personal Data and Special Category Personal Data (Sensitive) in the context of the Student Support Framework:

	Personal Data	**Special Category Personal Data (Sensitive)**
Extenuating Circumstances	• That you have submitted an Extenuating Circumstances claim • The type of mitigation that you have received e.g. deferral, extension • The mark that you have received for a particular assessment	• Your reasons for submitting an Extenuating Circumstances claim • Supporting evidence including doctor's letters, death certificates, solicitor's letters • Information about a medical or mental health condition • Information about traumatic experiences
Reasonable Adjustments	• That you have a Summary of Reasonable Adjustments • The adjustments which your department is required to provide e.g. regular extensions, notes in advance, lecture recordings	• Information about the nature of your disability, specific learning difference, social difference or communication difference • Why you need a particular reasonable adjustment • Supporting evidence e.g. doctor's letters, funding applications
Interruption of Study	• That you have interrupted your studies	• Your reasons for interrupting your studies • Supporting evidence e.g. doctor's letters

4. In the context of the Student Support Framework, this means that:

   a) **Personal Data** can be accessed by relevant UCL academic and professional services staff who have been given an approved staff login to UCL's Student Records system, 'Portico'. This includes (but is not limited to) Module Organisers,

Personal Tutors, Departmental Tutors, Faculty Tutors, departmental administrators, your Board of Examiners, and central registry staff.

b) **Special Category Personal Data (Sensitive)** can only be accessed on a 'need-to-know' basis by members of staff who are directly responsible for approving your support.

If you are worried about sharing sensitive information

5. In certain situations, you may be asked whether you give your consent for UCL to process information about you, or to decide how much information you want to share with whom. For example, if you are applying for a Summary of Reasonable Adjustments (SoRA), your Student Support and Wellbeing Adviser may ask you how much information you want to share with staff in your Department.

6. We understand that it can feel difficult to share detailed information with your tutors and lecturers, but your Department can support you more effectively if you do share information about your circumstances with them.

7. If you don't feel comfortable discussing personal issues with your Department, you can speak to the UCL Student Support and Wellbeing team or to the Students' Union UCL Advice Service.

8. In some cases, it is also possible to request that your application is considered by your Faculty rather than your Department e.g. if you are applying for Extenuating Circumstances or an Interruption – please refer to the relevant procedures for further details.

1.5   Providing Supporting Evidence

1.5.1   Introduction

Why do I need to provide evidence?

1. You may be asked to provide medical or non-medical evidence to access some forms of support. This helps UCL to determine your eligibility for different types of support, arrange adjustments to teaching or living spaces, and make changes to your registration status.

Help and advice

2. If you have any questions about obtaining evidence, Section 1.2: Help and Advice includes information about the different people who can help you.

3. If you are having any difficulties obtaining evidence, please speak to your Personal Tutor or Department. If you would prefer to talk someone outside of your Department, you can speak to a UCL Student Support and Wellbeing adviser or the Students' Union UCL Advice Service.

Confidentiality

4. Any evidence that you provide is classed as 'Special Category Personal Data (Sensitive)' which means that it can only be accessed on a 'need-to-know' basis by members of staff who are directly responsible for approving your support. Section 1.4: Confidentiality and Looking After Your Data includes more information.

Falsification is a serious offence

5. If you submit fraudulent evidence you will be subject to UCL's Student Academic Misconduct Procedures. If you are struggling with your studies, please seek help - Section 1.2: Help and Advice includes details of a wide range of support services.

6. In order to verify the authenticity of evidence and evidence providers, UCL reserves the right to conduct internet or third-party searches.

1.5.2   When do I need to provide evidence?

Type of Support	Evidence Requirements
Short-term Illness and Other Extenuating Circumstances	• You may be eligible to 'self-certify' within certain criteria. This means that you still need to make an application and meet UCL's Grounds for ECs, but you do not need to provide supporting evidence. See Section 2.7: Self-certification for more details. • For all other claims you will be asked to provide supporting evidence. This may be medical or non-medical evidence, depending on your circumstances.
Reasonable Adjustments for Disabilities and Long-term Conditions	• You will be asked to provide supporting medical evidence to ensure your adjustments align with the Equality Act (2010).
Academic Adjustments	• Academic Adjustments do not normally have any evidence requirements.
Exam Adjustments	• You will be asked to provide supporting medical evidence to ensure your adjustments align with the Equality Act (2010).

Interruption of Study	'Category 1' Interruptions do not normally require evidence. - You will be asked to provide supporting evidence for a 'Category 2' Interruption or an earlier Return Date. This may be medical or non-medical evidence, depending on your circumstances. - If you are interrupting for reasons related to health and wellbeing, you may be subject to a Return to Study Welfare Review and will be asked to provide medical evidence.
Support to Study	- Support Plans do not normally have any evidence requirements. - If you are referred to the Support to Study Panel, you will be given the opportunity to submit a statement and supporting evidence. This may be medical or non-medical evidence, depending on your circumstances.
Other support from Student Support and Wellbeing	Many UCL support services are available without any evidence. You can find out more about the support available to you on the UCL Student Support and Wellbeing website.

1.5.3   Sensitive and traumatic circumstances

1. UCL understands that it can be distressing to be asked for 'evidence' in the case of very sensitive circumstances such as the death of a close relative, harassment, discrimination or sexual assault. We also understand that it can be very difficult to provide evidence of particularly traumatic events such as war or terrorism. If there are compelling reasons for making an exception, it may be possible to either suspend the need for formal evidence or accept alternative forms of evidence.

2. If you would like to be considered for an evidence waiver, the best place to start is with your Personal Tutor, Student Adviser or another trusted person in your Department. They can then liaise with your Faculty Tutor and/ or UCL Student Support and Wellbeing on what might be possible for the particular type of support that you need.

3. If you want to speak to someone confidentially, the UCL Student Support and Wellbeing team and the Students' Union UCL Advice Service are also here to help you.

1.5.4   Medical evidence

1. Medical evidence needs to be:

   - Provided by a qualified doctor or other registered medical practitioner – this normally means registered with the UK General Medical Council. We may be able to consider evidence provided by a practitioner outside of the UK but they must be registered with an equivalent overseas professional medical body.
   - In English - we may be able to consider evidence in another language but this must be accompanied by a certified translation.
   - Independent - in line with the UK General Medical Council's guidance, we are unable to accept evidence which is produced by a close relative, even if they are medically qualified.
   - On letterheaded paper or stamped with an official stamp or seal (however, it can be scanned and sent electronically).
   - Recent – which we would normally define as having been produced within the last three months (if you are applying for a Summary of Reasonable Adjustments (SoRA) relating to a disability or long-term condition, you may be able to provide evidence

that has been produced within the last 12 months. Please speak to you Student Support and Wellbeing Adviser for more information).

- For Extenuating Circumstances, cover the full the period of time for which you are making a claim.

2. Your medical evidence should cover the following key points. We expect some variation in submissions and it is possible that some of these points will not be relevant to your circumstances:

- Your full name
- Date
- Evidence provider's full name, role, organisation and signature
- Name of the condition or disability
- Date of diagnosis
- Period of time that you have been seeing the practitioner for this condition
- Length of time that the practitioner expects the condition to last
- Main symptoms of this condition which could impact on your life or studies
- Current treatment and medication being undertaken
- Side effects of any treatments or medication, if applicable
- For Extenuating Circumstances, a professional evaluation of how the circumstance affects your ability to complete assessments (e.g. are you unable to submit coursework at the current time? Could you complete an exam with additional support such as specialist equipment or rest breaks?).

3. In order to help your doctor or provider produce evidence that is as thorough and accurate as possible, you may wish to share these UCL regulations with them.

4. If you are applying for a Summary of Reasonable Adjustments (SoRA) relating to a disability or long-term condition, your Student Support and Wellbeing Adviser may be able to give you an appropriate template to give to your doctor or provider to complete.

Returning from an Interruption of Study

5. If you are required to attend a Welfare Review as part of your return from an <u>Interruption of Study</u>, we also expect your medical practitioner to comment on the following:

- That your studies will not be detrimental to your health, or your health to your studies
- Possibility of relapse
- Arrangements for ongoing support if these are needed
- Your support network.

Specific Learning Differences (SpLD)

6. To arrange support for students with specific learning differences, UCL requires a full diagnostic assessment carried out by a psychologist with a practicing certificate or a specialist teacher holding an assessment practicing certificate. If you have a partial assessment, such as a 'Form 8' report, then you will be advised to get a full assessment.

7. Please note that there are deadlines for providing evidence for <u>Exam Adjustments</u> – the <u>Exams and Assessments website</u> includes the most up-to-date information.

If you have had an appointment with UCL Student Psychological and Counselling Services (SPCS)

8. <u>UCL Student Psychological and Counselling Services (SPCS)</u> may be able to provide evidence if you have had an appointment with the service. SPCS can only provide evidence covering the period for which you are seeking support and cannot provide evidence retrospectively.

1.5.5　Non-medical evidence

1. Non-medical evidence needs to come from an appropriate, independent and verifiable authority such as:

   - A solicitor
   - A midwife or adoption specialist
   - A registrar of births, marriages and deaths
   - An undertaker or coroner
   - A police or fire officer
   - A court or tribunal officer
   - If you are a critical worker, your Programme Leader may be able to provide confirmation of your professional status.

2. Non-medical evidence needs to be:

   - In English - we may be able to consider evidence in another language but this must be accompanied by a certified translation.
   - Recent – which we would normally define as having been produced within the last three months.
   - Independent - we are unable to accept evidence which is produced by a close relative even if they are professionally qualified.
   - On letterheaded paper or stamped with an official stamp or seal (however, it can be scanned and sent electronically).
   - For Extenuating Circumstances, cover the full the period of time for which you are making a claim.

3. Non-medical evidence can include existing documents, such as an appointment letter, crime report or court document, or it can be specifically written for you in a letter or statement. There is no standard format, so we expect some variation in submissions.

4. Your non-medical evidence should cover the following key points. It is possible that some of these points will not be relevant to your circumstances:

   - Your full name
   - Date
   - The evidence provider's full name, role, organisation and signature
   - A description of the nature and severity of your circumstances
   - A professional evaluation of how the circumstance affects you (e.g. are you unable to submit coursework at the current time? Could you complete an exam with additional support such as specialist equipment or rest breaks?).
   - Precise dates of when the circumstance started and ended/ is expected to end.

5. In order to help your doctor or provider produce evidence that is as thorough and accurate as possible, you may wish to share these UCL regulations with them.

1.6   Other Support Options

In addition to the Student Support Framework, you can speak to your Personal Tutor about whether any of the following might be suitable for you:

Support process	What this includes	Further information
Module Substitution	If you are struggling with a particular module, it may be possible for you to substitute it with a different module, as long as you can still meet your programme diet's requirements. You will need to meet certain criteria.	• Chapter 3, Section 2: Module Selection • Students' website
Change of Mode of Attendance	If you are struggling to study Full Time, it may be possible for you to transfer to Part Time or Flexible/ Modular if your programme includes this option. Please note that this is generally only available at Taught Postgraduate level, but it may be possible to make exceptional arrangements for an Undergraduate student.	• Chapter 3, Section 6: Change of Mode of Attendance • Students' website
Programme Transfer	It may be possible for you to transfer to another UCL programme if it would be a better fit for you. You will need to meet certain criteria.	• Chapter 3, Section 5: Programme Transfers • Students' website

2 Short-term Illness and other Extenuating Circumstances

2.1 What are Extenuating Circumstances?

1. 'Extenuating Circumstances' (often know as 'ECs') are events which are **sudden, unexpected, significantly disruptive and beyond your control** and which may affect your performance at **summative assessment**, such as a serious illness or the death of a close relative.

2. You can submit an Extenuating Circumstances claim to access 'mitigation' such as an extension or deferring an assessment to a later date.

Help and advice

3. If you are not sure whether you should use Extenuating Circumstances, Section 1: How to Use This Framework includes details of all the different support that is available to you.

4. Help with using these procedures is available from your Personal Tutor, your Department and a wide range of UCL support services. Section 1.2: Help and Advice includes more information.

Looking after your data

5. UCL will look after your data carefully and sensitively. Where your personal information needs to be shared with members of the UCL community in order to facilitate your support, this will be done only with your consent and on a 'need-to-know' basis. Section 1.4: Confidentiality and Looking After Your Data includes more information.

2.2 When to use these procedures

1. Extenuating Circumstances are designed for emergencies. If your circumstances are not sudden, unexpected and beyond your control, UCL has a wide range of other options to support your studies – please see Section 1: How to Use This Framework for more details.

Who can use these procedures

2. These Extenuating Circumstances regulations apply to all UCL Undergraduate and Taught Postgraduate students, and to UCL Postgraduate Research students taking taught components/ modules.

3. Please refer to Section 1.3: Who Can Use This Framework for detailed information on the arrangements for Affiliate students, Intercollegiate students, Study Abroad, Placements, Joint Degrees, and Short Courses.

Formative and summative assessments

4. ECs apply to summative assessments only (i.e. formal assessments where your results count towards your degree). You do not need to submit EC claims for formative assessments.

Attendance requirements

5. You only need to apply for ECs if your summative assessment is affected. If you miss a class or teaching event, please refer to the UCL Student Attendance Policy for more details.

2.3   Quick guide: How to apply

Step 1:	**Read these procedures carefully**	Make sure that you know what you need to submit and the deadline for submitting claims.	
Step 2:	**Check whether your circumstances are covered**	UCL's 'Grounds for ECs' explain what will normally be considered.	See <u>Section 2.5: Grounds for Extenuating Circumstances</u>
Step 3:	**Complete an EC application**	**You can make an EC claim through <u>Portico</u>.**	
Step 4:	**Self-certify or get supporting evidence**	You can self-certify for ECs within certain conditions. If you are not eligible for self-certification, you will be asked to provide supporting evidence.	See <u>Section 2.7: Self-Certification</u> See <u>Section 1.5: Providing Supporting Evidence</u>
Step 5:	**Submit your claim**	Self-Certified claims must be submitted **before the assessment deadline/ date**. All other EC claims should be submitted as soon as possible, and **no more than one week (five working days) after the first affected assessment**.	See <u>Section 2.7: Self-Certification</u>
Step 6:	**Your claim will be considered by your department**	Your department will decide whether your claim meets the criteria and which mitigation is suitable for your circumstances. Your department may also need to seek approval from your faculty or from the Vice-Provost (Education and Student Experience) for some types of mitigation.	See <u>Section 2.6: Mitigations</u>
Step 7:	**You will receive a written response as soon as possible**	You should receive a response as soon as possible and no more than ten working days after submitting your application (unless you are submitting your evidence late). There may be good reasons why a decision cannot be made within this timeframe – for example if your case needs to be escalated to your Faculty EC Panel. If this is the case, the panel will let you know, within ten working days of receiving your application, that more time is needed to process your claim.	See <u>Section 2.9: If you miss the deadline for EC claims</u>

2.4 Before you apply

1. Please note the following important information before making an application.

Mitigations available

2. The EC application form will ask you which type of mitigation you would prefer. This will be used to determine how your request is processed but does not determine the outcome of your request. The type of mitigation offered is at the discretion of UCL, and will take the following factors into consideration:

   a) The severity of your personal circumstances, and
   b) Academic need (e.g. type of assessment, discipline, timing of the assessment), and
   c) The requirements of any Professional, Statutory and Regulatory Bodies, which may not permit some forms of mitigation, and
   d) Fairness to all students in your year and over time, and
   e) Protecting the academic standards of the degrees awarded by UCL.

'Compelling Reasons'

3. At various stages of this procedure you will find regulations which allow UCL to make an exception. Exceptions will only be considered if there are compelling reasons for doing so; they are not a student entitlement. You should expect that the normal procedures will apply to you.

Your Home and Teaching Departments

4. Your 'Home' Department and Faculty are responsible for assessing your claim. If you are taking an interdepartmental module, your Home Department/ Faculty should consult with your Teaching Department to ensure that the mitigation is possible and appropriate.

Group work

5. If you are working in a group with other students, the EC Panel may consider the impact of your ECs on other students in the group, for example if the EC prevents the group from meeting the deadline or from completing the required work.

If your ECs affect multiple assessments

6. An EC claim can cover more than one assessment – make sure you specify all of the affected assessments on your application.

Multiple claims for the same circumstances

7. ECs are designed to cover short-term problems which are sudden and unexpected. If you submit multiple requests for the same condition or for the same assessment, and your Department/ Faculty considers that you are having a longer-term difficulty, you may be referred to UCL Student Support and Wellbeing for a Summary of Reasonable Adjustments (SoRA), or to the Support to Study Procedure for additional support. The normal course of action is for the EC Panel to accept the EC claim in hand, but let you know that further EC claims for the same condition are unlikely to be approved.

If you have a longer-term condition or needs

8. If you need long-term or ongoing support UCL has a wide range of options including Reasonable Adjustments for Disabilities and Long-term Conditions and Academic Adjustments. However, there may still be occasions where you need to use the EC procedures for additional help. Section 3.5: Acute Episodes and Fluctuating Conditions includes more information.

If you cannot submit a claim yourself

9. If you are unable to make an application for yourself, your next of kin (e.g. parent, partner) may submit a request on your behalf. A member of staff can assist you or your next of kin in completing an application, but they are not permitted to submit a request without your consent.

If you are worried about disclosing sensitive information

10. Any sensitive information will only be accessible to members of staff who are directly involved in making a decision on your claim (see Section 1.4: Confidentiality and Looking after your Data).

11. If you are concerned about disclosing particularly sensitive circumstances to your department, you can indicate on your application that you would like your claim to be considered by your Faculty EC Panel.

Assessment feedback

12. Please note that, if you submit after the published deadline as a result of an extension or deferral, the one-month UCL Assessment Feedback Turnaround policy will apply from the day that you submit your work, and not from the original deadline.

Falsification is a serious offence

13. If you submit a fraudulent EC claim or evidence you will be subject to UCL's Student Academic Misconduct Procedures. If you are struggling with your studies, please seek help – Section 1.2: Help and Advice includes details of a wide range of support services.

'Working days'

14. Throughout this procedure, deadlines are stated in 'working days'. This means every calendar day except weekends, UK Bank Holidays and UCL College Closure Days. Any other vacation periods or reading weeks count as working days.

2.5   Grounds for Extenuating Circumstances

The following guidance sets out the types of circumstances which will normally be considered. The examples under different categories should help you understand whether you can make a claim. UCL also uses this guidance to ensure that students in different departments and faculties are treated fairly.

	GROUNDS FOR EXTENUATING CIRCUMSTANCES		
	CATEGORY A:	**CATEGORY B:**	**CATEGORY C:**
	Circumstances which will normally be considered:	Circumstances that may be considered where there is a substantial impact on you:	Circumstances that will not normally be considered:
Bereavement	• Bereavement for a child, sibling, parent, carer, spouse or partner	• Bereavement for a grandparent, aunt, uncle or other relative not identified in Category A • Bereavement for a friend	
Short-term medical conditions	• Serious personal injury, medical condition or mental health condition	• Moderate personal injury, medical condition or mental health condition	• Minor illnesses or injuries (such as coughs, colds, headaches, hayfever) • Circumstances supported by evidence from unregistered medical practitioners, such as alternative therapists
Long-term medical conditions	• Serious worsening or acute episode of an ongoing disability, medical condition or mental health condition	• Circumstances where there is insufficient time to put Reasonable Adjustments in place • New disabilities or long-term medical or mental health conditions • Medical or mental health conditions which fluctuate unpredictably • A severe long-term illness which can only be addressed by an extension, deferral or other form of one-off mitigation • Gender confirmation	• An ongoing disability, medical condition or mental health condition (you should apply for a Summary of Reasonable Adjustments) • Conditions which have lasted and remained unchanged for more than 12 months (you should apply for a Summary of Reasonable Adjustments)

	GROUNDS FOR EXTENUATING CIRCUMSTANCES		
	CATEGORY A: Circumstances which will normally be considered:	**CATEGORY B:** Circumstances that may be considered where there is a substantial impact on you:	**CATEGORY C:** Circumstances that will not normally be considered:
Pregnancy and maternity	• Serious complications in pregnancy or maternity	• Moderate illness due to pregnancy or maternity e.g. morning sickness	• Pregnancy or maternity where there are no complications (you should apply for Academic Adjustments, Exam Adjustments or an Interruption of Study) • Paternity, parental or adoption leave (you should apply for Academic Adjustments or an Interruption of Study)
Parenting and caring	• Serious injury or illness in a child, sibling, parent, spouse or partner	• Serious illness of a grandparent, aunt, uncle or relative not identified in Category A • Serious illness of a friend • Unexpected caring responsibilities for a child, sibling, parent, spouse, partner or other close relative • A breakdown of your normal childcare arrangements	• Relatives with minor illnesses or injuries (such as coughs, colds, headaches, hayfever etc.) • Day-to-day childcare • School holidays
Major incidents	• Direct experience of a terrorist incident, war or natural disaster • Major fire in residence	• Direct experience of war, terrorist incident or natural disaster by a child, sibling, parent, spouse, partner or other close friend or relative • Serious travel or other disruption caused by a terrorist incident, war or natural disaster	• Booked travel arrangements • Minor private or public transport failure • Missed or delayed trains, tubes or buses • Poor time-keeping
Crime	• Victim of violent crime (e.g. assault, mugging, sexual assault, rape)	• Victim of non-violent crime • Theft of work required for assessment	• Victim of petty theft e.g. mobile phone theft, bicycle theft or car break-in (unless these involve mugging or assault)

	GROUNDS FOR EXTENUATING CIRCUMSTANCES		
	CATEGORY A:	**CATEGORY B:**	**CATEGORY C:**
	Circumstances which will normally be considered:	Circumstances that may be considered where there is a substantial impact on you:	Circumstances that will not normally be considered:
Family and personal difficulties	• Domestic abuse	• Family breakdown (such as divorce) • See above for parenting and caring responsibilities	• Booked holidays • Trips to see family abroad • General domestic/ family problems
Financial difficulties		• Serious financial problems preventing you from studying	• General financial problems
Housing difficulties		• Serious housing problems preventing you from studying	• Moving home • General housing problems
Work and other commitments	• Professional emergencies e.g. medical, police, fire	• Major changes in professional commitments affecting your ability to study • Changes to work commitments for critical workers (e.g. NHS staff)	• Ongoing work commitments • Participation in extra-curricular activities (e.g. sport) • Time spent on job/internship applications/ interviews
Academic work		• Serious problems with academic project work e.g. obtaining ethical approval, equipment failure, problems with sample collection	• General exam or assessment worries • Fasting during an exam (please refer to the Academic Adjustments procedure) • Visa problems • Poor time management • Failure of IT equipment/ printers • Failure to back up documents
Court appearance	• Jury Service • Attendance at court or tribunal as a witness, defendant or plaintiff		• Supporting a relative or friend at court
Other			• Circumstances which are foreseeable or preventable

	GROUNDS FOR EXTENUATING CIRCUMSTANCES		
	CATEGORY A:	**CATEGORY B:**	**CATEGORY C:**
	Circumstances which will normally be considered:	Circumstances that may be considered where there is a substantial impact on you:	Circumstances that will not normally be considered:
			- Claims that you were unaware of the dates or times of submission or examination - Circumstances which do not relate to the timing of the assessment - Late disclosure of circumstances on the basis that you felt unable to follow the UCL EC procedures - Circumstances without reasonable supporting evidence (medical or otherwise) unless you are eligible for self-certification - Circumstances supported by evidence from a relative or other person with a conflict of interest.

2.6   Mitigations

1. The 'Mitigation Options' table indicates the types of mitigation that are available through these Extenuating Circumstances procedures.

2. The EC application form will ask you which type of mitigation you would prefer. This will be used to determine how your request is processed but does not determine the outcome of your request.

3. You should expect to receive a Category 1 or 2 mitigation. These mainly centre around giving you additional time to complete an assessment. This is usually in the form of either an extension or a 'deferral':

    a) A deferral is the opportunity to take an assessment as if for the first time and without penalty. Deferrals normally take place at the 'next normal occasion' which is typically the Late Summer Assessment Period. The regulations for deferrals can be found in Chapter 4, Part A, Section 8: Deferred Assessment.

4. In exceptional circumstances, if the Departmental EC Panel agrees that the options in Category 1 or 2 will not provide sufficient mitigation for you, your case may be escalated to the Faculty EC Panel to consider a Category 3 mitigation.

5. In extraordinary circumstances, if the Departmental or Faculty EC Panel agrees that the options in Category 3 will not provide sufficient mitigation for you, your Faculty may make a recommendation to the Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education and Student Experience) to consider a Category 4 mitigation.

MITIGATIONS OPTIONS				
	Assessment Type	**Recommended Mitigation**	**Minimum Approval Level**	**Evidence Requirements**
CATEGORY 1: Self-Certified Mitigations	Controlled Condition Exam	1. Deferral without Tuition to the next normal occasion (typically the Late Summer Assessment Period).	Departmental Extenuating Circumstances Panel	You can self-certify within specified conditions – see Section 2.7: Self-Certification. If you do not meet the self-certification criteria, evidence is required.
	Take-home paper (including 24-hour assessments)	2. Extension of 2 hours per 24-hour period (e.g. a 48-hour paper would be extended by 4 hours).		
	Quizzes & In-class tests	3. Deferral without Tuition to the next normal occasion (timing determined by the department).		
	Practical exam	4. Deferral without Tuition (timing determined by the department).		
	Dissertation/ research project	5. Extension of up to 2 weeks (10 working days).		
	Coursework and other assessments	6. Extension of up to 1 week (5 working days).		

	Assessment Type	**Recommended Mitigation**	**Minimum Approval Level**	**Evidence Requirements**
MITIGATIONS OPTIONS				
CATEGORY 2: Evidenced Mitigations	As appropriate	7. Suspension of the <u>Late Submission Penalties</u>. 8. Coursework extension longer than 1 week. 9. Dissertation/ research project extension longer than 2 weeks. 10. <u>Deferral</u> without Tuition: Not at the next normal occasion. 11. <u>Deferral</u> without Tuition for assessments immediately prior to a period of <u>Interruption</u>. 12. <u>Deferral</u> with Tuition. 13. <u>Deferral</u> with Tuition for lectures, seminars, tutorials, supervision or other teaching events immediately prior to a period of <u>Interruption</u>. 14. Exclude component from <u>module calculation</u>: Maximum 10% weighting.	Departmental Extenuating Circumstances Panel	Evidence required
CATEGORY 3: Exceptional Mitigations	As appropriate	15. Extension longer than 12 weeks. 16. Alternative Method of Assessment allowing the student to demonstrate achievement of the same learning outcomes (subject to consultation with the Programme Leader and approval by the External Examiner). 17. Exclude component from <u>module calculation</u>: 11 to 50% weighting. 18. Exclude module from <u>Progression/ Award Requirements</u>: Maximum 30 credits. 19. Exclude module from <u>Classification</u> calculation: Maximum 30 credits. 20. Exclude module from <u>Progression/ Award Requirements</u> and <u>Classification</u> calculation: Maximum 30 credits. 21. <u>Transfer</u> to Part-Time study (UG and PGT students), or Flexible-Modular study (PGT students only) where possible in the curriculum.	Faculty Extenuating Circumstances Panel	Evidence required

	MITIGATIONS OPTIONS			
	Assessment Type	**Recommended Mitigation**	**Minimum Approval Level**	**Evidence Requirements**
CATEGORY 4: Extraordinary Mitigations	As appropriate	22. Exclude component from <u>module calculation</u>: More than 50% weighting.	Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education and Student Experience)	Evidence required
		23. Exclude module from <u>Progression/ Award Requirements</u>: More than 30 credits.		
		24. Exclude module from <u>Classification</u> calculation: More than 30 credits.		
		25. Exclude module from <u>Progression/ Award Requirements</u> and <u>Classification</u> calculation: More than 30 credits.		
		26. Any <u>Suspension of Regulations</u> or mitigation not included in this list.		

2.7   Self-Certification

1. You can self-certify for Extenuating Circumstances on a limited number of occasions, within the following defined criteria.

2. You are expected to only submit self-certified claims that meet the criteria set out in Section 2.5: Grounds for Extenuating Circumstances.

3. Approval is not necessarily automatic. The claim decision and the type of mitigation are at the discretion of UCL.

4. You can self-certify for up to **two separate periods of up to two weeks** (ten working days) within an academic session.

5. If your programme includes teaching after Term 3 (e.g. Taught Postgraduate Masters students) you can also self-certify on a third separate occasion. The third occasion can only be used after the end of Term 3.

6. Self-certification periods should be two weeks (ten working days) apart.

7. A self-certification period can cover more than one assessment and more than one type of assessment (exam, coursework etc.).

8. Self-certified claims cannot be accepted more than two weeks (ten working days) before the first affected assessment.

9. **You can only self-certify before the assessment takes place**. Any claims submitted after the assessment has started must be accompanied by evidence. Self-certification cannot be used to defer an assessment which you have already taken, or to suspend late submission penalties.

10. You can self-certify only once for each assessment (you cannot self-certify for successive extensions on the same piece of work, for example).

11. Under the self-certification policy, you should aim to defer no more than 30 credits to the Late Summer, and must not defer more than 60 credits to the Late Summer. You should think carefully about deferring assessments - there is a possibility of having further Extenuating Circumstances or failing the assessment, and this could prevent progression to next year, delay graduation, affect job offers or impact a place on a Masters or PhD programme.

12. Where the standard self-certified mitigation is an extension, it may not be possible to make a decision before the assessment deadline/ start time. In these cases, the EC Panel may grant a retrospective extension by waiving any Late Submission Penalties that might otherwise be imposed.

13. **Falsification is a serious offence.** If you submit a fraudulent EC claim or evidence you will be subject to Chapter 6, Section 9: Student Academic Misconduct Procedures. If you are struggling with your studies, please seek help – Section 1.2: Help and Advice includes details of a wide range of support services.

2.8   Evidence

1. If you are not eligible for self-certification, your EC claim needs to be supported by written evidence from an appropriate, independent and verifiable authority such as a doctor or registered medical practitioner. Further information about the types of evidence which you might be able to use is available in Section 1.5: Providing Supporting Evidence.

2. Your evidence will need to cover the full period for which you are requesting mitigation.

    Evidence in sensitive or traumatic cases

3. UCL understands that it can be distressing to be asked for 'evidence' in the case of very sensitive circumstances such as the death of a close relative, harassment, discrimination

or sexual assault. We also understand that it can be very difficult to provide evidence of particularly traumatic events such as war or terrorism. If there are compelling reasons for making an exception, the Department should escalate the claim to the Faculty EC Panel which is authorised to use its discretion to either suspend the need for formal evidence or accept alternative forms of evidence.

Additional evidence

4. If the EC Panel does not have enough evidence to make a decision, you may be asked to provide new or additional evidence. You will need to provide the additional evidence within four weeks of being contacted. If you do not submit the requested evidence, your claim will normally be rejected.

2.9 If you miss the deadline for EC claims

Late evidence

1. If you cannot obtain the necessary evidence in time to submit your EC claim, you must still submit your application on time and indicate that your evidence is to follow.

2. You must submit your late evidence no more than four weeks after submitting your EC application. A decision cannot be made until your evidence is received. This may affect the type of mitigation that is available to you.

Late claims

3. Extenuating Circumstances claims should be submitted as soon as possible, and normally no more than one week after the first affected assessment. Extenuating Circumstances claims cannot be considered through these procedures once your formal results have been published. However, you have the right to appeal your results via the Academic Appeals Procedure.

2.10 Requesting a review of an Extenuating Circumstances decision

1. You cannot contest the outcome of an EC request on the grounds of academic or professional judgement. However, you may request a review of an EC decision if you feel that there has been a significant procedural error in the handling of your request.

2. Requests for review must be submitted within two weeks of the mitigation decision.

3. Decisions made by Departmental EC Panels should be reviewed by the Chair of the Faculty EC Panel.

4. Decisions made by Faculty EC Panels should be reviewed by an Assessor appointed by the Director of Education Services or Director of Student Operations as appropriate (typically an FECP Chair from another Faculty).

5. The FECP Chair or Assessor should consider the request and make one of the following decisions:
   a) To uphold the original decision, or
   b) To retain the original decision but amend specific details such as length of extension, Deferral deadline etc., or
   c) To make a new decision.

6. The FECP Chair or Assessor should communicate their decision to you in writing within one week of receiving the request.

2.11   Appeals

1. You cannot appeal against an academic or professional judgement that has been reached through due process by an Extenuating Circumstances Panel. However, if you are dissatisfied with your progression, award or classification outcome, you may be able to appeal within specified grounds via the Academic Appeals Procedure, where consideration can be given to whether UCL applied its Regulations and Procedures correctly and whether any decision was reasonable and proportionate.

2.12   Regulations for Departments and Faculties

2.12.1   Approval Process

1. The Faculty Extenuating Circumstances Panel is responsible for all EC decisions made by the departments under its remit. The following bodies are authorised to assess claims:

Category	Type of Mitigation	Approval Needed	Evidence Needed
Category 1:	Self-Certified Mitigations	Departmental Extenuating Circumstances Panel	Students can self-certify within specified conditions – see Section 2.7. If they do not meet the self-certification criteria, evidence is required.
Category 2:	Evidenced Mitigations	Departmental Extenuating Circumstances Panel	Evidence required
Category 3:	Exceptional Mitigations	Faculty Extenuating Circumstances Panel	Evidence required
Category 4:	Extraordinary Mitigations	Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education and Student Experience)	Evidence required

2. While Panels are responsible for all decisions, the administration of claims may be carried out by appropriate academic and/ or professional services staff under the supervision of the Panel Chair and Deputy Chair. This may include approval of self-certified claims that meet all of the relevant criteria. Any uncertain or edge cases should be considered by the full Panel.

3. When liaising with other departments, faculties, colleges or institutions, the discussion should focus on the type of mitigation. Sensitive personal data, such as details of the EC itself, should only be disclosed where it is essential to supporting the student. Please read Section 1.4: Confidentiality and Looking After Your Data for further information.

4. When assessing interdepartmental claims, approvers are asked to ensure that they consult with the Teaching Department to check that the mitigation is appropriate. Different disciplines have different practices, for example with regards to publishing assessment solutions or setting new assessment tasks, and these might not align with local assumptions.

2.12.2 Faculty Extenuating Circumstances Panels

1. Each UCL Faculty must have a Faculty Extenuating Circumstances Panel (FECP) which operates under the following Terms of Reference:

   a) To oversee decision-making for all EC claims submitted by students in the Departments under the Faculty's remit.
   b) To provide Departments with advice and guidance, with a particular focus on the types of mitigation that may be appropriate and/ or restricted in a given discipline or area of professional practice.
   c) To make decisions on Category 3 claims, and on Category 1 or 2 claims that have been escalated from departments.
   d) To consider Category 1 and 2 claims where the student has requested that sensitive information is not shared with their department (see Section 1.4).
   e) To make recommendations on Category 4 claims to the Director of Education Services or Director of Student Operations as appropriate where necessary and appropriate.

2. The FECP must be constituted as follows:

   a) The FECP should be chaired by the Faculty Tutor or equivalent. A Deputy Chair must be nominated to stand in for the Chair where necessary.
   b) In addition to the Chair and Deputy Chair, the FECP must include at least two members of senior faculty staff such as Faculty Graduate Tutors, Programme Leaders, Departmental Tutors and senior Professional Services staff.
   c) The FECP secretary should be a named member of staff from the Faculty teaching administration team.
   d) External Examiners must not be members of the FECP.

3. FECPs may 'meet' in person, online or by asynchronous messaging. All decisions must be dated and recorded in writing.

4. 'Meetings' should include a minimum of three members, including either the Chair or Deputy Chair.

5. The Chair or Deputy Chair of the FECP are entitled to take Chair's Action.

6. FECP members who have a personal or professional conflict of interest with any student being considered must withdraw from the discussions about that student.

2.12.3 Departmental Extenuating Circumstances Panels

1. Each UCL Department must have a Departmental Extenuating Circumstances Panel (DECP) with the following Terms of Reference:

   a) To make decisions on Category 1 or 2 claims.
   b) To escalate claims to Category 3 and 4 where necessary and appropriate.
   c) To follow Faculty policies and guidance on the types of mitigation that may be appropriate and/ or restricted in a given discipline or area of professional practice.

2. 'Department' may cover local variations such as divisions, institutes, short course providers etc.

3. The DECP must be constituted as follows:

   a) The DECP should be chaired by the Departmental Tutor. A Deputy Chair must be nominated to stand in for the Chair where necessary.
   b) In addition to the Chair and Deputy Chair, the DECP must include at least two members of senior Departmental staff such as Programme Leaders, Departmental Tutors (or equivalent) and senior Professional Services staff.
   c) The DECP secretary should be a named member of staff from the Departmental teaching administration team.
   d) External Examiners must not be members of the DECP.

4. DECPs may 'meet' in person, online or by asynchronous messaging. All decisions must be dated and recorded in writing.

5. 'Meetings' should include a minimum of three members, including either the Chair or Deputy Chair.

6. The Chair or Deputy Chair of the DECP is entitled to take Chair's Action.

7. DECP members who have a personal or professional conflict of interest with any student being considered must withdraw from the discussions about that student.

2.12.4 Assessing Claims

1. Approvers are responsible for:

   a) Making objective, impartial decisions about the validity of ECs submitted by students under their remit.
   b) Determining the most appropriate mitigation for the individual circumstances.
   c) Ensuring that all ECs are either supported by appropriate evidence or meet the criteria for self-certification.
   d) Ensuring that mitigation is only applied to the affected module(s).
   e) Ensuring that mitigation is only applied once for each assessment.
   f) Processing ECs in a timely manner.
   g) Keeping sensitive student information confidential to those directly involved in making a decision – Section 1.4: Confidentiality and Looking After Your Data includes more information.
   h) Storing all data relating to ECs securely.

2. Claims should meet the criteria in Section 2.5: Grounds for Extenuating Circumstances, which are based on sector best practice from the Academic Registrars' Council and the Office for the Independent Adjudicator for Higher Education. The examples provided are not intended to be exhaustive but are designed to manage student expectations about the help available to them and to ensure that, as far as possible, students across different Departments and Faculties are treated fairly.

3. If there is a compelling reason for making an exception, **Departmental and Faculty EC Panels** may use their discretion to:

   a) Accept an EC claim more than one week after the first affected assessment (but not after formal results have been published), or
   b) Accept alternative forms of evidence, or
   c) Accept self-certified claims for periods less than two weeks (ten working days) apart.

4. If there is a compelling reason for making an exception, **Faculty EC Panels** may use their discretion to:

   a) Suspend the evidence requirement.

5. The 'Recommended Mitigations' are designed to promote consistency across UCL and to manage student expectations about the help available to them. If there are compelling reasons for doing so, approvers may offer another form of mitigation which falls within the same Category, or escalate the claim to a higher Category.

6. For decisions relating to an Interruption of Study, the approver should determine the student's eligibility for a deferral; all other details of the interruption, such as the Date of Interruption and Date of Return, fall under the remit of the Interruption of Study Procedures (see Section 6).

7. Students should receive a decision within ten working days of their claim being submitted unless:

   a) The student submits late evidence (see Section 2.9), or
   b) The student is asked to provide new/ additional evidence (see Section 2.8), or
   c) The student has not yet provided any evidence (see Section 2.9), or

d) There are good reasons why a decision cannot be made within this timeframe, in which case the relevant panel should let the student know that more time is needed to process their claim.

8. If the claim is rejected, the decision must clearly articulate the reasons for rejection.

9. The mitigation decision should be communicated to the relevant Board of Examiners, Teaching Department or Institution (if applicable), and UCL Academic Services. Communications must only include the type of mitigation which has been agreed and should not include details of the EC itself – Section 1.4: Confidentiality and Looking After Your Data includes more information.

2.12.5 Boards of Examiners' responsibilities

1. The Board of Examiners is responsible for applying the mitigation, confirming module marks, determining whether the student may progress or graduate, and issuing official results.

2. Members of the Board of Examiners must only be notified of the mitigation decision and not the details of the EC itself - Section 1.4: Confidentiality and Looking After Your Data includes more information.

3. In order to respect the sensitive nature of students' circumstances and to ensure that the academic standards of UCL are upheld, the Board of Examiners must ensure that:

   a) Only approved ECs are considered, and
   b) New cases are not raised at the meeting of the Board, and
   c) The nature or severity of the EC is not discussed, and
   d) Marks are not adjusted in any circumstances, and
   e) Students are not raised from a fail to a pass.

3 Reasonable Adjustments for Disabilities and Long-term Conditions

3.1 What are Reasonable Adjustments?

1. In line with the Equality Act (2010), UCL is responsible for anticipating and implementing 'Reasonable Adjustments' for students with a disability. We do this by working with you to set up a 'Summary of Reasonable Adjustments (SoRA)'.

Help and advice

2. Help with using these procedures is available from UCL's Student Support and Wellbeing (SSW) team. Section 1.2: Help and Advice includes more information.

3. Your Department has a dedicated SoRA Contact. You can get in touch with them if you have any questions or concerns related to your SoRA.

Looking after your data

4. UCL will look after your data carefully and sensitively. Where your personal information needs to be shared with members of the UCL community in order to facilitate your support, this will be done only with your consent and on a 'need-to-know' basis. Section 1.4: Confidentiality and Looking After Your Data includes more information.

3.2 When to use Reasonable Adjustments

1. A disabled person is defined in the Equality Act (2010) as someone with "A physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities."

   - **Normal day-to-day activities** include mobility, manual dexterity, physical co-ordination, continence, ability to lift, carry and move everyday objects, speech, hearing, eyesight, memory or ability to concentrate, learn or understand, and perception of risk or physical danger.
   - **Substantial** means more than minor or trivial e.g. it takes much longer that it usually would to complete a daily task like getting dressed.
   - **Long term** means likely to last for 12 months or more.

2. The definition includes (but is not limited to):
   a) Mobility differences such as wheelchair users, or musculoskeletal conditions
   b) Sensory differences, such as individuals certified as blind or partially sighted, and those who are D/deaf
   c) Long-term health conditions such as diabetes, arthritis, cancer, HIV or autoimmune conditions
   d) Long-term mental health conditions such as depression, eating disorders or schizophrenia
   e) Specific learning differences (SpLD) such as dyslexia or dyspraxia
   f) Social or communication differences such as an Autistic Spectrum Condition (ASC)
   g) Progressive conditions such as motor neurone disease, muscular dystrophy or forms of dementia
   h) Fluctuating or recurring conditions such as bipolar disorder, epilepsy, rheumatoid arthritis, myalgic encephalitis (ME) or chronic fatigue syndrome (CFS)

3. It is also important to note that:
   a) Any terminal condition is included regardless of timeframes involved.
   b) Progressive conditions are covered from the point of diagnosis, regardless of the symptoms.
   c) Conditions that are intermittent, or that fluctuate in their effects will entitle the person to protection under the Equality Act at all times (provided the condition is likely to recur), even at a particular point in time the condition is in remission.

4. Unlike other protected characteristics, the Equality Act (2010) places an obligation on education providers to take active steps to reduce discrimination of students with a disability, impairment, mental or physical health condition, and to make reasonable adjustments to learning, teaching and assessment.

5. UCL follows the 'social model' of disability. Society is structured in a way that many individuals with protected characteristics experience a number of barriers. The social model views the barriers experienced by disabled people as what disables the individual, rather than the conditions themselves (medical model). Removing these barriers enables the access, participation and inclusion of disabled people in work and study. Reasonable adjustments are one way of removing these barriers for individuals where it is possible and reasonable to do so.

6. All UCL programmes require you to reach specific academic standards in order to be awarded a UCL qualification and some also have particular Fitness to Practise requirements or Professional Competency Standards (e.g. for clinicians or teacher training). UCL cannot reduce or change those standards, but we are committed to removing barriers to helping you attain them.

7. UCL's Equality, Inclusion and Diversity website provides further guidance about the definitions of Disabilities and Reasonable Adjustments. If you are unsure if you meet the definition under the Equality Act (2010), you can contact UCL's Student Support and Wellbeing team for advice.

3.3   What support is available?

1. Reasonable Adjustments can take a wide range of forms depending on your specific circumstances. The following examples are provided to help you understand the types of adjustments that might be available (please note that some adjustments are subject to eligibility criteria):

For lectures, seminars and teaching events	• Recorded lectures via UCL's Lecturecast scheme • Lecture slides available in advance • Hand-outs and lecture notes that can be modified so that you can edit the font or background to your own preference • Hand-outs and lecture notes in alternative formats such as email, large print or braille • Prioritised reading lists to help you access and digest readings ahead of time • Extended library loan facilities and other library support • Sign language interpreters for lectures, seminars or group work • A reader or scribe to help you take notes and participate in classes • Access to the Digital Accessibility Hub - a dedicated IT workroom and team of advisers to help you study independently using a variety of assistive technology software

For your assessments	• Regular coursework extensions • Extra time in exams and take-home papers • Rest breaks in exams • Exam papers in accessible formats, including large print or braille • Assistive technology in exams such as sitting exams on a PC with assistive software • A reader or scribe for exams • Adapted or improved lighting for exams • Adapted or ergonomic furniture for exams • Sitting your exam in a smaller venue • Support for your PhD upgrade meeting, viva or oral examination • Alternative methods of assessment (please note that this is only available if approved by your Programme Leader and External Examiner)
For getting around campus	• Support with travel for academic purposes • Personal Emergency Evacuation Plans (PEEPs) • Liaison with UCL Estates to minimise physical barriers in the built environment • AccessAble – a website with accessibility information on thousands of buildings across London, including around UCL's campus • Adjustments to UCL accommodation e.g. an en-suite, a larger or accessible room, continuing accommodation beyond your first year • Guided tours of campus • Early access to large-scale events so that you can avoid busy periods
For your ongoing health and wellbeing	• Specialist welcome events • Access to a specialist mental health mentoring scheme including regular meetings with a mentor who will work with you to help you identify and overcome barriers to your learning • Access to a specialist Autistic Spectrum Condition (ASC) mentoring scheme including regular meetings with a mentor who will work with you to help you identify and overcome barriers to your learning. • Specialist study skills tutoring for specific learning differences (SpLDs), providing tailored learning strategies to remove academic barriers.

2. You can find more detailed information about the types of support available for different circumstances on the Student Support and Wellbeing website.

3.4   How a Summary of Reasonable Adjustments (SoRA) works

UCL's Student Support and Wellbeing (SSW) team can help you to set up a Summary of Reasonable Adjustments (SoRA).

Step 1: Tell us about your disability, long-term condition, neurodivergence or learning difference

- Let us know when you apply to UCL or during pre-enrolment so that we can put in place the support that you need as soon as possible. We will then send you an invitation to complete an Applicant Support Questionnaire.
- Alternatively, you can contact the SSW team at any stage during your studies to request an appointment.

Step 2: Make an appointment

- An SSW adviser will contact you via email or phone within 10 working days to invite you to an appointment to discuss your support in more detail.

Step 3: Provide medical evidence

- You will be asked to provide medical evidence to ensure that your request for a SoRA is aligned with the Equality Act (2010) – you should send this to your SSW adviser in advance of your appointment so that they can prepare for your meeting. Section 1.5: Providing Supporting Evidence includes more information.

Step 4: Discuss your SoRA with your SSW adviser

At your appointment, your SSW adviser will discuss your circumstances, experiences and expectations, and the types of support that are available. This may include the following topics:

- Your adviser will ask if you would like to include a short personal statement in your SoRA, explaining the impact of your condition on your learning and what approaches to support are most helpful to you. This is optional, but it can help your Department to support you more effectively.
- Your adviser will consult your Department's guidance on the types of adjustments that are suitable for your subject area to help ensure that your SoRA aligns with the activities that you will be undertaking on your programme e.g. if you will be doing lab work, clinical exams, field trips, placements, examinations, take-home papers, coursework, exhibitions, etc.
- Your adviser may liaise with UCL Information Services (ISD), UCL Estates and/ or the UCL Library in order to arrange your adjustments. You may also be referred for non-medical support such as specialist tuition, mental health mentoring, note-taking support, etc.
- In some cases, SSW may need to work with external providers, for example to source equipment or engage with note takers. The time frames for working with external providers are often outside of SSW's control – letting us know about your circumstances before your programme starts will allow us to put in place the support that you need as early as possible.
- You may also be asked to complete an application for Exam Adjustments if you need support to sit online or in-person Controlled Condition Exams or Take-Home Papers.
- Your SSW adviser can also talk to you about any concerns you might have about confidentiality. Section 1.4: Confidentiality and Looking After Your Data includes more information.

Step 5: Confirm your SoRA on Portico

- Your SSW adviser will let you know when your SoRA is available on UCL's student record system, Portico. You will need to accept the SoRA in Portico in order to activate your adjustments and make them visible to your Department.

Step 6: Receive confirmation from your Department

- Once your SoRA is activated, your Department will be able to view it and work out how to make adjustments to individual modules and assessments. Your Department should contact you within 10 working days to confirm arrangements, and may invite you to a meeting to discuss your support.
- If your Department has any queries about your SoRA they should contact the Student Support and Wellbeing team for advice.
- If you are taking modules in another Department, they will also be able to see your SoRA and make appropriate arrangements.

Step 7: Work with your Department to ensure your SoRA is supporting you effectively

- Your Department has a dedicated SoRA Contact. You can get in touch with them for any issues related to your SoRA, including help to understand how your SoRA works, what practical academic support may be available to you, how your SoRA is being implemented, etc. Your SoRA Contact can also liaise between your Department and the SSW team to clarify any uncertainties around your SoRA if these arise.
- If you are having difficulties with the implementation of your SoRA in your Department, you can write to your Faculty Tutor for help and advice.

Step 8: Engage with support and keep your SoRA up to date

- Agreeing a SoRA is just the start of our support for you. Make sure that you make full use of all the support offered to you and stay in contact with the SSW team throughout your studies as they can help to ensure that your SoRA is up to date and supporting you effectively.

Step 9: Request regular reviews

- You can request a review of your SoRA as and when you feel it is necessary. Regular reviews are beneficial for all students but are particularly important if you have a condition which fluctuates or changes over time.
- Your SoRA is designed to support you on a specific programme of study. If you change programmes or start a new programme (e.g. you progress to a Masters or PhD) you must get in touch with the SSW team to revise your SoRA.

3.5 Acute episodes and fluctuating conditions

3.5.1 What is an acute episode or fluctuating condition?

1. If you have a disability or long-term health condition, you may feel better at some times than others. This may be because you have symptoms which change over time, or you may experience 'flare-ups', or a period of crisis. Your Summary of Reasonable Adjustments (SoRA) is designed to proactively support all the different aspects of your condition, including acute episodes and fluctuations. It does this by anticipating your needs in advance and making sure that you have easy access to effective support when you need it. A typical example is coursework extensions – your SoRA may give you the option of having a one-week extension as and when you need it. It is up to you to decide when to use it. You do not need to 'apply' for an extension each time, and you do not need to keep providing supporting evidence; you can just take advantage of the support that is already available to you in your SoRA.

3.5.2 When to use Extenuating Circumstances for a longer-term condition

1. Extenuating Circumstances (ECs) are for shorter-term emergencies and unexpected events, including short-term physical and mental health conditions. If you already have a

SoRA, you are not expected or required to use the Extenuating Circumstances procedure to support your condition.

2. If you have an acute episode or flare-up of a condition and you feel that your SoRA does not provide sufficient mitigation, your first step should be to speak to your Departmental SoRA Contact or a UCL Student Support and Wellbeing Adviser to request a review of your SoRA (see Section 3.4, Step 9).

3. There may also be occasions where you have another difficulty which is separate from the condition covered by your SoRA e.g. you might experience a bereavement. You can still apply for Extenuating Circumstances if you need shorter-term support for other difficulties.

4. While we will try to put your SoRA in place as quickly as possible, there may be occasions where you need support for teaching events or assessments while you are waiting for your SoRA to be set up. If you are in this position, you should speak to your Departmental SoRA Contact who can liaise with UCL Student Support and Wellbeing to work out whether temporary adjustments can be put in place until your SoRA is confirmed. You should not normally need to submit Extenuating Circumstances to access temporary adjustments.

3.5.3 Submitting an EC claim relating to a SoRA condition

1. Any EC claim relating to a condition that is already covered by your SoRA should normally be accompanied by supporting evidence (i.e. it is not normally eligible for self-certification). Section 1.5: Providing Supporting Evidence includes more information.

First EC claim relating to a SoRA condition

2. The first time that you submit an EC claim relating to a SoRA condition, the EC approver should consult both your Departmental SoRA Contact and UCL Student Support and Wellbeing, and together agree one of the following:
   a) Normally, your SoRA should be reviewed to ensure that it covers all aspects of your condition. If SSW feels that you are eligible for additional support, they may amend your SoRA, for example by including adjustments for use in the event of an acute episode or fluctuation, such as access to longer extensions.
   b) If SoRA amendments are not possible (e.g. there is not enough time to put them in place before the assessment), you may be offered a one-off EC mitigation, if that would be appropriate in the circumstances.

3. Departments can use their Departmental SoRA Statement to advise UCL Student Support and Wellbeing on appropriate adjustments in the subject area to help tailor SoRAs to individual students and expedite the process.

Subsequent EC claims relating to a SoRA condition

4. If you submit a subsequent EC claim relating to a SoRA condition, a full EC Panel should be convened to discuss the options:
   a) You should be referred for a more holistic review of your support needs in the form of a Support Plan under the Support to Study Procedure (see Section 7).
   b) If the EC Panel feels that a Support Plan is not yet necessary, they may agree to consult both your Departmental SoRA Contact and UCL Student Support and Wellbeing, and together agree whether your SoRA should be amended, for example to include additional adjustments for use in the event of an acute episode or fluctuation, such as access to longer extensions.
   c) The EC Panel may offer you a one-off EC mitigation, if that would be appropriate in the circumstances.

3.6   Frequently Asked Questions

1. What happens if I have assessments before my SoRA is set up?

- The start of the academic year is always a busy time for the Student Support and Wellbeing team and it may not be possible to give you an appointment as quickly as we would like. If you are able to provide evidence that you have made an appointment with SSW but are yet to be seen, your Extenuating Circumstances Panel may use its discretion to offer you an extension or other temporary mitigations - see Section 2: Short-term Illness and other Extenuating Circumstances for details of how to apply.

2. Can I have reasonable adjustments for attendance?

- Each faculty has a minimum attendance threshold that allows for a small amount of absence, for example if you need to attend medical appointments. This means that reasonable adjustments are already built into UCL's Student Attendance Policy. It is not possible to lower the minimum attendance thresholds any further.
- If you are unable to attend an individual class on a particular day or time, but you will still be able to meet the minimum attendance thresholds, please ensure that you check the local policy before taking any leave.
- If you think you might be unable to meet the minimum attendance requirements, please get in touch with your Department as soon as possible to discuss your options.

3. How do extensions work?

- If extensions are considered to be an appropriate adjustment for you, this will be explicitly stated in your SoRA. You do not need to complete a separate 'Extenuating Circumstances' claim.
- Your Department will automatically apply SoRA extensions to your submission due dates. You can choose whether to submit work by the original deadlines or the extended ones. We encourage you to consider your decision holistically, taking into account all deadlines you are working towards.
- If a Department has concerns about the impact of an extension on your ability to attend teaching activities or complete other assessments, they should contact the SSW team for advice.
- If extensions are not explicitly included in your SoRA then the same regulations around extensions apply to you as to all other students i.e. you will need to submit an Extenuating Circumstances claim.

4. What happens if I am on a Study Abroad or Placement programme?

- If you are going on a Study Abroad Year or Placement, you will be encouraged to contact a Student Support and Wellbeing adviser beforehand to discuss your plans. The adviser can liaise with the receiving institution/organisation to put adjustments in place for you, and can also discuss whether you will continue to engage with any support at UCL.

5. What happens on Clinical and Initial Teacher Education placements?

- If your programme includes a professional placement, such as teacher training or a clinical placement, you are required to notify UCL of any condition which might affect your ability to undertake the placement at the application stage or during pre-enrolment.
- If any health-related issues arise during your programme, you should contact UCL Workplace Health directly for a confidential one-to-one appointment. Your Personal Tutor or Programme Leader may also refer you to UCL Workplace Health using a Student Referral Form.
- UCL Workplace Health will invite you to an appointment to discuss your support needs and then draw up a report giving suggestions on the support and adjustments that the placement provider may wish to consider. Your placement provider, Personal Tutor and/ or Programme

Leader are responsible for determining whether the adjustments are possible and appropriate in that environment.

- Faculties or departments may publish local Fitness to Practise policies covering students on professional placements on their programmes. The faculty is responsible for ensuring that these policies are communicated to the students which are affected.

6. Does my Personal Emergency Evacuation Plan (PEEP) apply if I take a module in another department?

- Yes, your PEEP applies across the UCL campus and online environments. The Module Organiser in your Teaching Department should find out which students have a PEEP from Portico. They should then work with your Home Department to make sure that appropriate arrangements are put in place. Your SoRA Contact or SSW adviser can also liaise with the Teaching Department.

4   Academic Adjustments

4.1   What are Academic Adjustments?

1. Academic Adjustments fall under the broader banner of 'reasonable adjustments'. The Equality Act 2010 legally requires education providers to implement reasonable adjustments for Disabled students. UCL goes above the legal requirement to implement reasonable adjustments for other protected characteristics. This includes ongoing support for:

   - Students who have parenting or caring responsibilities
   - Students who are pregnant
   - Students planning maternity, paternity, parental and adoption leave
   - Students who observe religious beliefs or cultural customs
   - Students affected by any form of harassment or discrimination
   - Students affected by traumatic world events such as war or terrorism
   - Students who are critical workers (e.g. NHS staff).

2. You may also be offered some forms of Academic Adjustment as part of a Support Plan under the Support to Study procedure.

4.2   How to apply

1. Academic Adjustments are provided by your Department. Each UCL Department is organised differently, so the best place to start is normally your programme's Moodle site or Student Handbook. These should include contact details for key members of departmental staff such as Personal Tutors, Student Advisers, departmental administrators, your Programme Leader, Departmental Tutor and other academic staff.

2. Your Department may consult with other UCL staff in order to work out the best support for you. This might include your Faculty Tutor, UCL Academic Services, UCL Student Support and Wellbeing, or the Chaplaincy and Interfaith Advice team.

3. You can also find detailed advice and guidance for different groups on the UCL Student Support and Wellbeing website:

   - LGBTQ+ students
   - Mature students
   - Students with children
   - Students who are pregnant or adopting
   - Care experienced students
   - Estranged students
   - Students of faith
   - Distance learners
   - Support for BME students

4. We will look after your data carefully and sensitively, and your personal information will only be shared with staff on a 'need-to-know' basis. Please refer to Section 1.4: Confidentiality and Looking After Your Data for further information.

4.3   Academic Adjustments or Extenuating Circumstances?

1. Extenuating Circumstances (ECs) are generally for emergencies - the definition is "events which are sudden, unexpected, significantly disruptive and beyond your control and which

may affect your performance at summative assessment, such as a serious illness or the death of a close relative". This means that:

- Long-term commitments and responsibilities normally fall under Academic Adjustments (this policy). Examples include day-to-day childcare, regular work commitments, regular medical or maternity appointments, daily prayer, or fasting.
- Short-term emergencies and unexpected events normally fall under Extenuating Circumstances. Examples might include a breakdown of your normal caring arrangements, complications in pregnancy, or professional clinical emergencies.

2. Your circumstances might not fit neatly into one category – for example if you or your loved ones are experiencing long-term traumatic events such as war, harassment or discrimination you may need to use both Extenuating Circumstances for short-term help and Academic Adjustments for longer-term support. Your Personal Tutor or a Student Support and Wellbeing Adviser can help you to work out the best combination for you.

3. It is also important to note that Extenuating Circumstances only include adjustments for summative assessments (i.e. formal assessments where your results count towards your degree). ECs cannot provide support for teaching events or formative assessments.

4.4   What support is available?

1. Your Department will need to balance a wide range of factors when determining what adjustments are possible and appropriate. This might include:
   a) The nature and extent of your personal circumstances
   b) The types of learning activities you will be involved in, such as lectures, seminars, labs, clinical work, study abroad, placements, exhibitions, etc.
   c) The types of assessments that you will be undertaking, such as online exams, in-person exams, take-home papers, coursework, clinical exams, presentations, etc.
   d) Any Professional, Statutory and Regulatory Body requirements on your programme (some bodies may prohibit some forms of adjustment)
   e) Any Competency Standards or Fitness to Practise requirements on your programme (e.g. in clinical subjects or teacher training)
   f) Fairness to all students in your year and over time
   g) Protecting the academic standards of the degrees awarded by UCL.

2. Academic Adjustments can take a number of forms depending on your specific circumstances. The following examples are provided to help you understand the types of support that might be available (please note that some adjustments are subject to eligibility criteria):

For lectures, seminars and teaching events	- Helping you to meet the minimum attendance requirements via recordings of lectures and seminars on Lecturecast - Sending you notes and slides - Helping you to take part in online discussions asynchronously - Planning classes so that you can leave before dark - Making arrangements to help you catch up on missed content - Scheduling tutorials to accommodate medical appointments or days when you are prohibited from working - Conducting an Equality Impact Assessment - Other discipline-specific adjustments appropriate to the circumstances.

For your assessments	• Using the <u>UCL Diversity Calendar</u> to schedule departmental exams and assessment deadlines to avoid the main religious festivals, Friday prayers and Sabbath (Friday afternoons and Saturdays).
For your ongoing health and wellbeing	• Giving you a named contact (with an indication of office hours) • Regular meetings with your Personal Tutor, Student Adviser or departmental support staff.

3. Your Department will also need to take the following limitations into consideration:

Timetabling

4. While UCL makes every effort to be as inclusive as possible, we are only able to deliver classes and learning activities at certain times. The UCL timetable is very tightly packed; moving one lecture or seminar can have a knock-on effect on many other students. By agreeing to <u>UCL's Student Terms and Conditions</u> all students are agreeing to the limitations of the UCL timetable.

Central Assessment Timetable

5. The Central Assessment Timetable uses the <u>UCL Diversity Calendar</u> to schedule online and in-person exams. It is not possible to avoid all religious festivals but the team will avoid days where work is prohibited for religious reasons.

Attendance

6. Each faculty has a minimum attendance threshold that allows for a small amount of absence. This means that reasonable adjustments are already built into UCL's <u>Student Attendance Policy</u>. It is not possible to lower the minimum attendance thresholds any further.

7. If you are unable to attend an individual class on a particular day or time, but you will still be able to meet the minimum attendance thresholds, please ensure that you check the local policy before taking any leave.

8. If a particular module is regularly scheduled for a day/ time when you are unable to attend (e.g. if you have medical or therapy appointments, or you are prohibited from working due to religious reasons), or you cannot meet the minimum attendance thresholds, your Department may be able to make special arrangements. However, while your Department may be able to reschedule individual tutorials, it is unlikely that they will be able to reschedule larger events such as lectures, seminars or exams.

Assessment deadlines

9. Academic Adjustments do not include extra time to complete assessments such as extensions or deferrals. Assessment deadlines will be given to you in advance. You will need to plan your work so that it is completed in good time.

Fasting

10. If you are taking an assessment while fasting, it is important that you look after yourself carefully and make sure that you are well-prepared for the assessment, for example by ensuring that you eat well the night before. Help and advice is available from <u>UCL's Chaplaincy and Interfaith Advice team</u>. Fasting is not normally considered to be an Extenuating Circumstance because it is not an emergency i.e. it doesn't meet the "sudden and unexpected" test. However if, as a result of fasting, you become ill during an assessment and are unable to complete it, this may be considered.

Study Abroad and Placements

11. If your programme includes a Study Abroad or Placement element, UCL can provide some additional support but you should make sure that you are aware of the policies and practices of the host institution or organisation.

5 Exam Adjustments

5.1 What are Exam Adjustments?

1. Exam Adjustments are specifically designed to support you in timed, written assessments such as In-Person and Online Controlled Condition Exams and Take-Home Papers. They include adjustments such as extra time, rest breaks, specialist equipment or a more comfortable chair.

2. Exam Adjustments are available to students with both long-term and short-term conditions. This includes (but is not limited to) students experiencing:

   - Mobility differences such as wheelchair users, or musculoskeletal conditions
   - Sensory differences, such as individuals certified as blind or partially sighted, and those who are D/deaf
   - Long-term health conditions such as diabetes, arthritis, cancer, HIV or autoimmune conditions
   - Long-term mental health conditions such as depression, eating disorders or schizophrenia
   - Specific learning differences (SpLD) such as dyslexia or dyspraxia
   - Social or communication differences such as an Autistic Spectrum Condition (ASC)
   - Progressive conditions such as motor neurone disease, muscular dystrophy or forms of dementia
   - Fluctuating or recurring conditions such as bipolar disorder, epilepsy, rheumatoid arthritis, myalgic encephalitis (ME) or chronic fatigue syndrome (CFS)
   - A short-term physical or mental health condition which makes it physically difficult to write or to sit for long periods of time, e.g. you have a broken arm or lower back pain
   - Pregnant students.

3. If you are unsure if you are eligible, you can contact UCL's Student Support and Wellbeing team for advice.

4. If you need support for another type of assessment, such as coursework or a practical exam, please use the following processes:

   - For short-term illness, emergencies and unexpected events: Section 2: Short-term Illness and Other Extenuating Circumstances
   - For long-term disabilities and physical or mental health conditions: Section 3: Reasonable Adjustments for Disabilities and Long-term Conditions.

5.2 What support is available?

1. Exam Adjustments can take a wide range of forms depending on your specific condition and the type of assessment e.g. you might need different adjustments for in-person and digital assessments.

2. The following examples are provided to help you understand the types of support that might be possible, however please note that this list is not definitive, and some adjustments are subject to eligibility criteria:

For online exams	• Extra time • Rest breaks • Assistive technology and software • Sitting a digital exam on paper • Sitting your exam in a venue on campus
For in-person exams	• Extra time • Rest breaks • Exam papers in accessible formats such as large print or braille • Assistive technology and software • A reader or scribe • Adapted or improved lighting in UCL-run venues • Adapted or ergonomic furniture, or a more comfortable chair in UCL-run venues • Food and drink • Sitting a face-to-face exam on a PC • Sitting your exam in a venue on campus

Calculation of extra time and/ or rest breaks

3. If you are eligible for extra time and/ or rest breaks these will be rolled into a single adjustment and your individual assessment duration will be extended. You will then be able to take any rest breaks as and when you need them. For further details of how this will be calculated, please refer to the Student Regulations for Exams and Assessments.

5.3   How to apply

1. A UCL Student Support and Wellbeing adviser will consider your request for Exam Adjustments. The first step is to book an individual appointment or get in touch with us through the askUCL online enquiries system. The adviser will talk you through the process.

2. You will need to make an application for Exam Adjustments if:

   • You do not have a Summary of Reasonable Adjustments (SoRA)
   • You have a temporary condition and need Exam Adjustments for a short period of time
   • You already have a SoRA but you need to amend your existing allowances for extra time and/ or rest breaks
   • You already have a SoRA for extra time/ rest breaks but you also need other types of adjustment such as specialist equipment, a scribe, or a PC.

3. If you already have a SoRA which includes extra time and/ or rest breaks, your individual requirements will be passed to the Central Assessment Team automatically; you do not need to make a new application unless you need to make any changes.

Supporting evidence

4. You may be asked to provide some medical evidence to support your application - Section 1.5: Providing Supporting Evidence includes more information.

Help and advice

5. The Student Support and Wellbeing (SSW) team can help you complete your application and advise you on gathering any evidence that you might need.

5.4   Deadline for applications

1. Applications must be received by <u>UCL Student Support and Wellbeing</u> by **4.00pm BST (UTC -1) three weeks before the Central Assessment Period** in question. Exact dates will be published on the <u>Exams and Assessments</u> website each year.

2. After the deadline it is unlikely that UCL will be able to put Exam Adjustments in place. However, you may still be eligible for support via <u>Extenuating Circumstances</u>.

6 Interruption of Study

6.1 Introduction

1. Interruption of Study is for students who wish to take a break from their studies and return at a later date. You can take time out from your studies for a wide range of reasons - you might want to take up an internship or placement, take time out to travel, be planning to have children, or be facing personal challenges which are making it hard to study.

2. These regulations should be read in conjunction with:

   a) The Interrupting or Withdrawing from your Studies webpage
   b) Interruptions Guidance for Departments

How to apply

3. Applications are made via the online form in Portico.

Help and advice

4. If you need any support with using these procedures, Section 1.2: Help and Advice includes more information.

Confidentiality and looking after your data

5. UCL will look after your data carefully and sensitively, and your personal information will only be shared with UCL staff on a 'need-to-know' basis. Section 1.4: Confidentiality and Looking After Your Data includes more information.

6. If you are concerned about disclosing sensitive information to staff in your Department, you should contact your Faculty Tutor for advice prior to completing your interruption request.

Supporting evidence

7. You may be asked to provide medical or other evidence to support your claim. Section 1.5: Providing Supporting Evidence includes more information.

6.2 Categories of Interruption

6.2.1 Category 1: Standard Interruptions

1. For a standard interruption, you need to submit the following and gain approval at Departmental level (each of these requirements is explained in more detail below):

Category 1:	A first interruption of up to twelve months for a Full Time or Part Time student
Application Requires:	Complete an online Interruption Application Form, including the 'Return to Study Plan' section
Approval Required:	Departmental

6.2.2 Category 2: Interruptions Requiring a Higher Level of Approval

1. Some interruptions require you to submit more detailed information and need to be approved at Faculty level (each of these requirements is explained in more detail below):

Category 2a	A first interruption of more than twelve months but less than two years for a Full Time or Part Time student (interruptions of more than two years are not permitted)
Category 2b	A second interruption of up to twelve months for a Full Time or Part Time student, where the total interruption will not exceed more than two calendar years
Category 2c	An interruption of a Flexible student in their final year of registration
Category 2d	Any interruption requiring Repeat Tuition for Academic Reasons (e.g. group work, multi-term modules)
Application Requires:	1. Complete an online Interruption Application Form, including the following sections: • Statement of Need • Supporting Evidence • Return to Study Plan 2. Complete a separate Extenuating Circumstances Form if seeking mitigation for the period leading up to the interruption (see <u>Section 6.3</u>)
Approval Required:	1. Departmental and 2. Faculty and 3. Extenuating Circumstances Panel if seeking mitigation for the period leading up to the interruption (see <u>Section 6.3</u>)

6.2.3 Return to Study Plan (all applications)

1. You should meet with your Department (either in person, online or on the phone) and together complete the Return to Study Plan section of the online form.

2. The Return to Study Plan:
   a) Should set out your current academic position, including assessments completed and pending
   b) Should consider the way in which you will reintegrate with modules and manage your workload on your return
   c) Must identify the main point of contact for support while you are away and when you return
   d) Must be approved by your Department before you interrupt.

3. Further information about the Return to Study Plan is available on the <u>Interrupting or Withdrawing from your Studies</u> webpage.

6.2.4 Statement of Need and Supporting Evidence (all Category 2 Interruptions)

1. Category 2 interruptions require completion of the Statement of Need section of the Interruption Application Form and you will need to provide appropriate supporting evidence. See the Interrupting or Withdrawing from your Studies webpage for further details.

Flexible/ Modular Students (Category 2c only)

2. UCL's Flexible Mode of Attendance gives you a period of five years in which to complete your studies, and is specifically designed to enable you to fit your modules around your work, family, caring responsibilities and other commitments, including maternity, paternity, adoption or parental leave. There is a five-year time limit to ensure that students graduating with a UCL degree are in possession of up-to-date knowledge in their subject area. As a result, if you are a Flexible student, you are only able to apply for an Interruption of Study in your final year. You must demonstrate a clear and unavoidable need for the interruption in the Statement of Need section of the Interruption Application Form, and provide appropriate supporting evidence.

Repeat Tuition for Academic Reasons (Category 2d only)

3. Your Department should discuss whether you might need to re-attend any classes for academic reasons. Examples include (but are not limited to):
   a) If you interrupt part-way through a module
   b) If a module runs over more than one term
   c) If a module includes group work

4. If you need to re-attend classes for *personal* reasons (i.e 'Extenuating Circumstances') you will need to request a 'Deferral with Tuition' – see Section 6.3 for further details.

5. Repeat Tuition for Academic Reasons and/ or an earlier Return Date will only be considered for the affected modules.

6. You must demonstrate a clear and unavoidable need for both the interruption and the repeated period of teaching in the Statement of Need section of the Interruption Application Form, and provide appropriate supporting evidence.

6.3 Extenuating Circumstances Prior to Interruption

1. Interruptions of Study must not be backdated. However there may be times when your performance has already been affected by illness or other Extenuating Circumstances in the period leading up to the interruption and you would like the opportunity to either re-do an assessment or re-attend classes (known as a 'Deferral').

2. To access a Deferral, you must also submit a separate claim following the procedures in Section 2: Short-term Illness and Other Extenuating Circumstances, in addition to completing the online Interruption Application Form.

3. You can apply for a Deferral with or without Tuition:

Deferral without Tuition

a) A Deferral **without** Tuition may be needed to cover any assessments in the period leading up to your interruption which have been affected by Extenuating Circumstances (e.g. you missed the assessment, or your performance in the assessment was affected). You can apply to defer the assessment without additional tuition, and take it again when you return from interruption, without penalty.

Deferral with Tuition

b) A Deferral **with** Tuition may be needed to cover any lectures, seminars, tutorials, supervision, laboratory sessions or other teaching events in the period leading up to your interruption which have been affected by Extenuating Circumstances (e.g. missed classes, low attendance and/or engagement). You can apply to defer the affected module 'with tuition', which means that you can attend the classes again and take the assessment when you return from interruption, without penalty.

4. On your Extenuating Circumstances application, you should outline your needs and preferences in relation to the type and length of Deferral needed.

5. Interruption Applications cannot be approved until the outcome of your associated Extenuating Circumstances application is known. It is therefore important that you submit any Extenuating Circumstances claims and evidence as quickly as possible.

6.4   Other Important Factors to Consider When Applying

1. You should read the following carefully and discuss any of the issues which apply to you when you meet with your Department. The online Return to Study Plan includes prompts to guide you through these issues:

Professionally-accredited programmes

2. Many UCL programmes are accredited by Professional, Statutory or Regulatory Bodies which have their own criteria and requirements for interrupting which may mean that some options are not available to you. Departments must ensure that any such requirements are discussed with you when you meet.

Students on Study Abroad or Placement

3. If you are on a Study Abroad or Placement you are able to interrupt but UCL cannot guarantee that you will be able to return to a Study Abroad/ Placement on your return to study. If suitable arrangements cannot be made, you may be required to transfer to an alternative programme without a Study Abroad/ Placement requirement, as a condition of interruption.

Maternity, paternity, adoption or parental leave

4. There are additional entitlements and requirements which apply if you are interrupting for maternity, paternity, adoption or parental leave. UCL's Support for Pregnant Students policy provides more information as well as sources of advice.

Students holding a Student Visa

5. If you hold a Student Visa you must leave the UK for the duration of any interruption and re-apply for a new visa in order to return to UCL. You must comply with visa requirements to safeguard your immigration status and future entry to the UK. UCL is legally required to notify the immigration authorities of any changes to your status. Further information is available from the Immigration and Visas webpage, and you can also contact the Visa Compliance Team - go to askUCL and log an enquiry.

6.5   Making an Application

1. Applications must be made in advance of the period of interruption. With the exception of cases covered by the regulations in Section 6.3 above, you must continue to engage with your studies until your interruption has been approved.

2. If you are unable to make an application for yourself, your next of kin (e.g. parent, partner) may submit a request on your behalf. A member of staff can assist you or your next of kin in completing an application, but they are not permitted to submit a request without your consent.

3. When your Department receives your application and supporting documentation you will be invited to a meeting (in person, online or on the phone) with your Departmental Tutor, Departmental Graduate Tutor or Programme Leader (the 'Departmental Approver') to discuss your interruption, and agree your Return to Study Plan.

4. Following the meeting, you should complete and submit your online application and any supporting evidence, and ensure that you submit any applications for Extenuating Circumstances that you wish to make (see Section 6.3 above).

6.6   Date of Interruption and Return

Date of Interruption

1. Your Date of Interruption will be the date on which the highest level of required approval is given. It is the date which will be formally recorded in UCL's student records and communicated to the Student Loans Company and other funding bodies, as appropriate for the individual student.

2. Your Date of Interruption must not be back-dated. If your tuition, attendance and/or engagement has already been affected by Extenuating Circumstances, you must separately submit an Extenuating Circumstances claim as described in Section 6.3.

3. Unless a Deferral has been approved via the EC process, you must complete any assessments due before your Date of Interruption. The marks from such assessments will be carried forward.

4. Where the primary purpose of interruption is to avoid assessments (e.g. undergraduate students wishing to interrupt after term 2), your Department may require you to complete the Statement of Need section of the online application and may ask you to submit an Extenuating Circumstances claim and evidence. If the EC is not approved, you must take the assessments and any interruption will commence at the start of the following academic session.

Date of Return

5. Your Date of Return must be recorded before an application can be formally approved.

6. The Default Return Date will be in the Academic Year following the Date of Interruption, at the start of the corresponding term in which the interruption took place.

7. If you return at the Default Return Date you will incur no additional tuition fees, other than those resulting from inflation, for the remainder of the academic session.

8. At the point of interruption, you should talk to your Departmental Approver about any anticipated changes to your modules upon your return. However UCL reserves the right to change modules, assessments and timetabling from year-to-year in order to maintain an up-to-date curriculum and for reasons of operational efficiency. As a result, a module might not be available upon your return. If there are any affected modules, your Department must contact you to discuss the options and agree alternative arrangements, such as a module substitution.

9. If an assessment deadline will fall immediately after your Date of Return, this should be taken into account in your Return to Study Plan, and a suitable assessment deadline agreed.

Alternative Return Date

10. Your Faculty Tutor/ Faculty Graduate Tutor may permit you to return before the Default Return Date, either to Repeat Tuition for Academic Reasons or, on the recommendation of the EC Panel, to complete a Deferral with or without Tuition, for the affected modules only. The Return Date should be set at the latest date which allows you to engage with the affected module(s).

11. Your Faculty Tutor/ Faculty Graduate Tutor may permit you to return at the start of the half term in which you interrupt.

12. Your Faculty Tutor/ Faculty Graduate Tutor, in consultation with your Programme Leader and with the approval of the External Examiner, may permit you to undertake an alternative method of assessment, enabling you to return at the Default Return Date.

6.7   Approval

Departmental Approval

1. Departmental approval is required for all applications.

2. After receiving your completed application, the Departmental Approver will make one of the following decisions:

   a) Approve
   b) Reject
   c) Refer your application to your Faculty Tutor/ Faculty Graduate Tutor to consider an alternative Category of Interruption and/ or an amended Return Date.

3. The Departmental Approver may recommend a Welfare Review with UCL's Student Support and Wellbeing team as a condition of your return to study (see Section 6.10 Welfare Review).

4. Where applicable, your application will be forwarded to your Faculty Tutor for consideration.

Faculty Approval

5. Faculty approval is required for Category 2 interruptions and amended Return Dates.

6. Applications requiring a Deferral with or without Tuition cannot be considered until the outcome of the associated Extenuating Circumstances application is known.

7. The Faculty Approver will make one of the following decisions:

   a) Approve
   b) Reject

8. The Faculty Approver may amend your Return Date prior to approval (see Section 6.6: Date of Interruption and Return).

9. The Faculty Approver may recommend a Welfare Review with UCL's Student Support and Wellbeing team as a condition of your return to study (see Section 6.10 Welfare Review).

Communication of Decision

10. Once the final decision is made, you will be notified to your UCL email address. If your application is approved, the notification will include the formal Date of Interruption and Date of Return.

6.8   During Interruption

1. You are expected to discontinue your studies whilst on interruption.

2. As an interrupting student, you are not an enrolled UCL student and you do not have access to the full range of UCL services and resources.

3. As an interrupting student, you will retain your access to many UCL digital resources (including email and digital resources in the Library) but you may find that you are removed from Moodle courses until you re-enrol. Access to the Library, with limited borrowing rights, is available on request.

6.9   Preparing to Return: Three Months Before

1. Three months before your Return Date, UCL Student Records will notify you, your Department, your Faculty and relevant sections of Student and Registry Services to initiate the return to study process and commence the following actions:

    a) You will be asked to confirm your intention to return to UCL, no later than one month before your recorded Return Date.

    b) Upon confirmation of your intention to return to study you will have your access to UCL facilities and services reinstated for three months before your return date so that you can start to re-engage with your programme team, module organisers and other students. During this three-month period you must not attend formal taught sessions, laboratories or similar activities and will not receive formal teaching. However, you may seek advice on academic matters and attend staff office hours.

    c) If a Welfare Review is a condition of your return to UCL, Student Support and Wellbeing will contact you to arrange a date and time to meet (in person or online) (see Section 6.10).

    d) UCL Student and Registry Services will:

        i.   Inform you of when and how to re-enrol.
        ii. Inform you of the appropriate tuition fees, and how to make payment, apply for necessary funding or provide evidence of sponsorship.
        iii. If applicable, provide advice about arranging a visa for your return.
        iv. Remind you of the UCL support services which can give advice and guidance.

    e) Your Department should:

        i.   Remind you of the modules and assessments which you have already completed, and those on which you need to enrol for the coming year.
        ii. Remind you of any marks for assessments already taken which will be carried forward.
        iii. Inform you of any changes to your timetable or programme diet which might affect your Return to Study Plan.
        iv. Reassess the feasibility of your Return to Study Plan.
        v.   Introduce you to your new cohort, if you give your consent to this.
        vi. Arrange an informal one month catch-up to trouble shoot any issues that have arisen.

6.10   Welfare Review

1. If you have any queries about returning from interruption you are encouraged to contact UCL Student Support and Wellbeing by going to askUCL and logging an enquiry.

2. If a Welfare Review is a condition of returning to study, UCL Student Support and Wellbeing will contact you approximately three months before you are due to return to arrange a suitable time and date to meet (in person or online).

3. The purpose of the review is to ensure that renewed studies will not be detrimental to your health, or your health to your studies. You may be asked to provide medical evidence to indicate that you are well enough to live and work in a university environment. Section 1.5: Providing Supporting Evidence includes more information.

4. UCL Student Support and Wellbeing will submit a report to your Faculty Tutor/ Faculty Graduate Tutor who will make a decision on whether you can return to study.

5. If the Faculty rejects your return to study you should contact Student Support and Wellbeing as soon as possible to discuss your options. You may be supported to return to your studies through UCL's Support to Study Procedure.

6. If you fail to engage with a required Welfare Review you will not be permitted to re-enrol.

6.11   Re-Enrolment

1. When UCL Student Records receives notification of your return, they will reinstate your student record and invite you to enrolment. You will not be able to enrol until your record is re-instated.

2. You must have paid the appropriate tuition fees, or provided evidence of sponsorship, before you can re-register.

3. You must re-enrol within two weeks of your re-registration. Failure to re-enrol may result in the closure of your student record. See Chapter 3, Section 1.2: Enrolment and Re-Enrolment for further details.

4. If you are a visa national student you must present your passport and current visa before you will be permitted to re-enrol.

5. If you do not re-enrol within the required timeframes, UCL Student Records will close your student record.

7　Support to Study

7.1　What is Support to Study?

1. UCL has a wide range of options to support you during your time with us, including Extenuating Circumstances, Summaries of Reasonable Adjustments, Exam Adjustments, Academic Adjustments and Interruption of Study. You are encouraged and expected to engage actively with these processes and to make full use of the support available to you through UCL Student Support and Wellbeing.

2. Your Department or Faculty may identify a need to use this Support to Study Procedure if you have already engaged with UCL's standard support processes (such as Extenuating Circumstances, Summaries of Reasonable Adjustments etc.) but they are not providing the right level of support for you. This will usually be because you are having significant, persistent or long-term difficulties with one or more of the following:

   a) Engaging with classes, scheduled activities, group work and/ or online participation
   b) Completing formative assessments, submitting coursework, attending exams or otherwise making an attempt at assessments
   c) Being unable to study at the level and intensity required by your programme
   d) Circumstances where a student has exhibited behaviour which would normally be handled under the Student Disciplinary Code and Procedures, but which may be (or is suspected to be) the result of an underlying physical and/or mental health condition.

3. You may need extra support for a wide range of reasons such as ongoing or repeated extenuating circumstances, a disability, a medical or mental health condition, caring or parenting responsibilities, commitments as a critical worker (e.g. NHS staff), or you are affected by long-term traumatic events such as war, harassment or discrimination. You may be affected by more than one issue or there may not be an underlying reason. This Support to Study Procedure is designed to put in place a tailored package of measures to support and safeguard both you as an individual and the UCL community.

4. It is important to note that Support to Study is designed to help if UCL's normal Student Support Framework mechanisms are not providing the right level of support. It should not be used for occasional or isolated incidents of extenuating circumstances, non-attendance or failure at assessment, for example.

5. The need to use Support to Study will be identified by your Department or Faculty; you will not be able to apply for Support to Study yourself. However, if you think that you need extra support, please speak to your Personal Tutor, Student Adviser or another trusted member of staff in your Department, who can help you to look at your options.

Help and advice

6. If you need help with this procedure, further information about the support services available to you can be found in Section 1.2: Help and Advice.

Looking after your data

7. UCL will look after your data carefully and sensitively. Where your personal information needs to be shared with members of the UCL community in order to facilitate your support, this will only be done with your consent and on a 'need-to-know' basis. Section 1.4: Confidentiality and Looking After Your Data includes more information.

If you do not engage with the Support to Study process

8. Support to Study is, first and foremost, designed to help and support you so that you can get the most out of your time with UCL. However if, at any stage, you do not engage with

the process, do not respond to communications or do not attend a meeting, your Faculty Tutor (or their nominee) may require you to attend a Mandatory Faculty Interview under the procedures in Chapter 6, Section 4.

7.2   If there is an immediate risk of harm

> **Crisis support**
>
> If you are in immediate danger of hurting yourself or others:
> - Go directly to the **Accident & Emergency (A&E)** department of your local hospital to get help.
> - **Camden and Islington's Mental Health Crisis Assessment service** at St Pancras Hospital is nearest to UCL's main campus.
> - Call **999** to request an ambulance if you are unable to reach the hospital yourself.
>
> If you are feeling distressed and need urgent support:
>
> - Contact your GP surgery to request an emergency appointment.
> - If your GP surgery isn't open, call the free NHS out-of-hours medical line on **111** for help accessing the right services.
> - You can call the Samaritans on **116 123** to talk to someone at any time, day or night.
> - Nightline are a listening service for students, by students - they are available overnight via live web chat from 6pm - 2am.

1. Exceptionally, there may be circumstances where UCL needs to take swift action to protect the safety and wellbeing of an individual student or the wider UCL community. This might include circumstances where:
   a) There is a serious and immediate risk of harm to you or others.
   b) You are unable to study, work and/ or live co-operatively and in close proximity with others.
   c) Your conduct is impacting negatively on the wellbeing of fellow students and staff.
   d) UCL considers that the needs, rights, safety and security of the UCL community outweigh those of an individual.
   e) There is a serious risk to the University's reputation.

Student of Concern Procedure

2. If there is an immediate risk of harm, the Student of Concern Procedure should be used in the first instance.

3. UCL Student Support and Wellbeing also publish a range of policies and protocols for emergencies, including:

   - Protocol for supporting students who may be feeling suicidal
   - UCL Student Mental Health Policy for cases of serious mental ill-health requiring early intervention

4. This Support to Study Procedure may subsequently be used to provide you with longer-term help. This may include using the expedited procedure in Section 7.5: Direct Referrals.

7.3   Stage 1: Support Plans

1. The first step in the process is normally to set up a Support Plan. A Support Plan is a tailored support package that includes actions for you and your Department.

2. Actions can take a wide range of forms depending on your specific circumstances. The following examples are provided to help you understand the types of support that might be available (please note that some adjustments are subject to eligibility criteria):

Recommendations for you to apply for:	• <u>Extenuating Circumstances</u> for help with short-term emergencies and unexpected events • <u>A Summary of Reasonable Adjustments</u> if you have a disability, or long-term medical or mental health condition • <u>Exam Adjustments</u> if you need help to sit an online exam, in-person exam or take-home paper • <u>Academic Adjustments</u> if you need longer-term support for commitments and responsibilities such as parenting, caring or religious observance, or if your Department feels that you need additional help as part of your Support Plan • An <u>Interruption of Study</u> if you are thinking of taking time out of your studies and returning next year • A <u>Change of Module Selection or Module Substitution</u> • A <u>Change of Mode of Study</u> if you are struggling to study at the pace required by your programme • A <u>Programme Transfer</u> if another programme might be a better fit for you.
Recommendations for you to contact and engage with:	• <u>UCL's Student Psychological and Counselling Services</u> if you need help with your mental health and wellbeing • <u>UCL's Disability, Mental Health and Wellbeing team</u> if you need help with a disability or long-term medical condition • UCL's <u>Chaplaincy and Interfaith Advice team</u> to discuss your religious and cultural needs • UCL's <u>Student Support and Wellbeing team</u> to discuss pregnancy, maternity-related absence, parenting or caring responsibilities • <u>UCL's Academic Communication Centre for help with academic writing and study skills</u> • UCL's <u>Centre for Languages & International Education (CLIE)</u> if you need help with English language skills.
Actions for your Department:	• To provide pastoral support to help you apply for Extenuating Circumstances, SoRAs, Interruptions, Academic Adjustments, Exam Adjustments or other support • To provide pastoral support to help you contact and engage with UCL support services such as Student Support and Wellbeing or Student Psychological and Counselling Services.
Actions for you:	• To attend all personal tutorials, academic tutorials and meetings with UCL staff as requested. • To respond appropriately and in a timely manner to UCL communications, including providing requested information within a specified time period. • To maintain a certain level of attendance and/ or engagement for the remainder of the module, term or academic session.

	This may be higher than the <u>minimum attendance/ engagement requirement</u>.
	• To make an <u>assessable attempt</u> at formative and summative assessments.
	• Where appropriate, to follow the Extenuating Circumstances procedures to obtain an extension or a deferral in advance of any assessments affected by adverse circumstances.
	• To complete additional work to ensure sufficient coverage of the syllabus.
	• To complete '<u>Understanding Academic Integrity</u>', UCL's online and self-paced course designed to help you develop good academic practice.
	• To complete an Academic Writing in English or English Language Skills for Academic Purposes course.
	• To <u>provide evidence</u> of continuing medical or specialist treatment.

3. All UCL programmes require you to reach specific academic standards in order to be awarded a UCL qualification. Some programmes also have Fitness to Practise requirements or Professional Competency Standards (e.g. for clinicians or teacher training). UCL cannot reduce or change our academic or professional standards, but we can provide additional support to help you attain them.

Setting up a Support Plan

4. The Support Plan 'Author' will normally be your Departmental Tutor. Support Plans may also be set up by your Faculty Tutor or their nominee, or the Vice-Provost (Education & Student Experience) or their nominee.

5. Support Plans should be set up in a meeting between you and the author, which may be in person or online. The author may invite your Personal Tutor, Student Adviser or another appropriate member of departmental staff to attend the meeting. You may invite a friend, who should be a member of staff at UCL, Students' Union Adviser, or a student currently registered at UCL.

6. At the meeting, you will be given the opportunity to discuss your difficulties and the steps which you, your Department and your Faculty might be able to take to support you.

7. Templates are available to departments to help them write an effective plan.

8. The Support Plan must specify a duration and when your progress will be <u>reviewed</u>.

9. Support Plans should be sent to you as soon as possible and no more than ten working days after your meeting with the author.

10. If you do not engage with the process, do not respond to communications or do not attend a meeting, your Faculty Tutor (or their nominee) may require you to attend a <u>Mandatory Faculty Interview</u>.

7.4   Stage 2: Reviewing Your Support Plan

1. Your Support Plan will be reviewed at an appropriate point in time to ensure that it is supporting you effectively. Departments should aim to schedule the review around four weeks (and no more than eight weeks) after the Support Plan is first set up.

2. The review should take the form of a meeting between you and the author, which may take place in person or online. The author may invite your Personal Tutor, Student Adviser or another appropriate member of departmental staff to attend the meeting. You may

invite a friend, who should be a member of staff at UCL, Students' Union Adviser, or a student currently registered at UCL.

3. The review meeting will lead to one of the following outcomes:

   a) If your Support Plan is working effectively, it may be established as a long-term support mechanism for you. Your Department should arrange periodic check-ins with you to ensure that the Support Plan is continuing to work effectively. If your circumstances change, or your Support Plan stops working effectively, either you or your Department can initiate a more formal Stage 2 Review at an appropriate time. The Stage 2 Review may lead to a referral to the Support to Study Panel (see Stage 3 below).

   b) If the Support Plan has worked effectively and you are no longer having difficulties, the author may close your Support Plan and you will not be required to undertake any further actions.

   c) If the Support Plan is not working effectively and you are still having significant and persistent difficulties:

      i. You will normally be referred to the UCL Support to Study Panel (see Stage 3 below), or

      ii. The author may draw up a revised Support Plan with new or amended actions for you and your Department. If you are given a revised Support Plan, a second review meeting should be scheduled for an appropriate date. You will normally only be given a revised Support Plan on one occasion – if you are continuing to have difficulties, your Department should refer you to the Support to Study Panel for further help (see Stage 3 below).

4. You should receive the decision in writing within five working days of the Review Meeting.

7.5   Direct Referrals

1. Exceptionally, it may be necessary to refer you directly to the Support to Study Panel without putting a Support Plan in place first. This may be needed if, for example, you have very complex needs, you have already had a Support Plan in the past, or if you need more urgent help.

2. If your Department feels that a direct referral is needed, they will contact your Faculty Tutor (or their nominee) who will review your circumstances and make the referral if they think that would be the most effective and appropriate way of supporting you.

Provisional Mandatory Interruption

3. In very exceptional circumstances it may be necessary for UCL to immediately apply a Provisional Mandatory Interruption until the Support to Study Panel can meet. This should only be used when there are no other ways for UCL to ensure your safety or the safety of others.

4. A Provisional Mandatory Interruption must be approved by the Director of Education Services or Director of Student Operations as appropriate or their nominee. The Support to Study Panel will then meet as quickly as is practicable.

7.6   Stage 3: UCL Support to Study Panel

1. If your Support Plan is not providing the right level of support, or you are continuing to have significant and persistent difficulties that are affecting your studies, you may be referred to the UCL Support to Study Panel. The Panel is a small group of independent and experienced UCL staff who can look at the difficulties that you are having and how best UCL can support you.

Setting up a Support to Study Panel

2. The Secretary of the Support to Study Panel should let you know of the decision to hold a Panel as early as possible:

   a) If you are referred via a <u>Support Plan</u>, you should receive notice within fifteen working days of your Support Plan Review Meeting.

   b) If you have a <u>Direct Referral</u> from your Faculty Tutor (or their nominee) i.e. without a Support Plan being put in place first, the Secretary will let you know you as soon as possible.

3. The Secretary will send you:

   a) An invitation to agree a suitable date, time, and location for the Panel meeting.

   b) An invitation for you to submit a statement and/ or supporting evidence (see below).

   c) An invitation for you to bring a friend – this may be a friend, relative, Students' Union Adviser or another person who can support you through the process. Please note that, while the person may be legally qualified, they will not be acting in a legal capacity.

   d) A link to these Support to Study procedures.

Your statement and supporting evidence

4. You will be invited to submit a statement in advance of the meeting. This is optional, but it can help the Panel to understand your circumstances and the difficulties that you have been having. Your statement can be written or you may prefer to submit a video or audio recording. You will also have the opportunity to talk about your circumstances at the Panel meeting itself.

5. Your statement should include details of any 'mitigating factors' which you wish to be taken into consideration, such as Extenuating Circumstances, a disability or long-term medical or mental health condition, or other difficulties that are affecting your ability to study.

6. You will also be asked if you would like to submit any supporting evidence e.g. from a registered doctor or medical practitioner (see <u>Section 1.5: Providing Supporting Evidence</u>).

7. If you are in touch with UCL <u>Student Support and Wellbeing</u> or UCL <u>Student Psychological and Counselling Services</u> you may be able to ask them to provide some supporting evidence.

8. The <u>Students' Union Advice Service</u> can advise you on how to put together your statement and evidence, and what it would be helpful and appropriate to include.

9. You will need to send the Secretary your statement and supporting evidence at least **two working days** before the Support to Study Panel meeting.

10. If you need more time to gather evidence, you should submit your statement on time and tell the Secretary that your evidence is to follow. The Panel Chair will assess whether the Panel meeting should be postponed until your evidence is available, or whether the Panel should meet and allow you to submit your evidence afterwards.

You Department's statement and supporting evidence

11. The Secretary will also write to your Support Plan Author and Faculty Tutor (or their nominee) to ask them to provide a statement. This may include a case history, supporting evidence and any recommendations which they may have for possible panel outcomes.

Panel membership

12. The Panel will include:

    a) A Faculty Tutor (or equivalent) from another faculty, who will be Chair of the Panel; and
    b) A Sabbatical Officer of the Students' Union UCL; and
    c) The Director of Student Support and Wellbeing or their nominee; and
    d) The Director of Education Services or their nominee (who may act as Chair if required).

13. The quorum (minimum number of members present) for the Support to Study Panel is four, which must include the Chair or their nominee.

14. A Panel Secretary will also be appointed and will be responsible for communicating with you, circulating papers, organising meetings etc.

Panel meeting

15. The Panel meeting should take place no more than one calendar month after you receive the decision from the Support Plan Author, unless:

    a) There are reasonable circumstances that make this impractical, in which case you will be kept informed of this; or
    b) You have reasonable grounds to request a postponement of the Panel meeting to a later date.

16. The Secretary will provide both you and the Panel members with:

    a) A copy of your Support Plan(s).
    b) Your statement and/ or supporting evidence.
    c) The statement and/ or supporting evidence from your Support Plan Author/ Faculty Tutor.
    d) The Panel may also invite UCL Student Support and Wellbeing to provide a statement, if you are in touch with their service.

17. The meeting may take place in person or online. An audio recording of the meeting will be taken to act as a record in the event of an appeal.

18. At the meeting, the Support to Study Panel will:

    a) Ask you about any mitigating factors which you would like to be taken into consideration and what outcomes and/or support you would like to see.
    b) Discuss how UCL can provide immediate and/ or longer-term support with your mental and/ or physical health and wellbeing.
    c) Explain the possible outcomes of the meeting.

19. If you do not engage with the Support to Study Panel process, do not respond to communications or do not attend the Panel meeting, the Chair may agree to hold the Panel meeting in your absence and/ or your Faculty Tutor (or their nominee) may require you to attend a Mandatory Faculty Interview, under the procedures in Chapter 6, Section 4.

7.7   Outcomes of the Support to Study Panel

1. Following the meeting, the Panel will agree a plan of action. The Panel should consult with your Department and/ or Faculty to determine what outcomes are possible and appropriate on your particular programme. This may include one or more of the following:

	Outcome	What this means
1.	**New Support Plan**	• All students who are continuing their studies at UCL should have a new Support Plan put in place to provide continued support. • Relevant regulations: <u>Section 7.3: Support Plans</u>.
2.	**Any Extenuating Circumstances mitigation**	• The Panel may offer you any of the options available through the Extenuating Circumstances procedures, which includes (but is not limited to) extensions, deferrals, alternative methods of assessment and component or module exclusions. • Mitigations should be processed by the Support to Study Panel, but they may consult with your Department and/ or Faculty Extenuating Circumstances Panel to ensure that the mitigation is possible and appropriate. • You may be asked to provide supporting evidence to receive some mitigations, although the Support to Study Panel may agree to waive the evidence requirement in exceptional circumstances. • Relevant regulations: <u>Section 2: Short-term Illness and Other Extenuating Circumstances</u>.
3.	**Summary of Reasonable Adjustments (SoRA)**	• If you are eligible, the Panel may either recommend specific reasonable adjustments or refer you to Student Support and Wellbeing to create a SoRA. • You may be asked to provide supporting evidence to access some adjustments – see <u>Section 1.5: Providing Supporting Evidence</u>. • Relevant regulations: <u>Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions</u>.
4.	**Academic Adjustments**	• The Panel may recommend specific Academic Adjustments to support long-term commitments and responsibilities such as parenting, caring or religious observance. • Relevant regulations: <u>Section 4: Academic Adjustments</u>.
5.	**Exam Adjustments**	• The Panel may either recommend specific examination adjustments or refer you to Student Support and Wellbeing to assess your needs. • You may be asked to provide supporting evidence to access some adjustments – see <u>Section 1.5: Providing Supporting Evidence</u>. • Relevant regulations: <u>Section 5: Exam Adjustments</u>.
6.	**Change of Programme Diet and Module Substitutions**	• Your 'Programme Diet' is the combination of modules which you need to complete for a particular programme of study. It may be possible to change your programme diet by allowing you to change or substitute one or more modules. • Your Programme Diet still needs to meet the requirements of <u>UCL's Qualifications and Credit Framework</u> in terms of the number of credits completed at each level of study. • Relevant regulations: <u>Chapter 3, Section 2: Module Selection</u>.
7.	**Mandatory Deferral with Tuition in**	• You will need to retake the affected module(s) with attendance in the following academic session, but you will not pay additional tuition fees or forfeit an assessment attempt.

	Outcome	What this means
	specified module(s)	• The marks for a Deferral of a first attempt will be uncapped; the marks for a Deferral of a second attempt will be capped at the Pass Mark. • Deferrals are subject to the regulations in <u>Chapter 4, Part A, Section 8: Deferred Assessment</u>.
8.	**Mandatory Repeat in specified module(s)**	• You will need to retake the affected module(s) with attendance and tuition fees in the following academic session and you will forfeit an assessment attempt. • The marks for any modules successfully completed on Repeat will be capped at the Pass Mark. • Repeats are subject to the regulations in <u>Chapter 4, Part A, Section 9: Consequences of Failure</u>.

9.	**Mandatory Interruption of Study**	• You will be required to take time out of your studies and return the following academic session.
		• The Panel will determine the following, using <u>Section 6: Interruption of Study</u> to guide their decisions:
		  ▪ Your Date of Interruption.
		  ▪ Your Return Date.
		  ▪ Which modules you will carry forwards and which modules you will need to Repeat on your return from interruption.
		  ▪ Whether Extenuating Circumstances make you eligible for a Deferral with Tuition instead of a Repeat in any modules.
		  ▪ Whether Extenuating Circumstances make you eligible for an early Return Date.
		  ▪ Whether you require a <u>Student Support and Wellbeing Welfare Review</u> before you can return to UCL.
		• The Panel may need to consult with UCL's <u>Fees, Funding and Scholarship</u> teams, or UCL's <u>Visa and Immigration Compliance Team</u> to ensure that these are taken into consideration.
		• The Panel may need to consult with your Department and/ or Faculty on the details of your interruption to ensure that you are properly supported.
		• The Panel should also make arrangements to put in place a new Support Plan for when you return to UCL:
		  ▪ The new Support Plan should set out the steps which you need to take to maintain your performance and/ or engagement, and the support that is available from your Department, Faculty and UCL Student Support and Wellbeing.
		  ▪ Provisions must be made for the new Support Plan to be reviewed at an appropriate point in time to ensure that you are properly supported.
		• If you do not engage with your new Support Plan, you will not normally be eligible for another <u>Mandatory Interruption</u> and you may be at risk of a <u>Mandatory Withdrawal</u>.

	Outcome	What this means
		• You should be invited to attend an informal meeting with your Personal Tutor or another member of staff in your Department to help you complete a Return to Study Plan in Portico. This meeting is designed to help you think through the implications of interrupting – for example on fees, funding, visas, accommodation etc. - and to make sure there is a plan in place to make your return to UCL as smooth as possible. • Once the Mandatory Interruption is confirmed, you will be subject to the regulations in Sections 6.8 to 6.11: Interruption of Study. • Relevant regulations: Section 6: Interruption of Study • Student guidance: Interrupting or withdrawing from your studies.

10.	**Mandatory Change of Mode of Attendance**	• You will be required to transfer to Part-time or Flexible/ Modular study, if this is possible in the curriculum.
		   ▪ UCL Undergraduate programmes generally only operate in Full-time mode. If the curriculum will allow, it may be possible to create an exceptional Part-time mode for you.
		   ▪ Some Taught Postgraduate programmes already have Part-time or Flexible/ Modular modes of attendance to which you can be transferred. If a different mode does not currently exist, it may be possible to create a Part-time or Flexible/ Modular mode for you, if the curriculum can accommodate this.
		• Relevant regulations: Chapter 3, Section 6: Change of Mode of Attendance.

11.	**Mandatory Programme Transfer**	• You will be required to transfer to a different programme of study, where an appropriate programme is available.
		• This may include transfers:
		   ▪ From a Study Abroad programme onto a standard programme
		   ▪ From a Placement programme onto a standard programme
		   ▪ From an Integrated Masters programme onto a Bachelors programme
		   ▪ To a programme with a curriculum more suited to your abilities.
		• Relevant regulations: Chapter 3, Section 5: Programme Transfers.

12.	**Mandatory Withdrawal from UCL**	• You will be required to discontinue your studies at UCL.
		• The Panel will:
		   ▪ Consider whether you require any immediate or longer-term support with your mental and physical health and wellbeing.
		   ▪ Consider whether you might be eligible for an Interim Qualification.
		   ▪ Confirm the arrangements for providing you with a transcript for any modules successfully completed.

	Outcome	What this means
		▪ Confirm the formal date of withdrawal. ▪ Ensure that you are aware of how to formally appeal the decision. ▪ Once you are withdrawn, you will not normally be eligible to have your UCL record re-opened. - Relevant regulations: <u>Chapter 3, Section 7: Withdrawing from a Programme</u>. - Student guidance: <u>Withdrawing from your programme</u>

Once a decision has been made

2. After the Panel, you will be invited to a follow-up meeting with the Chair or their nominee to discuss the outcome.

3. The meeting may take place in person or online. The Chair may invite your Personal Tutor, Student Adviser or another appropriate member of departmental staff to attend the meeting. You may invite a friend, who should be a member of staff at UCL, Students' Union Adviser, or a student currently registered at UCL.

4. You should also receive a formal written notification of the decision within ten working days of the follow-up meeting. If you do not wish to attend the follow-up meeting, or you do not respond to reasonable attempts to communicate with you, the Panel will issue a written decision.

5. The outcome of the Panel should not be formally applied to your student record until the ten-working day appeals window has closed (see <u>Section 7.8</u> below).
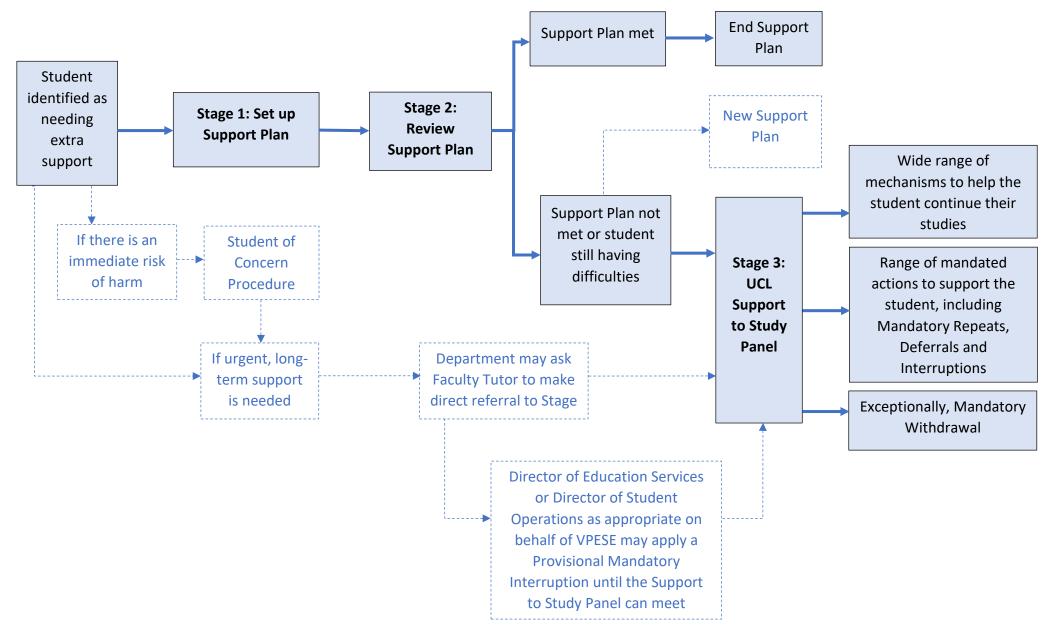
7.8   Appealing a Support to Study Panel decision

1. If you are dissatisfied with a decision made by the Support to Study Panel, appeals may be considered on the grounds that there was a significant procedural irregularity in the conduct of the Support to Study Panel that had a material impact on the fairness of the panel outcome.

2. Appeals must be submitted to the Support to Study Panel Secretary within ten working days of the official notification of the panel's decision.

3. Appeals will be considered by a senior member of staff nominated by the Vice-Provost (Education & Student Experience)/ Director of Education Services or Director of Student Operations as appropriate. The Appeal Assessor must not have been involved in the case previously.

4. Where an appeal is upheld in part or in full the Appeal Assessor will either:
   a) Request that the original Support to Study Panel reviews its decision, with recommendations as required.
   b) Appoint a new Support to Study Panel with members who were not involved in the original decision to look at the case and make a new decision.

5. Where an appeal is upheld, an outcome letter will be issued explaining what actions will be taken. A Completion of Procedures letter can be issued upon request.

6. Where an appeal is not upheld and is rejected the Appeal Assessor must provide a clear reason for any decisions reached and confirm that the original decision being appealed against will stand.

7. The outcome of an appeal that is not upheld will be issued in the form of a Completion of Procedures letter.

8. If you remain dissatisfied, once you have received a Completion of Procedures letter confirming that the internal procedures of UCL have been concluded, you have the right to submit a complaint for review to the Office of the Independent Adjudicator for Higher Education (OIA). OIA complaints must be submitted no more than 12 months from the date of the Completion of Procedures letter, using the OIA's Scheme Application form, available from the OIA website.

7.9   Flow Chart: Support to Study Procedure

Solid boxes/ lines indicate expected process. Dotted lines indicate other possible options.

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Student                Stage 1: Set up        Stage 2:              Support Plan met ──→ End Support
identified as    ──→   Support Plan    ──→    Review        ──┬──→                       Plan
needing                                       Support Plan    │
extra                                                         │                          New Support
support                                                       │                          Plan
  │  ┊                                                        │
  │  ↓                                                        ↓
  │  If there is an      Student of                 Support Plan not    Stage 3:    ──→  Wide range of
  │  immediate risk ──→  Concern                    met or student ──→  UCL              mechanisms to help the
  │  of harm             Procedure                  still having        Support         student continue their
  │                         ┊                       difficulties        to Study        studies
  │                         ↓                                           Panel      ──→  Range of mandated
  └───→ If urgent, long- ──→ Department may ask ──────────────→                         actions to support the
        term support        Faculty Tutor to make                                       student, including
        is needed           direct referral to Stage                                    Mandatory Repeats,
                                   ┊                                                     Deferrals and
                                   ↓                                                     Interruptions
                            Director of Education Services  ──→  Exceptionally, Mandatory
                            or Director of Student                    Withdrawal
                            Operations as appropriate on
                            behalf of VPESE may apply a
                            Provisional Mandatory
                            Interruption until the Support
                            to Study Panel can meet
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UCL Academic Manual 2022-23

Chapter 3: Registration Framework for Taught Programmes

Chapter 3 is UCL's regulatory framework for student registration on taught programmes at UCL. Further guidance is available in the Student Status webpages. Students should also refer to their programme handbooks and departmental/divisional literature for more detailed information about the regulations applicable to their studies.

1   Period of Registration

1.1   Length of Registration

1.   Taught students must be registered with UCL for the full length of their programme of study, including term times and the intervening vacation periods.
     a)   Each individual Programme Summary defines the specific duration of the programme for each Mode of Attendance, and the possible start dates.
     b)   UCL's threshold standards for the duration of each UCL qualification are defined in Chapter 7, Part A: Qualifications and Credit Framework.
     c)   Term dates are determined by UCL each year and published by UCL Student and Registry Services.
2.   Students may be required to extend their period of registration if they are undertaking Resits, Repeats or Deferrals, or if they wish to take an Interruption of Study:
     a)   All assessments must be completed within two years of the student's initial registration on a module – see Chapter 4, Part A, Section 9: Consequences of Failure for full details.
3.   Where a student needs to complete a Resit or Deferral after their period of registration has ended, the student may be registered as a 'Resitting' student for a further three months, providing access to the Library, e-learning environments and appropriate facilities, but not tuition.
     a)   **Subject to approval by the Faculty Tutor**, the period of three months may be extended for students with later deadlines.
     b)   Students must ensure that they continue to meet the requirements of any visa under which they are studying. Further advice is available from UCL's Visa and Immigration Office.

1.2   Enrolment and Re-Enrolment

1.   Students must enrol or re-enrol at the beginning of each Academic or Calendar Year of their programme.

Enrolment Deadlines

2.   Enrolment and re-enrolment should be completed by the following deadlines:

September Starters:	Term 1, Week 3	Week 7 in the UCL administrative calendar
January Starters:	Term 2, Week 2	Week 21 in the UCL administrative calendar
Online Programmes:	Week 2 of the quarter in which the student first enters the programme.	

3.   Exact dates are determined by UCL and published annually by UCL Student and Registry Services.
4.   A returning student may be permitted to re-enrol up to two weeks after the stated deadlines if there are good reasons. Students must contact UCL Student Records via askUCL before missing the deadlines.

Enrolment Location

5.   Students on Online Programmes must complete all pre-enrolment, enrolment and re-enrolment activities as directed by Student and Registry Services.
6.   All other students are required to enrol and re-enrol by the following methods:

a) New students must enrol online via Portico.

b) Returning students should re-enrol online via Portico, although they may be required to re-enrol in person in some circumstances (e.g. students on a Student Visa returning from an interruption of study). Students are responsible for contacting UCL Information Services Division to ensure that their username and password are correct.

1.3   Modes of Attendance

1. Each individual Programme Summary must define the approved Modes of Attendance for a specific programme. Not all Modes of Attendance are available on all programmes.

2. UCL's standard Modes of Attendance are:

   - **Undergraduate Programmes:** Full-time, Part-time
   - **Graduate Certificate:** 12 weeks full-time, 1 academic year part-time, 2 calendar years of flexible study
   - **Graduate Diploma:** 1 academic year full-time, 2 academic years part-time, 5 calendar years of flexible study
   - **Postgraduate Certificate:** 12 weeks full-time, 1 academic year part-time, 2 calendar years of flexible study
   - **Postgraduate Diploma:** 1 academic year full-time, 2 academic years part-time, 5 calendar years of flexible study
   - **Taught Masters:** 1 calendar year full-time, 2 calendar years part-time, 5 calendar years of flexible study
   - **Research Masters:** 1 calendar year full-time, 2 calendar years part-time, 5 calendar years of flexible study.

3. **Subject to approval by UCL Education Committee or its nominee**, a programme may operate on a different attendance pattern to those described above.

4. Modes of Attendance, Academic and Calendar Years are defined in Chapter 7, Part A: Qualifications and Credit Framework.

5. If a student wishes to change their Mode of Attendance, they must follow the procedures in Section 6: Change of Mode of Attendance.

1.4   Student Type

1. Taught students should be registered at UCL as one of the following:

   - **Full Student:** A student who is registered on a UCL programme of study leading to the award of a higher education qualification.
   - **Affiliate Student:** A student who is registered at another higher education institution who studies at UCL for one, two or three terms. Affiliate Students do not qualify for a UCL qualification.
   - **Intercollegiate Student:** A student who is registered at another higher education institution who is also registered on one or more individual UCL modules. Intercollegiate Students do not qualify for a UCL qualification.

2. Additional categories for short courses are defined in Chapter 10: Short Course Framework.

3. Additional categories for Postgraduate Research programmes are defined in Chapter 5: Research Degrees Framework.

1.5 Registration Status

1. A student may be registered at UCL under the following statuses:
   - **Fully Enrolled:** A student who is fully enrolled on a programme of study leading to the award of a higher education qualification at UCL.
   - **Resitting:** A student who is enrolled only on Resits and/ or Deferrals without Tuition. The student is not receiving tuition and does not have to be in attendance, but should have access to UCL libraries, e-learning environments and other learning facilities.
   - **Repeating:** A student who is enrolled only on Repeats and/ or Deferrals with Tuition. The student is receiving tuition, is in attendance for the affected modules and has full access to UCL facilities.
   - **Provisionally Progressed:** An undergraduate student who has been allowed to proceed to the next year of study because it is not yet possible to make a formal decision about their Progression status. Such students generally fall into one of the following categories:
     - A student who is not yet able to formally progress because marks have not been received from an external provider.
     - A student who has outstanding Deferrals (or, exceptionally, reassessments) in a maximum of 30 credits, and who has been permitted to take these in tandem with the next year of study.

     A Provisionally Progressed student is permitted to re-enrol, attend teaching events and to access UCL facilities. However the student cannot formally Progress to the subsequent year of study until the outstanding credits are passed or formally condoned by the Board of Examiners.
   - **Interrupted:** A student who has temporarily interrupted their programme of study and whose enrolment at UCL has been temporarily suspended.
   - **Suspended:** A student whose enrolment at UCL has been temporarily suspended, for example on grounds of academic insufficiency, disciplinary matters, academic misconduct, or visa non-compliance.
   - **Terminated:** A student whose enrolment at UCL has been permanently terminated, for example on grounds of academic insufficiency, disciplinary matters or academic misconduct, and whose student record is now closed.
   - **Withdrawn:** A student who has formally withdrawn from their registration at UCL and whose student record is now closed.
   - **Awarded Degree:** A student who has been awarded a UCL degree and whose student record is now closed.

1.6 Dual Registration

1. The following categories of student may be formally registered at UCL at the same time as being registered with another institution:
   a) An Affiliate Student
   b) An Intercollegiate Student
   c) A UCL student undertaking an intercollegiate module at another Higher Education institution
   d) A UCL student undertaking a period of Study Abroad
   e) A UCL student enrolled on a joint, double or dual degree programme delivered in partnership with another institution.
   f) A student may register and commence their studies on a UCL teacher training programme before they have completed the final assessment – typically a dissertation or project - of another Masters level programme, at UCL or another higher education institution, if this is due to be submitted within two months of commencing the teacher training programme.

2. All other students must not be registered on a programme at UCL at the same time as being registered on, or re-sitting examinations for, another programme at UCL or any other Higher Education institution.
3. A student may accept an offer of a place at UCL at the same time as being registered on, or re-sitting examinations for, another programme at UCL or any other Higher Education institution.

1.7 Closing and Re-Opening Records

1. A student's record will be closed if they:
   a. Are awarded a qualification, or
   b. Withdraw from the programme, or
   c. Fail the programme, or
   d. Do not enrol or re-enrol by the published deadlines, and do not respond to attempts to contact them
2. If a student's record is closed because they are unable to complete their intended programme of study, whether due to Extenuating Circumstances or under-performance, they may be eligible for an Interim Qualification, if they meet the criteria in Chapter 4, Part A: Section 10: Interim Qualifications.
3. Once a record has been closed, the student will not normally be permitted to re-register on the same programme at UCL.
4. Exceptionally, the Faculty Tutor may permit a student to re-register and formally ask UCL Student Records to re-open the student's record if:
   a) The student does not re-register on a module that they have already passed, and
   b) The student has not exhausted the number of permitted attempts on any given module, and
   c) The student will not exceed the maximum two-year assessment window on any given module, and
   d) The student does not exceed the maximum registration period (e.g. five years for a Flexible/Modular student), and
   e) The student surrenders any interim qualifications which they have already received for the same credits (subject to the professional accreditation exemptions in Chapter 1, Section 2.8.4: Accredited Prior Learning for Advanced Entry to Taught Programmes).
5. Records can only be re-opened within five years of the record being closed.

2 Module Selection

2.1 Module Selection and Approval Process

1. For new students, as soon as pre-enrolment has been completed students should select the modules which they wish to take in that Academic or Calendar Year, by the published deadlines. For continuing students, module selection takes place at the beginning of term three each year and timelines will be published in advance.
2. All steps are completed through Portico, UCL's Student Record System.
3. Students must meet the module requirements defined in the Programme Diet, including the credit value and academic level of each module, and any rules for compulsory, optional or elective modules, pre-requisites or co-requisites:

   - **Compulsory:** Modules which students must take to successfully complete a particular Programme or Route.
   - **Option:** Specific, limited collections of Modules from which students may choose within their Programme of Study.
   - **Elective:** Broad collections of Modules which may be thematically grouped, from which students may choose, and which may be from outside their main Programme of Study.
   - **Prerequisite:** A specified preparatory Module which must have been successfully completed for a student to enrol on a subsequent Module.
   - **Co-requisite:** A specified Module which must be taken at the same time as another Module.

4. All Optional and Elective module selections are provisional until they have been confirmed by both the Parent and Teaching Departments/Divisions:
   a) The Parent Department/Division is responsible for the programme on which a student is registered.
   b) The Teaching Department/Division is responsible for the delivery of a module to students and is responsible for the assessment of students enrolled on the module.
   c) In many cases the Teaching and Parent Department/Division are the same, and only one approval is needed.
5. If approval is not given, students should seek academic advice from their Personal Tutor or other staff in the Parent Department/Division.
6. Students must satisfy the assessment requirements for each module on which they are registered. If a student is unable to meet these requirements due to illness or other Extenuating Circumstances, they should follow the procedures in Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances. Students who absent themselves from any module assessment without approval must be recorded as absent and deemed to have made an attempt. Any further attempt, of the original module or another module, must be treated as a second attempt.

2.2 Number of Modules to be Selected

1. Students must register on the following numbers of credits in each Academic or Calendar Year unless they are registered as a Flexible student, or they are undertaking Resits, Repeats or Deferrals (see below). The Programme Diet may include more detailed requirements:

   Undergraduate Programmes

   - Full-time: 120 credits per year
   - Part-time: 60 credits per year

Graduate Certificate

- Full-time: 60 credits per year
- Part-time: 30 credits per year

Graduate Diploma

- Full-time: 120 credits per year
- Part-time: 60 – 90 credits per year

Postgraduate Certificate

- Full-time: 60 credits per year
- Part-time: 30 credits per year

Postgraduate Diploma

- Full-time: 120 credits per year
- Part-time: 60 – 90 credits per year

Taught Masters

- Full-time: 180 credits per year
- Part-time: 60 - 120 credits per year

Extended Taught Masters (>180 credits)

- Full-time: Up to 180 credits per year
- Part-time: 60 - 120 credits per year

Research Masters

- Full-time: 180 credits per year
- Part-time: 60 - 150 credits per year

Extended Research Masters (>180 credits)

- Full-time: Up to 180 credits per year
- Part-time: 60 - 150 credits per year

2. Students must register on the exact number of credits required for their programme; they must not register on too many or too few credits.
3. Students must register on the number of credits at each Level of Study (e.g. Level 6, Level 7) required by their Programme Diet. Students are permitted to exceed the minimum but must not take too few credits at any Level.
4. Where a student undertakes a module during the long summer vacation, the credits of that module must be assigned to either the previous or next year as appropriate, but the total number of credits in each year should not exceed the parameters defined above.

Flexible Programmes

5. On Flexible programmes, students may choose the number of credits which they wish to study in each year. Individual programmes may specify a minimum or maximum for each year, or may stipulate the order in which modules should be taken, in the Programme Diet.

Reassessment and Deferrals

6. Students undertaking a Deferral with Tuition should select only the modules being deferred. Students may select the original module or a substitute module, as long as the requirements of their Programme Diet are met.

7. Students who are Repeating a failed module should select only the modules being repeated. Students may select the original module or a substitute module, as long as the requirements of their Programme Diet are met.

8. Subject to the regulations in Chapter 4, Part A: Assessment Regulations for Taught Programmes, a student may be permitted to undertake a Deferral with or without Tuition or, exceptionally, a Resit or Repeat, in up to 30 credits in tandem with the next year's modules. For Resits students must select the same module. For Repeats and Deferrals with Tuition students may select the original module or a substitute module, as long as the requirements of their Programme Diet are met.

Overlapping Content

9. Students must not register on a module where the academic assessment is deemed to overlap with any module which they have already taken and passed.

10. Students must not re-register on a module if they have exhausted all permitted attempts.

2.3 Modules from Outside UCL

1. Students should only select modules offered by UCL unless otherwise specified in the Programme Diet.

2. Exceptionally, the Faculty Tutor may permit a student to register on a module at another Higher Education institution which is not specified in the Programme Diet:
    a) Applications should be made in writing to the Faculty Office.
    b) Decisions will be made on a case-by-case basis.
    c) Approval is usually restricted to another institution within the University of London. However, in some cases, agreements between UCL and other institutions are in place.
    d) The module must have an appropriate credit-weighting, be at an appropriate Academic Level, and enable the student to successfully complete their programme of study at UCL.
    e) Evidence must be provided from the institution offering the module that they are willing to accept the student.
    f) Requests must be supported by the student's Parent Department/ Division.
    g) Registration on external modules must not be considered as grounds for Extenuating Circumstances or appeal at a later date.

3. Where a student is permitted to select modules from outside UCL, the other Higher Education provider is responsible for the management of the student experience for that module. This includes:
    a) Running the assessment and any reassessments for that module
    b) Working with the relevant UCL Extenuating Circumstances Panel to consider requests for mitigation (some forms of mitigation will need to be applied by the host, some by UCL)
    c) Reasonable Adjustments and Examination Adjustments for the modules concerned, in consultation with the student's UCL Department/ Division and with the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW).
    d) Institutional disciplinary and complaints procedures relating to the module
    e) Notifying UCL of students' academic achievement for the module
    f) Quality assurance of the teaching and learning experience on that module.

4. The student will fall under UCL's regulations in all other respects, including those for Progression and Award, Classification and the Consequences of Failure (see Chapter 4, Part A: Assessment Regulations for Taught Programmes).

5. Students must note that other institutions may operate different marking systems and regulations. Term dates at other institutions may be different and examinations may not necessarily take place during the normal UCL examination periods.

6. If a student experiences a timetabling clash due to an external module, they must contact their Parent Department/ Division for advice as soon as possible.

2.4   Deadlines for Module Selection

1. Module selections must be made by the following deadlines; if a student wishes to change a module selection after these dates, they may be able to do so at the discretion of their Parent Department/ Division and in accordance with 2.5 Late Module Selection.

September New Starters

Student selects modules for the year ahead:	Term 1, Week 3	Week 7 in the UCL administrative calendar
Departments approve selections for the year ahead:	Term 1, Week 5	Week 9 in the UCL administrative calendar

September Start Continuing Students

Student selects modules for the year ahead by:	Term 3, Week 3
Departments approve selections for the year ahead by:	14 July 2023 (visible to students from 17 July)
Re-selection window for students who were not successful in getting a place on their preferred modules:	17 July 2023 – 31 July 2023 A limited number of re-selection requests after this date may be approved at your department's discretion up until term 1, week 3 Any requests after term 1, week 3 should be made in line with 2.5 Late Module Selection

January Starters

Student selects modules for the year ahead:	Term 2, Week 2	Week 21 in the UCL administrative calendar
Departments approve selections for the year ahead:	Term 2, Week 3	Week 22 in the UCL administrative calendar

January Start Continuing Students

Student selects modules for the year ahead:	Term 2, Week 2	Week 21 in the UCL administrative calendar
Departments approve selections for the year ahead:	Term 2, Week 3	Week 22 in the UCL administrative calendar

Online Programmes

Students must make their initial module selections as part of the initial pre-enrolment task. For all subsequent Teaching Periods (term, quarter), students must make their module selections before the relevant Teaching Period commences.

2. Exact deadlines will be published each year in the Student and Registry Services calendar and on student and staff module selection webpages.

a) On Online Programmes, exact deadlines will be set, managed and communicated by the Department.

3. If a student wishes to change a module selection, they must do so by the deadlines in 2.5 Late Module Selection.

4. For September-starters, Student and Registry Services will ask students to formally confirm their module selections in Portico by the end of Term 1, Week 11 (Week 15 in the UCL administrative calendar). The Examination Timetable will be based upon the module selection information that is recorded on Portico at the end of Term 1, Week 12 (Week 16 in the UCL administrative calendar).

5. For January-starters, the Examination Timetable will be based upon the module selection information that is recorded in Portico at the end of Term 2, Week 3 (Week 22 in the UCL administrative calendar).

2.5 Late Module Selection

1. Exceptionally, a student may be permitted to change a module selection after term 1, week 3. Changes cannot be guaranteed, particularly if the student will miss a substantial amount of teaching.

2. Late module changes must satisfy the following criteria:
   a) There must be places available on the module.
   b) The changes must be consistent with the student's Programme Diet.
   c) The student must be able to satisfy their faculty's attendance requirements.
   d) The student must continue to meet the requirements of any visa under which they are studying.

3. All requests must be submitted to the Parent Department/ Division in the first instance. The Parent Department/ Division will consider the request and, where applicable, liaise with the Teaching Department/Division to assess whether the late module change is possible.

4. If the Parent and Teaching Departments/ Divisions support the request, they will seek Parent Faculty approval.

5. If a late change affects central examinations, it may not be possible to include the student in the Examination Timetable and the Department/ Division may be required to run the examination in the Department.

6. Unless requested otherwise, the change of module selection will be backdated to the start of the academic session.

7. Students must continue to meet the requirements of the original module until the change is formally approved. Students who absent themselves from the assessment of the original module before they have formally transferred to the replacement module will be recorded as absent and deemed to have made an attempt. Any further attempt, of the original module or replacement module, must be treated as a second attempt.

3   Attendance and Absence

3.1   Attendance Requirements

1. UCL's attendance requirements are defined in Annex 3.2: Student Engagement Monitoring Policy.
2. Minimum attendance requirements are set at Faculty level and must be published in the Student Handbook or equivalent.
3. Students whose attendance falls below their faculty's minimum attendance requirement may be subject to the regulations in Chapter 6, Section 3: Academic Insufficiency Procedure, subject to faculty policy.
4. Undergraduate students must meet the minimum attendance requirements during UCL Term Times. Outside of term-time, there is no requirement for students to be present on campus or to notify absence.
5. Taught Postgraduate students must meet the minimum attendance requirements during UCL Term Times:
   a) During the Christmas and Easter breaks, students are normally expected to study independently and there is no need to notify absence. If attendance is required outside of UCL Term Times, Departments must ensure that students are made aware of this at the start of the programme.
   b) Where Masters students are studying for their dissertation/ research project during the summer vacation, they may be based at UCL or may work remotely – individual arrangements should be agreed with the supervisor.
   c) Some PGT programmes may require attendance during the UG summer vacation e.g. to undertake placements or attend taught modules. Students should refer to their Student Handbook or equivalent for full details.
6. Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances describes the procedures in place for students who are unable to attend an examination or submit a piece of work for summative assessment due to illness or other extenuating circumstances.
7. Chapter 2, Section 6: Interruption of Study describes the procedures in place for students who are unable to attend UCL for an extended period of time.

3.2   Study Away from UCL

1. A student may be permitted to study away from UCL on academic grounds as part of the standard delivery of their programme or module e.g. when undertaking a placement or fieldwork, or a year of study abroad as part of the degree programme. Where such a period of study is part of an approved programme or module, students do not need to gain further permission to study away from UCL.
2. Students may also be permitted to study away from UCL on academic grounds which are not part of the standard delivery of a programme or module e.g. collecting data or conducting research. Such a period of study away from UCL must not be taken until it is authorised by the Departmental Tutor/Programme Organiser. Students must inform their Departmental Tutor/Programme Organiser before they intend to study away from UCL, and provide the location of study and the reason for doing so. The period of this form of study away from UCL must not exceed three months.
3. Under UK immigration requirements, UCL is required to record where students are studying if not at UCL. Students on a Student Visa must, therefore, also inform UCL's Immigration Compliance Office of any period of study away from UCL.
4. Students are expected to be in regular contact with their academic department during any period of study away from UCL.

4 Affiliate Student Registration

4.1 Definition of an Affiliate Student

1. An Affiliate Student is a student who is registered at another higher education institution who studies at UCL for one, two or three terms. Affiliate Students do not qualify for a UCL qualification.
2. Affiliate Students usually study on a full-time basis although they may register on a part-time basis if this mode of study is available on the UCL programme.
3. Affiliate Students must be assigned a named UCL Parent Department/ Division.
4. Affiliate students are subject to the regulations set out in the UCL Academic Manual and all other terms and conditions of enrolment whilst they are registered with UCL.
5. Registered Affiliate Students have the same rights and entitlements as all UCL taught students.
6. The entry requirements for Undergraduate and Taught Postgraduate Affiliate Students, including English Language Proficiency Requirements, can be found in Chapter 1: Student Recruitment and Admissions. Further information on Affiliate Student applications is available from UCL Access and Admissions.
7. Further information is available from the Affiliate Study at UCL web pages.

4.2 Affiliate Student Registration Period

1. Affiliate students will be registered at UCL for one, two and/ or three academic terms.
2. Where Affiliate Students study at UCL for one term only, their registration will extend to the start of the following term to allow them access to libraries and facilities while completing assessments.

4.3 Affiliate Student Module Selection

1. Affiliate Students who have accepted an offer of a place at UCL should agree their module choices with their UCL Parent Department/Division before proceeding with the Module Selection process (see Section 2: Module Selection).
2. Affiliate Students must also check whether their module selections require approval by their Home Institution.
3. Full-time Affiliate Students should select modules totalling the following numbers of credits; Part-time Affiliate Students should select modules pro-rata for their intensity of study:

Number of Credits to be Selected

Undergraduate Affiliates

- **Term 1 only at UCL:** Select 30 to 60 credits
- **Term 2 only at UCL:** Select 30 to 60 credits
- **Term 1 and 2 at UCL:** Select 60 to 120 credits
- **Term 2 and 3 at UCL:** Select 60 to 120 credits
- **Terms 1, 2 and 3 at UCL:** Select 60 to 120 credits

Taught Postgraduate Affiliates

- **Term 1 only at UCL:** Select 15 to 60 credits
- **Terms 2 and 3 at UCL:** Select 15 to 60 credits
- **Terms 1, 2 and 3 at UCL:** Select 15 to 120 credits

4. In addition, the student's Home Institution and/ or the UCL Parent Department/ Division may specify some or all of the following requirements:
   a) That the student selects a minimum or maximum number of credits within the above parameters
   b) That the credits are undertaken within defined fields of study
   c) That a proportion of the credits are taken within the UCL Parent Department/ Division
   d) That the credits are undertaken at defined academic levels.

4.4 Assessment and Reassessment

1. Resits, Repeats and Deferrals for Affiliate Students should be conducted as closely as possible to the UCL norms. Affiliate Students must also seek advice from their Home institutions as to whether failed modules must be reassessed and, if so, how reassessment marks will be recognised by their Home institution.

4.5 Certification and Transcripts

1. Affiliate Students will be awarded credit by UCL for the successful completion of assessed modules.
2. Affiliate Students are entitled to receive a transcript of their achievement at UCL in both UCL credits and European Credit Transfer Scheme (ECTS) credits. Certification is managed by UCL Student Records.

5   Programme Transfers

5.1   Requesting a Transfer

1.   Subject to approval by the Departments/ Divisions and Faculties concerned, a student may be permitted to transfer from one UCL programme to another, if certain conditions are met. This includes, inter alia:
     a) Transfer to a different Programme of Study
     b) Change of Route within a programme
     c) Transfer from Integrated Masters to Bachelors, and vice versa
     d) Transfer from a Study Abroad programme to a cognate programme with no Study Abroad requirement
     e) Transfer from a Placement programme to a cognate programme with no Placement requirement
     f) Transfer from a BA programme to a cognate BSc programme (e.g. BA Geography to BSc Geography) and vice versa
     g) Transfer between Masters, PG Dip or PG Cert programmes.

2.   Transfer between programmes cannot be guaranteed. Students must not assume a transfer will be approved and they will remain registered on the current programme until official approval is obtained.

Definitions

3.   The 'Current' Department/ Division and Faculty refers to the programme on which the student is currently registered.

4.   The 'Receiving' Department/ Division and Faculty refers to the programme to which the student intends to transfer.

Making an Application

5.   The online Programme Transfer Form on Portico must be completed for all applications.

6.   For further information see the Students' web pages.

5.2   Deadline for Transfers

1.   In order to be compatible with module selection deadlines, Programme Transfers should be made by the following deadlines **in the effective year**:

September Starters:	Term 1, Week 5	Week 9 in the UCL administrative calendar
January Starters:	Term 2, Week 3	Week 22 in the UCL administrative calendar

2.   For transfers between Integrated Masters and cognate Bachelors programmes, transfers must be completed by the following deadlines:

Transfer from Bachelors to Integrated Masters	The Friday before the last day of Term 3, Year 3	The Friday of Week 40 in the UCL administrative calendar
Transfer from Integrated Masters to Bachelors	The day before the start of Term 1 of the Masters year	The Friday of Week 4 in the UCL administrative calendar

Please note: Students who transfer to a Bachelors programme after 1 April can only attend a graduation ceremony in the following year.

3. Transfers for a subsequent year may be arranged at any time but should be made by the above deadlines in the effective year.
4. A later transfer may be permitted if the Programme Diets are compatible or can be made compatible, and if the student can still meet the requirements of the receiving programme of study.

5.3 Minimum Criteria for Approval

1. Applications must only be considered if the following criteria are met:
   a) The student should have met the standard entrance requirements of the receiving programme and should not have received a rejection to a previous application.
   b) The receiving Department/Division must have sufficient capacity in terms of student numbers.
   c) The student must have a good attendance record and be demonstrably engaged with their studies.
   d) The student should be able to meet the requirements of any visa under which they are studying.
   e) For transfers from Bachelors to Integrated Masters programmes, the student must have met any Progression Requirements defined in the Portico Progression and Award Rules Tool e.g. minimum levels of performance.

5.4 Approval of Transfers within a Department/ Division

1. For transfers within a Department/ Division, the Department/ Division must first assess the application against the Minimum Criteria for Approval in 5.3 above.
2. If the criteria are met, the Department/ Division must determine whether the student's learning to date meets the requirements of the receiving programme, or if adjustments to the Programme Diet would be needed:
   a) If the transfer requires no changes to the Programme Diet, or only the notional adjustment of modules as compulsory, optional or elective to satisfy the Programme Diet, the Department/ Division may approve the application, notifying the Faculty and examboards@ucl.ac.uk using the online form in Portico.
   b) If there are more substantive differences in the Programme Diets the Department/ Division should forward the application to the Faculty Tutor for consideration enclosing the following:
      i. A mapping of the two Programme Diets which flags any discrepancies requiring resolution, and
      ii. A reference concentrating on the student's attendance, engagement with their studies and any other relevant information.

5.5 Approval of Transfers between Departments/ Divisions

Consideration by the Current Department/ Division

1. For transfers between Departments/ Divisions applications must be considered by the current Department/ Division in the first instance.
2. The current Department/ Division should compile a reference, concentrating on the student's attendance, engagement with their studies and any other relevant information, and forward this with the application to the receiving Department/ Division.

Consideration by the Receiving Department/ Division

3. The receiving Department/ Division must assess the application and reference against the Minimum Criteria for Approval in 5.3 above.
4. If the criteria are met, the receiving Department/ Division must determine whether the student's learning to date meets the requirements of the receiving programme, or if adjustments to the Programme Diet would be needed:
   a) If the transfer requires no changes to the Programme Diet, or only the notional adjustment of modules as compulsory, optional or elective to satisfy the Programme Diet, the receiving Department/ Division may approve the application using the online form in Portico, which will notify the current Department/ Division, the current and receiving Faculties and examboards@ucl.ac.uk.
   b) If there are more substantive differences in the Programme Diets the receiving Department/ Division must forward the application to the receiving Faculty Tutor for consideration enclosing the following:
      i. A mapping of the two Programme Diets which flags any discrepancies requiring resolution, and
      ii. The current Department/ Division's reference, concentrating on the student's attendance, engagement with their studies and any other relevant information.

5.6 Transfers Requiring Faculty Approval

1. If the transfer cannot be approved at Departmental/ Divisional level, applications must be forwarded to the receiving Faculty Tutor for consideration.
2. After scrutiny of the evidence submitted, the receiving Faculty Tutor must make one of the following decisions:
   a) That the transfer can be approved with no changes to the Programme Diet.
   b) That the transfer can be approved with the notional adjustment of modules as compulsory, optional or elective to satisfy the Programme Diet.
   c) That the transfer can be approved but requires the Recognition of Prior Learning (RPL) to align the Programme Diets.
   d) That the transfer cannot be approved.
3. If the application is approved, the Faculty Tutor should document the following in the online form in Portico:
   a) Any modules for which RPL is granted
   b) Any approved variations from the standard Programme Diet
   c) Any approved variations in the Progression and Award Requirements and/ or the Classification algorithm which might result from the changes in Programme Diet (e.g. where regulations vary between faculties or departments/ divisions).
4. On receipt of an approved application, UCL Student Records will amend the student's record to reflect the new Programme Diet.

6 Change of Mode of Attendance

6.1 Criteria for Changing Mode of Attendance

1. The Programme Summary defines the approved Modes of Attendance on a particular programme (Full-time, Part-time and/ or Flexible). A student may be permitted to change their Mode of Attendance where:
   a) The student will still be able to complete the requirements of the programme.
   b) The student will still be able to fulfil the requirements of any visa under which they are studying.
2. Exceptionally, and subject to approval by the Faculty Tutor, a student may be permitted to change to Part Time or Flexible study where it is not an approved Mode of Attendance in the Programme Summary.
3. On Masters programmes, students are only permitted to change mode during the taught modules. A student must not change mode in order to postpone submission of their Dissertation/ Substantive Project. If a student has Extenuating Circumstances, they may apply for an extension or deferral of assessment via the procedures in Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.
4. Where a student is Repeating or Deferring with Tuition, they will be registered on the affected modules only. Such students do not need further approval to change Mode of Attendance.

6.2 Application and Approval Process

1. Applications to change Mode of Attendance should be made in advance of the transfer.
2. Students wishing to change Mode of Attendance must contact UCL Student Records via askUCL for information on how to apply.
3. Changes must be approved by the Departmental Tutor. Some changes must also be approved by the Faculty Tutor (see below).

6.3 Deadline for Changing Mode of Attendance

1. Transfers are only possible at certain times.
2. Changes from Full-time to Flexible, or Part-time to Flexible, should be possible at any point in the taught modules, subject to approval.
3. All other Mode of Attendance changes should be made before an Academic or Calendar Year commences:
   a) The Faculty Tutor must consider any requests for a student to change Mode of Attendance after the Academic or Calendar Year has commenced. The student must still be able to complete the requirements of the programme of study.

7   Withdrawing from a Programme

1.   Students who are thinking about withdrawing from their programme, including students who are considering transferring to a programme at another institution, should first discuss their options with their Personal Tutor or Programme Leader.

2.   If a student wishes to permanently withdraw from their programme, whether or not they wish to transfer to a programme at another institution, they must submit an application via the online form in Portico stating the effective date of withdrawal.

3.   Applications must be considered by the Department/ Division in the first instance.

4.   The Department/ Division should forward supported applications to the Faculty Tutor for final approval.

5.   If approval is granted, the Faculty Tutor must notify examboards@ucl.ac.uk to formally close the student's record.

6.   The student will receive a transcript for the credits completed at UCL prior to withdrawal, after the applicable Board of Examiners has ratified the results.

7.   Once a student has withdrawn they will not normally be permitted to re-register on the same programme at UCL. Exceptionally, the Faculty Tutor may permit a student to re-register, and formally ask examboards@ucl.ac.uk to re-open the student's record.

UCL Academic Manual 2022-23

Chapter 4, Part A: Assessment Framework for Taught Programmes

Chapter 4, Part A is UCL's regulatory framework for the assessment and examination of Undergraduate, Graduate and Taught Postgraduate students at UCL.

Introduction

Scope

1. Chapter 4 is UCL's regulatory framework for the assessment and examination of Undergraduate, Graduate and Taught Postgraduate students at UCL. Students should also refer to their Student Handbooks or equivalent and departmental/divisional literature for more detailed information about the specific regulations that apply to their studies.

2. Students following joint or dual programmes delivered in conjunction with other universities and organisations should refer to their Student Handbook or equivalent for details of the regulations that apply to their studies.

Threshold Standards

3. The Assessment Framework for Taught Programmes outlines UCL's threshold expectations for the assessment of students. All programmes must apply these threshold standards as a minimum.

4. The regulations indicate where a programme may set higher standards than the minimum, **subject to approval by UCL Education Committee**, or its nominee. Programmes wishing to set higher standards must make a formal application via the Programme and Module Approval and Amendment Process (see Chapter 7, Part B: Programme and Module Approval and Amendment).

5. All approved variations must be documented in the Portico Progression and Award Rules Tool and clearly explained in the Student Handbook or equivalent.

Must, Should and May

6. To ensure that the expectations of Faculties, Departments, students and staff are clear, the following verbs are adopted consistently throughout the framework:

    a) **Must:** Indicates a regulation that will be adhered to in all circumstances. Deviations from such regulations would only be granted by the Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education & Student Experience) in exceptional circumstances. For example "All programmes **must** include rigorous second-marking and internal moderation processes which promote consistency and fairness".

    b) **Should:** Indicates a regulation that will be adhered to unless sound pedagogical, professional or practical reasons prevent this. For example "A variety of assessment methods **should** be used across a programme of study to test different knowledge and skills".

    c) **May:** Indicates where an action or regulation is permitted but not mandatory, and where there might therefore be variations across programmes and modules. For example "Information **may** be provided in a number of formats including Student Handbooks, Moodle sites and the UCL intranet". Where 'may' regulations are used, the specific arrangements in place on the programme must be explained clearly in the Student Handbook or equivalent.

1 Overarching Principles of Assessment

1.1 About

1. The overarching principles of assessment provide a framework and reference point for the continuous development and enhancement of taught assessment practices throughout the UCL community of students and staff. The principles aim to:
   a) Define the core values underpinning the assessment of students at UCL
   b) Promote consistency across UCL, and parity in student experiences of assessment
   c) Encourage a mutual understanding of assessment processes and regulations by both students and staff
   d) Act as an important reference point for setting and maintaining UCL's threshold academic standards
   e) Act as the starting point for the development and enhancement of assessment processes and regulations, and when applying discretion or academic judgement.

1.2 The Principles

Purposes of Assessment

1. Assessment is integral to learning and teaching; it must develop students' knowledge and understanding as well as measuring attainment.
2. Assessment should align with the objectives of the Connected Curriculum and ensure that all UCL students are able to learn through participating in research and enquiry at all levels of their programme. This includes:
   - Educating through dialogue and active, critical enquiry
   - Creating an inclusive research and learning community
   - Making connections across modules, programmes and beyond the classroom
   - Creating assessments that mirror 'public engagement' in research
   - Equipping students to address interdisciplinary challenges
   - Exploring critically the values and practices of global citizenship
   - Engaging students as partners in their education, and as co-producers of knowledge
   - Improving the experiences of both students and staff.
3. Students must have frequent opportunities to develop their understanding of assessment, for example through formative assessments, guided marking, peer review and opportunities to practise key assessment methods.

Equality

4. Assessment processes and regulations must accord with the principles of natural justice and pay due notice to the danger of inadvertent or indirect discrimination or bias, ensuring that, as far as possible, procedures do not bear more heavily on specific groups, particularly with regard to age, disability, gender, race, religion or belief, caring responsibilities, pregnancy or maternity, sexual orientation or assignment, marriage or civil partnership.

Staff Development

5. Staff must be supported in the design, delivery, marking and moderation of assessment, and in talking to students about assessment, through the provision of information, staff development, and the sharing of good practice.

Assessment Design

6. Assessment must be an integral part of programme and module design.
7. Assessment tasks must enable students to demonstrate the extent to which they have attained and exceeded the intended learning outcomes.

8. When designing or reviewing a programme, development teams should consider whether assessment:
   - Is outward-facing, mirrors public engagement in research and encourages communication with external audiences, for example through journal articles, blogs, presentations, exhibitions or films
   - Facilitates academic and intellectual progression
   - Ensures that academic and professional standards are achieved
   - Enhances and rewards qualities which are important to employers
   - Is inclusive, diverse and designed to assess a range of skills and knowledge (e.g. oral presentations, posters, group work)
   - Challenges, stretches and motivates students
   - Encourages the development of autonomous learners
   - Reflects developments in the field
   - Is spread evenly across a programme, avoiding overload for both students and staff.
9. Student Handbooks (or equivalent) must explain to students the aims and overarching principles of assessment, and the rationale behind the number, type and timing of assessments on their programme.
10. Internal and external scrutiny must be given to the design and structure of assessment across a programme.
11. Assessment must be regularly reviewed as part of the Annual Student Experience Review (ASER) and Internal Quality Review (IQR) processes.

Assessment Requirements

12. The UCL Pass Mark represents the minimum, threshold standards which students should meet in order to pass a module, progress through their programme and be awarded a degree.
13. Faculties, Departments and UCL services must ensure that information for students on all aspects of their assessment is explicit, transparent, targeted towards students, up-to-date and readily available.
14. The Portico Progression and Award Rules Tool must clearly define the requirements for a student to progress through the programme and be eligible for a qualification and a classification.
15. Programme regulations must meet UCL's threshold academic standards, as defined in the UCL Academic Manual. **Subject to approval by UCL Education Committee, or its nominee,** a programme may set standards above these thresholds.

Examinations

16. Students must follow the examination conduct regulations and protocols set out in the Examination Guide for Candidates which is published annually on the Examinations and Awards website.

Progression and Award

17. Qualifications must only be awarded for the successful achievement of defined learning outcomes.
18. The criteria for Progression and the Award of a degree must be transparent, clearly defined and fair to all students, and aligned with the requirements of the UCL Qualifications and Credit Framework.
19. Programmes must include regular review points to support and evaluate a student's progress throughout their programme.
20. A student may be permitted to progress from one year to the next and/ or be awarded a degree where they are carrying a small amount of failure, as long as their overall performance is of a good standard and the requirements of any relevant Professional, Statutory or Regulatory Bodies are met.

Reasonable Adjustments

21. UCL must make reasonable adjustments to learning, teaching and assessment to support students with a disability or other ongoing medical or mental health condition.
22. Students should notify UCL of any such condition at the time of enrolment or as soon as possible thereafter so that UCL can put in place the support that the student needs.

Extenuating Circumstances

23. Students must notify UCL of any circumstances which are sudden, unexpected, significantly disruptive, and beyond the student's control and which may affect their performance at assessment, such as a serious illness or the death of a close relative.
24. UCL should ensure that alternative arrangements are put in place for such students, such as an extension or deferral of assessment to a later date.

Marking and Moderation

25. Assessment policies and regulations must respect the academic judgement of the internal examiners in relation to a student's performance against the published marking criteria.
26. All assessment processes, including marking, second-marking and moderation, should be conducted anonymously unless the nature of the assessment makes this impossible.
27. Marking must be criterion-referenced and students must be made aware of those criteria in advance.
28. Marking scales must be transparent and clearly communicated to students in advance of the assessment.
29. All programmes must include rigorous second-marking and internal moderation processes which promote consistency and fairness.
30. The assessment process for a programme of study must be scrutinised by an External Examiner.

Assessment Feedback

31. Formative and summative assessment feedback is an integral part of the assessment process. Feedback should:
    - Help students to evaluate their work
    - Enable students to set and achieve short- and long-term goals
    - Give students opportunities to apply previous feedback
    - Include peer-to-peer and teacher-student dialogue
    - Be motivational for all students
    - Develop students' assessment literacy
    - Be timely, so that feedback can inform future learning
32. Students should receive feedback regularly throughout their programme, on both formative and summative assessments.

Classification

33. Classification schemes must be transparent, clearly defined and fair to all students.

Consequences of Failure

34. A student who does not meet the Progression and Award Requirements at the first attempt should be reassessed in the failed module(s).
35. A student who does not meet the Progression and Award Requirements at the second attempt must not be reassessed.
36. Any penalties applied, such as those for late submissions or over-length coursework, must be proportionate and applied fairly.

Boards of Examiners

37. Every UCL taught programme must have a Board of Examiners with a Chair, Deputy Chair and at least one Internal Examiner and one External Examiner for each of the main subject areas covered.

38. The Board of Examiners is responsible for determining a student's progression through the programme and for making recommendations for the award of degrees to the Education Committee of UCL.

39. Every Faculty must have a Faculty Board of Examiners which is responsible for the oversight of assessment in the Faculty and to which Boards of Examiners report.

Student Academic Misconduct

40. UCL must investigate and, where necessary, penalise, any conduct which is likely to give an unfair advantage to the candidate and/ or affect the security of assessment, or the standards of degrees awarded by UCL.

Award of Degrees

41. Education Committee, on behalf of Academic Committee, is authorised to award UCL taught degrees.

2　Assessment Information

2.1　Overarching Principles

Principle 9:　　Student Handbooks (or equivalent) must explain to students the aims and overarching principles of assessment, and the rationale behind the number, type and timing of assessments on their programme.

Principle 13:　Faculties, Departments and UCL services must ensure that information for students on all aspects of their assessment is explicit, transparent, targeted towards students, up-to-date and readily available.

Principle 14:　The Portico Progression and Award Rules Tool must clearly define the requirements for a student to progress through the programme and be eligible for a qualification and a classification.

2.2　Assessment Information for Students

1. Departments must ensure that students receive accurate and up-to-date information for each assessment task.
2. Information may be provided in a number of formats including Student Handbooks, Moodle sites and the UCL intranet.
3. The information provided to students for all assessment tasks should include:
   a) A comprehensive description of the assessment task including any rubrics.
   b) The marking criteria against which students will be assessed.
   c) If applicable, clear instructions on when and where a written examination, presentation, lab test or other assessment event will take place.
   d) If applicable, clear instructions for collaborative or group work, including whether and how the contribution of individuals will be assessed.
   e) If applicable, clear instructions for peer assessment and how the marks awarded by peers will be second-marked and moderated by academic staff.
   f) If applicable, clear instructions about word counts, the inclusion of footnotes, diagrams, images, tables, figures and bibliographies etc., and any penalties that may be applied for exceeding these parameters.
   g) Coursework submission deadlines and information about penalties for late submission.
   h) An indication of when students can expect to receive marks and feedback on their work.
4. The following information must also be readily available to students:
   a) The marking scale in use on the programme or module.
   b) For written examinations, a clear link to the Exams and Assessments guidance on the Students webpages.
   c) For coursework submissions, clear information about where and how to submit work, including details of any electronic submission methods and the technical support available.
   d) Links to information about Reasonable Adjustments, Exam Adjustments and the support services available to students.
   e) Links to information about when, where and how to submit a claim for Extenuating Circumstances.
   f) Links to information about accepted referencing methods and UCL's Student Academic Misconduct policies and penalties.
   g) Where applicable, links to information about research ethics and integrity.
   h) Links to information about the Consequences of Failure.
   i) Links to information about the External Examiner process and how to access reports via Portico.

2.3　Progression and Award Rules

1. All programmes must maintain an accurate record of their regulations in the Portico Progression and Award Rules Tool. This must explain any approved programme-specific regulations over

and above the UCL threshold standards set out in this Assessment Framework for Taught Programmes.

3   Module Assessment

The Module Assessment regulations define how students will be assessed in each module and component. The outcome of each module assessment is used to determine a student's eligibility for Progression and Award (Section 6) and to determine their Classification (Section 7).

3.1   Overarching Principles

Principle 1:   Assessment is integral to learning and teaching; it should develop students' knowledge and understanding as well as measuring attainment.

Principle 3:   Students must have frequent opportunities to develop their understanding of assessment, for example through formative assessments, guided marking, peer review and opportunities to practise key assessment methods.

Principle 7:   Assessment tasks must enable students to demonstrate the extent to which they have attained and exceeded the intended learning outcomes.

Principle 12:   The UCL Pass Mark represents the minimum, threshold standards which students should meet in order to pass a module, progress through their programme and be awarded a degree.

Principle 28:   Marking scales must be transparent and clearly communicated to students in advance of the assessment.

Principle 36:   Any penalties applied, such as those for late submissions or over-length coursework, must be proportionate and applied fairly.

3.2   Forms of Assessment

1.   A programme must include both formative and summative assessments:

Formative Assessment

2.   Formative assessment provides students with frequent opportunities to develop their knowledge and understanding of assessment so that they understand how to do well on their programme. Students should receive feedback on formative assessments to help them understand how to improve their performance. A formative assessment may include an indicative mark, but these marks do not contribute to the award of credit and are not included in the calculation of the Classification.

Summative Assessment

3.   Summative assessment is the formal assessment of student performance against the learning outcomes. Students should receive a mark and should receive feedback for every summative assessment. These marks are used to determine a student's progress through their programme and their eligibility for an Award. Summative assessment marks are recorded in the student's transcript and aggregated using a set formula to determine the student's Classification at the end of the programme.

3.3   Assessment Methods and Tasks

1.   The **Assessment Method** defines the way in which a student will be assessed for a particular component or module. A variety of assessment methods should be used across a programme to test different knowledge and skills - examples include written examinations, essays, presentations, reports, practicals, group work and many more. The Assessment Method must be defined at the point of module approval and/ or amendment. Changes to the Assessment Method must be formally approved by UCL Education Committee or its nominee (see Chapter 7, Part B: Programme and Module Approval and Amendment).

2.   The **Assessment Task** is the specific exam paper, essay question, topic or activity which students are asked to undertake. All new Assessment Tasks should be approved by the

External Examiner (although if a task has been used on a previous occasion, repeat approval does not need to be sought).

3. Guidance on Assessment Methods and Tasks is available from UCL Arena. Guidance on a range of digital assessment platforms is available from the Digital Education team.

3.4 Digital Assessment

This section has been suspended for 2022-23.

3.5 Language of Assessment

1. All assessments should be conducted in the English language unless the purpose of the assessment is to test the ability of students in another language.
2. Marking criteria are expected to cover technical proficiency in English. However, if this is not sufficiently covered staff should refer to Annex 4.5.1 Staff Guidance for Assessing the Written Communication of Ideas for further advice.

3.6 Attendance Requirements & Eligibility for Assessment

Barring students from assessment on the basis of attendance has been suspended for 2022-23.

1. A student who is absent due to illness or other Extenuating Circumstances must notify their Department as soon as possible following the procedures in Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.

3.7 Pass Mark

1. The Pass Mark at Levels 4, 5 and 6 (Undergraduate and Graduate Certificate/ Diploma level) must be 40.00% or Grade D.
2. The Pass Mark at Level 7 (Taught Postgraduate level) must be 50.00% or Grade C.

3.8 Marking Scale

3.8.1 Requirements

1. UCL operates a Numeric Marking Scale and, on some programmes, a Letter Grade Marking Scale.
2. The Numeric Marking Scale must be used on the following qualifications:
   a) Certificate of Higher Education
   b) Foundation Degree
   c) Bachelors Degree
   d) Integrated Masters Degree
3. The Numeric Marking Scale should be used on all Graduate and Taught Postgraduate programmes. **Subject to approval by UCL Education Committee or its nominee**, a Graduate or Taught Postgraduate programme may operate the Letter Grade Marking Scale.
4. A programme must use a single marking scale across all summative components and modules so that module marks (Section 3.10), Progression and Award (Section 6) and Classification (Section 7) can be calculated accurately.
5. If an indicative mark is offered for a formative component, this may be on the Numeric or Letter Grade Scale as it does not contribute to the module mark.

Condonable Ranges

6. Please refer to Section 6.3: Condonement for details of the Condonable Range on each programme.

3.8.2 Pass/ Fail Modules and Components

1. **Subject to approval by UCL Education Committee or its nominee**, a module or component may be marked on a Pass/Fail basis i.e. without a mark or grade.
2. **Pass/Fail Components** must only be used:
    a) Where the Pass/Fail status of a component is a requirement of professional accreditation and
    b) Where the component is zero-weighted in the module mark calculation.
3. **Pass/Fail Modules** must only be used:
    a) On Pass/Fail Degrees i.e. where the qualification does not include a Classification (Section 7.2), or
    b) Where the module does not contribute to the Classification.
4. On Pass/Fail modules and components, the Pass Mark should comply with the regulations in Section 3.7: Pass Mark. **Subject to approval by UCL Education Committee or its nominee**, a Programme may determine the Pass Mark by criterion-referenced standard setting (e.g. on the MBBS programme).
5. Pass/Fail modules and components must be documented in the Programme Diet.

3.8.3 Numeric Marking Scale

	Modules at Levels 4, 5 and 6	**Modules at Level 7**
70.00 – 100%	Pass	Pass
60.00 – 69.99%	Pass	Pass
50.00 – 59.99%	Pass	Pass
40.00 – 49.99%	Pass	Fail
1.00 – 39.99%	Fail	Fail
0.00 – 0.99%	No Attempt or Minimal Attempt	No Attempt or Minimal Attempt

3.8.4 Letter Grade Marking Scale

	Modules at Levels 4, 5 and 6	**Modules at Level 7**
A	Pass	Pass
B	Pass	Pass
C	Pass	Pass
D	Pass	Fail
E	Fail	Fail
F	No Attempt or Minimal Attempt	No Attempt or Minimal Attempt

3.8.5 Conversion of Marks

1. Where a student undertakes a module in another Faculty, Department or partner institution which operates a different marking scale, the student's component and module marks must be converted to the marking scale in use on their **parent** programme so that Progression, Award and Classification can be calculated.

2. As different disciplines have different marking practices, there is no central UCL conversion scale. The parent and teaching faculties/ institutions must agree, in advance of the module teaching, the conversion scale which will be used for the student(s) concerned.

Students on Programmes operating a Numeric Marking Scale

3. Where a student takes a module in a Faculty, Department or partner institution operating a Letter Grade Marking Scale, the student must receive a letter grade and an equivalent numeric mark for each component and module. The numeric mark must be formally recorded in the Student Records System.

Students on Programmes operating a Letter Grade Marking Scale

4. Where a student takes a module in a Faculty, Department or partner institution operating a Numeric Marking Scale, the student must receive a numeric mark and an equivalent letter grade for each component and module. The letter grade must be formally recorded in the Student Records System.

3.9 Component Assessment

1. Each programme is composed of credit-weighted modules. Each module may include one or more assessed components. Components may be equally weighted, or some components may carry a higher weighting than others (e.g. Essay 60%, Presentation 40%).
2. Components may be:
   a) **Formative:** There is no minimum Pass Mark for formative assessment components and any indicative mark that might be given must not be included in the module pass requirements, or
   b) **Pass/Fail:** Subject to approval by UCL Education Committee or its nominee a module may include a Pass/Fail Component (see 3.8.2 above). A student must pass the component in order to pass the module, but the component will not be given a mark, and will not be included in the calculation of the module mark, or
   c) **Summative:** The marks from all summative assessment components must be included in the calculation of the module mark.

3. Summative Components may be:
   a) **Condonable:** On a Condonable Component, any mark below the Pass Mark, including marks of 0.00%/ Grade F, may be Condoned, if the student meets the Module Pass Requirements in Section 3.10 below.
   b) **Non-Condonable:** Where a Programme designates a **module** as Non-condonable (see Section 6.3: Condonement), the Programme may also determine that one or more **components** within that module are Non-condonable (must be passed). A student who does not Pass a Non-condonable Component must be reassessed in the affected module (see Section 9: Consequences of Failure).

3.10 Requirements to Pass a Module

1. In order to pass a module at Levels 4, 5 or 6 a student must achieve:
   a) A weighted mean of at least 40.00%, plus at least 40.00% in any Non-condonable Components, or
   b) A preponderance of at least Grade D, plus at least Grade D in any Non-condonable Components.
2. In order to pass a module at Level 7 a student must achieve:
   a) A weighted mean of at least 50.00%, plus at least 50.00% in any Non-condonable Components, or
   b) A preponderance of at least Grade C, plus at least Grade C in any Non-condonable Components.

Calculation of Module Marks

3. The marks from all Summative assessment components must be included in the calculation of the module mark.

Numeric Marking Scale

4. Where a programme operates a Numeric Marking Scale, the module mark must be calculated as follows:
   a) Where component marks are converted to percentages, percentages must be rounded to 2 decimal places.
   b) All summative component marks must be weighted and then averaged.
   c) The weighted mean must be rounded to 2 decimal places.

Letter Grade Marking Scale

5. Where a programme operates a Letter Grade Marking Scale, the preponderance must be calculated as follows:
   a) The Letter Grade for each summative component is converted to a numerical equivalent using the following scale:

Letter Grade	Numerical Equivalent	Rounding Points
A	5	4.50 – 5.00
B	4	3.50 – 4.49
C	3	3.00 – 3.49
D	2	2.00 – 2.99
E	1	1.00 – 1.99
F	0	0.00 – 0.99

   b) The numerical equivalent is multiplied by the component weighting.
   c) The weighted component marks are averaged.
   d) The weighted mean is rounded to 2 decimal places.
   e) The resulting numerical value is converted back to a Letter Grade for the module.

3.11 No Attempt or Minimal Attempt at Assessment

1. A student must be awarded a mark of 0.00% or Grade F for a component and must be deemed to have made an attempt where they:
   a) Are absent from an examination, presentation or other assessment event, or
   b) Do not attempt a paper or task, or
   c) Attempt so little of a paper or task that it cannot be assessed, or
   d) Do not submit coursework, or
   e) Fail to submit assessable work within one calendar month of the published deadline, or two weeks before the Board of Examiners considers the marks for the assessment, whichever is the earlier date.
2. A student who is absent or makes an un-assessable attempt due to illness or other Extenuating Circumstances must notify their Department as soon as possible following the procedures in Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.

3.12 Deadlines & Late Submissions

1. Planning, time-management and the meeting of deadlines are part of the personal and professional skills expected of all graduates. For this reason students are required to submit all work by the published deadline date and time.

Extenuating Circumstances

2. Where a student is ill or has other Extenuating Circumstances preventing them from meeting the published deadline, they must follow the procedures in Chapter 2, Section 2: <u>Short-term Illness and Other Extenuating Circumstances</u>. If the EC is accepted, the student may be granted an extension. If the deadline has already passed, the late submission penalties may be suspended i.e. the below penalties will not apply.

Late Submission Penalties for Coursework and Dissertations

3. Where there are no Extenuating Circumstances, the following penalties must apply to all **components** which are submitted after the published date and time:

Modules at Levels 4, 5 and 6:

Component Mark/ Grade of 40.00-100.00% / A-D

- Up to 2 working days late: Deduction of 10 percentage points or 1 Letter Grade, but no lower than 40.00% / Grade D
- 2-5 working days late: Mark capped at 40.00% / Grade D
- More than 5 working days late: Mark of 1.00% / Grade E

Component Mark/ Grade of 1.00-39.99% / E

- Up to 2 working days late: No Penalty
- 2-5 working days late: No Penalty
- More than 5 working days late: Mark of 1.00% / Grade E

Modules at Level 7:

Component Mark/ Grade of 50.00-100.00% / A-C

- Up to 2 working days late: Deduction of 10 percentage points or 1 Letter Grade, but no lower than 50.00% / Grade C
- 2-5 working days late: Mark capped at 50.00% / Grade C
- More than 5 working days late: Mark of 1.00% / Grade E

Component Mark/ Grade of 1.00-49.99% / D-E

- Up to 2 working days late: No Penalty
- 2-5 working days late: No Penalty
- More than 5 working days late: Mark of 1.00% / Grade E

4. There are separate late submission penalties for **Take-Home Papers**. Please refer to the <u>Student Regulations for Exams and Assessments</u> for full details.
5. Late submissions can only be made up to one calendar month after the published deadline, or two weeks before the Board of Examiners considers the marks for the assessment, whichever is the earlier date. Work submitted after this will receive a mark of 0.00%/ Grade F for that Component under the regulations in <u>3.11: No Attempt or Minimal Attempt at Assessment</u>.
6. Programme/ module teams must clearly communicate to students whether and when **coursework solutions** will be published. Submissions must not be accepted or marked after the specified publication date.
7. In the case of work that is submitted over- or under-length and is also late, the greater of any penalties must apply.
8. As some submissions are made in hard copy or involve artefacts which cannot be submitted at weekends, and because there is no technical support for online submissions at weekends, penalties must be based on the number of **working** days. As a result, a deadline set for a Thursday will only begin to incur the higher penalties on a Monday, and those set on a Friday

will only begin to incur the higher penalties on a Tuesday, or longer in the case of bank holidays or UCL closure days. Deadlines should be set with these restrictions in mind.

9. For electronic submissions, programmes should avoid setting deadlines after working hours. It is good practice to set the deadline date and time in hours, minutes and seconds, and to state the time zone.

10. Where dual submission is used (i.e. students submit a hard copy and an electronic copy) the Assessment Information for students must clearly state the deadlines for both modes of submission.

3.13 Word Counts

1. A minimum and/ or maximum word count may be specified as part of the assessment criteria for a component or module. The word count must specify whether footnotes, bibliographies, appendices, tables, figures etc. are to be included in the word count.

2. Where a word count is included, the module information for students must provide clear details of any penalties that will apply for over- or under-writing.

3. Penalties must not exceed a deduction in marks of 10 percentage points, or one Letter Grade, for that **component** and must not take the student's mark below the Pass Mark (see Section 3.7).

4. Standardised penalties may be agreed at Faculty, Departmental/ Divisional, Programme or Module level.

5. In the case of coursework that is submitted over- or under-length and is also late, the greater of any penalties must apply.

3.14 Academic Integrity

1. Students must maintain the highest standards of academic integrity whilst studying at UCL. All work submitted for assessment must be the student's own, unless authorisation has been given for collaboration, and all work must be appropriately cited and referenced.

2. The Student Regulations for In-Person Controlled Condition Exams outline UCL's requirements for conduct in examination halls. Guidance on referencing and avoiding plagiarism is available from UCL Library Services. Departments are also responsible for informing students of any discipline-specific referencing conventions via Student Handbooks, Moodle or equivalent.

3. UCL will investigate and, where necessary, penalise any conduct which is likely to give an unfair advantage to the candidate, affect the security of assessment, and/ or affect the standards of the degrees awarded by UCL including, but not limited to, instances of plagiarism, self-plagiarism, impersonation, collusion, falsification, exam room misconduct, or contract cheating. Any such conduct will be investigated in accordance with the regulations in Chapter 6, Section 9: Student Academic Misconduct.

4 Marking & Moderation

The Marking and Moderation regulations define the procedures for the internal marking and moderation of assessed student work. All programmes must apply these threshold standards as a minimum.

4.1 Overarching Principles

Principle 25: Assessment policies and regulations must respect the academic judgement of the internal examiners in relation to a student's performance against the published marking criteria.

Principle 26: All assessment processes, including marking, second-marking and moderation, should be conducted anonymously unless the nature of the assessment makes this impossible.

Principle 27: Marking must be criterion-referenced and students must be made aware of those criteria in advance.

Principle 28: Marking scales must be transparent and clearly communicated to students in advance of the assessment.

Principle 29: All programmes must include rigorous second-marking and internal moderation processes which promote consistency and fairness.

Principle 30: The assessment process for a programme of study must be scrutinised by an External Examiner.

4.2 Responsibilities

1. Markers are responsible for assessing student work against the published marking criteria, assigning each student a mark according to the relevant marking scale and providing students with feedback on their work.
2. Programme Leaders are responsible for the planning and implementation of appropriate marking, second-marking and internal moderation processes on a programme or group of modules.
3. The Faculty Board of Examiners is responsible for ensuring that appropriate marking, second-marking and moderation systems are in place on all programmes and modules within their remit (see Section 11.4: Faculty Boards of Examiners for further details).

4.3 Markers

Eligibility

1. A UCL marker may be an Internal Examiner or an Assistant Internal Examiner.
2. Markers must be formally appointed as Internal Examiners or Assistant Internal Examiners by the Board of Examiners – see Section 11: Boards of Examiners for further details on the appointment process, duties and responsibilities.

Peer Assessment

3. Students may also be asked to assess each other's work as a valuable tool in enhancing their assessment literacy. Where Peer Assessment is used in summative assessment, the Internal Examiner(s) responsible for the module/ assessment must ensure that there are clear marking criteria, which are discussed with the students in advance, and that all marks awarded by students are subject to some form of second-marking by an Internal Examiner.

4.4 Anonymity

1. All summative assessments should be carried out anonymously unless the nature of assessment makes this impossible.

2. Where anonymity is not used, programmes must ensure, to the satisfaction of the External Examiner and the Board of Examiners, that there are robust processes in place for second-marking and internal moderation (see below).
3. There is no requirement for anonymity for formative assessments.

Examinations and Tests

4. Examinations and tests must be assessed against Candidate Number only.

Coursework

5. For coursework submissions, wherever possible, first and second markers should assign marks and provide written feedback based on Candidate Number or Student Record Number only.
6. Where coursework assessments include formative submissions, tutorials and/ or in-class feedback, it is recognised that full anonymity will not always be possible or desirable. Where this is the case, and the first marker knows the student, second-marking and moderation must be carried out anonymously.

Dissertations and Research Projects

7. Where dissertations and research projects involve close working between the supervisor and the student it is recognised that full anonymity will not always be possible or desirable. Where the supervisor acts as a marker for the dissertation or report, the assessment must be subject to full, independent and anonymous second-marking.

Giving Feedback

8. Feedback and an indicative mark based on the first marker's comments, but prior to second marking, can be given to facilitate prompt feedback. However, students should be aware that the mark is indicative and subject to second-marking, internal moderation and ratification by the Board of Examiners and the External Examiner.

4.5   Marking Criteria

1. For both summative and formative assessment the marking criteria should be designed to help students understand what they are expected to achieve and the knowledge and skills that will be taken into account in awarding marks.
2. For every summative assessment (i.e. assessments whose results count towards Progression, Classification and/ or the Award of a degree), at least one of the following must be made available to students in advance of the assessment:
   a) Grade Descriptors explaining the criteria and providing a detailed description of the qualities representative of different mark classes/grades. Where appropriate, grade descriptors can be agreed at departmental/divisional or programme level.
   b) 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.
3. Where appropriate, the following should also be made available to all markers and second-markers:
   a) Indicative Answers by the question setter that outline the essential material expected to be considered by relevant answers.
   b) Model Answers that show the correct answer to the question as documented by the question setter.
4. Summative assessment must be criterion-referenced i.e. the assessment evaluates the 'absolute' quality of a candidate's work against the marking criteria; the same work will always receive the same mark, irrespective of the performance of other students in the cohort.
5. Further guidance for best practice in designing marking criteria, including the identification of the key skills and knowledge being tested, is available from UCL Arena.

4.6   Second Marking

4.6.1   Minimum Requirements

1. All modules must be subject to a form of second marking.
2. All dissertations/ research projects must be subject to Full, Independent, second marking.
3. Faculties or Departments may determine and publish policies on the appropriate use of different forms of second marking within the disciplinary context over and above UCL's minimum threshold requirements.
4. The options for second marking are:
   a) Second marking may be Full or Sampled:
      i. **Full second-marking:** Second markers mark or check all assessments.
      ii. **Sampled second-marking:** Second markers mark or check a sample, based on defined criteria, of the full set of assessments.
   b) Second marking may be Independent or done by Check Marking:
      i. **Independent marking (also known as double marking):** Each marker assigns a mark. The two marks are subsequently reconciled to agree the mark for the assessment.
      ii. **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 will usually only be appropriate for quantitative or multiple-choice assessments in which answers can be scored objectively rather than requiring qualitative judgement on the part of the markers.
   c) Second marking may be Blind or Open:
      i. **Blind second-marking:** The second marker is not informed of the first marker's marks and/ or comments.
      ii. **Open second-marking:** The second marker is informed of the first marker's marks and comments before commencing and can take these into account.
   d) Second marking may be Live:
      i. **Live marking:** Where an assessment is conducted 'live' (e.g. oral examinations, presentations, exhibitions, laboratory work, marking clinical work with patients, portfolios of work, group work etc.) the assessment should include provisions for second-marking, internal moderation and External Examiner scrutiny of either the full set of assessments or an appropriate sample. This may take the form of having two or more markers present, inviting the External Examiner to observe the event, recording the event or asking students to submit notes, slides and/ or visual material for these purposes.

4.6.2   Parity Meetings

1. Where an assessment includes multiple pairs of markers it is good practice to hold a parity meeting at the start of the marking process where markers can discuss and develop a shared understanding of the marking criteria. This can include comparing marks for a small sample of student work.
2. Parity meetings are particularly important where there is a large number of markers and where there are new markers in a team.

4.6.3   Sampling

1. Sampling *may* be used where a large number of students undertakes an assessment. If the second markers agree with the marks for the sampled students, it can be assumed that marking is accurate for the population. However if the second markers disagree with one or more marks, the sample *must* be extended to check the accuracy of marks for **all** students in the assessment. **Individual student marks *must not* be changed unless all marks have been checked.**
2. Where sampling is used in second-marking, the sample *must* include the following as a minimum:
   a) All Fails

b) Mid-class examples for each class (mid-forties, mid-fifties, mid-sixties, Firsts/Distinctions)
c) Examples of all upper borderlines (39, 49, 59, 69)
d) The higher of either: at least 10% of assessments, or at least five assessments.

3. The above is based on the standard UCL marking scale; programmes operating an alternate marking scale *should* adjust as appropriate.

4. Thresholds for the use of sampling versus full second-marking over and above UCL's threshold standards *may* be set at Faculty or Departmental/Divisional level.

Extending the Sample

5. Where there is disagreement over a single mark or a group of marks within the sample, markers *must not* change individual student marks. Instead, the sample *must* be extended to check and, where necessary, review the marks of **all** students in the assessment concerned, with particular attention being paid to students with similar marks to those being contested, and to those marks falling close to a Classification boundary.

6. Extension of the sample *must* demonstrate to the External Examiner and the Board of Examiners that marking across the assessment concerned is sound and fair and that no student is advantaged or disadvantaged by being included in the sample (i.e. markers must not only change the marks of students in the sample; all marks must be reviewed).

4.6.4 Reconciliation of Marks

1. All marks *must* be agreed by the markers. Where there is disagreement, the markers *must* adopt one of the following:
   a) For mark differences of 10% or more, or which bracket a class boundary, the marks *must* be reconciled through discussion of the marking criteria. Mathematical averaging *should not* be used.
   b) For mark differences of less than 10%, the mark *may* be reconciled by discussion of the marking criteria or by mathematical averaging.

4.6.5 Third Markers

1. A third marker *may* be brought in where a first and second marker are unable to agree on a final mark. The third marker's role is not to over-ride the two previous markers, but to contribute to resolving the discussion with reference to the marking criteria.

2. Third marking to reconcile disagreements between first and second markers *must not* be carried out by the External Examiner (see Chapter 9, Section 4: External Examining). However, subsequently bringing third-marked work to the attention of the External Examiner is good practice.

4.6.6 Documentation of Marking

1. Marks and how marks are arrived at *must* be transparent for Programme and Faculty Boards of Examiners, External Examiners, students, and, if necessary, complaint panels.

2. The first mark, second mark (where applicable) and the agreed mark *must* be recorded separately.

3. Justification for marks awarded *must* be documented in one of the following forms:
   a) Examiner's comments from both the first and, where applicable, second marker. These comments *may* be identical to the feedback provided to the student.
   b) Model answers and evidence of the scoring of the assessment by the first and, where applicable, second marker.

4.7 Internal Moderation

1. All programmes must have internal moderation systems in place to assure the consistency of marking and the proper application of the marking criteria across markers, students and modules.

2. Internal moderation may include, but is not limited to:
   a) Checks to ensure that marking is comparable across marking pairs or teams

    b) Checks to ensure that marking is comparable across different options and electives

3. Where the internal moderation process identifies substantial discrepancies, third-marking of a set of assessments may be required.

5   Assessment Feedback

The Assessment Feedback regulations define the minimum requirements for the provision of feedback to students on their assessed work. All programmes must apply these threshold standards as a minimum.

5.1   Overarching Principles

Principle 31:   Formative and summative assessment feedback is an integral part of the assessment process. Feedback should:
- Help students to evaluate their work
- Enable students to set and achieve short- and long-term goals
- Give students opportunities to apply previous feedback
- Include peer-to-peer and teacher-student dialogue
- Be motivational for all students
- Develop students' assessment literacy
- Be timely, so that feedback can inform future learning

Principle 32:   Students should receive feedback regularly throughout their programme, on both formative and summative assessments.

5.2   Summative Feedback

Service Standards for the Provision of Feedback to Students

1. All programmes must adopt the following service standards to ensure that students receive appropriate and timely feedback on their work in order to enhance their learning experience and maximise their academic performance.
2. Students should expect to receive some form of feedback on all summative assessments.
3. Feedback may take the form of:
   a) A written feedback sheet indicating the student's performance against the marking criteria, strengths, weaknesses and opportunities for improvement.
   b) An individual discussion with the student about their performance against the marking criteria, strengths, weaknesses and opportunities for improvement.
   c) Group discussions where thematic areas, strengths and weaknesses within the group as a whole are discussed.
   d) Annotated examination scripts.
   e) Marker's answers, model answers or other solutions.
4. Students should expect to receive feedback within one calendar month of the deadline for submission of each piece of assessed work (including weekends and vacations). Departments are encouraged to provide this in a shorter timeframe if possible.
5. If, for whatever reason, a Department or Module Organiser cannot ensure that the one calendar month deadline 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 is expected that the extra time needed should not exceed one week.
6. 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 should take action as necessary. If students remain dissatisfied then the matter should be referred to the Faculty Tutor.

Dissertations, Research Projects and Long Essays

7. Supervisors must provide feedback to students on a draft on at least one occasion.

Anonymity

8. Wherever possible, summative assessments must be marked anonymously (see <u>Section 4.4:</u> <u>Anonymity</u>). The requirement for anonymity may be lifted once the first and/ or second marker has assigned a mark, to facilitate the provision of personalised feedback to the student.

Further Guidance

9. Examples of feedback proforma and marking criteria are available from UCL Arena.

5.3 Formative Feedback

1. Students should receive feedback on formative assessments to help them evaluate their own work and understand how to improve their performance.
2. Formative feedback should be:
   a) Received by students in good time
   b) Focused on helping students to develop the skills, knowledge and understanding required
   c) Helpful in identifying areas for improvement
   d) Appropriate for the type of assessment
3. A formative assessment may include an indicative mark, but these marks do not contribute to the award of credit and are not included in the calculation of the Classification.
4. There is no requirement for anonymity in formative assessment.

6 Progression & Award

The Progression and Award Requirements define what a student must do to progress from one year of study to the next and to be awarded a UCL qualification. **Students should read this section in conjunction with the specific regulations for their programme of study in the Portico Progression and Award Rules Tool.**

6.1 Overarching Principles

Principle 17: Qualifications must only be awarded for the successful achievement of defined learning outcomes.

Principle 18: The criteria for Progression and the Award of a degree must be transparent, clearly defined and fair to all students, and aligned with the requirements of the UCL Qualifications and Credit Framework.

Principle 19: Programmes must include regular review points to support and evaluate a student's progress throughout their programme.

Principle 20: A student may be permitted to progress from one year to the next and/ or be awarded a degree where they are carrying a small amount of failure, as long as their overall performance is of a good standard and the requirements of any relevant Professional, Statutory or Regulatory Bodies are met.

6.2 Scope & Definitions

1. A student must meet or exceed UCL's threshold standards in order to **Progress** through their programme and be **Awarded** a qualification.

2. Graduate and Taught Postgraduate programmes must not include Progression Requirements. **Subject to approval by UCL Education Committee or its nominee**, a Graduate or Taught Postgraduate programme running over more than one year (e.g. a two-year Extended Masters or five-year Flexible Masters) may set **Continuation Requirements** between years of study. Failure to meet these standards after all permitted attempts may lead to failure of the programme.

3. The specific arrangements on each programme of study must be documented in the Portico Progression and Award Rules Tool.

4. Details of the structures of UCL taught programmes, including information about credit, academic levels and modules, can be found in Chapter 7, Part A: Qualifications and Credit Framework.

Professionally-accredited Programmes

5. **Subject to approval by UCL Education Committee or its nominee**, a programme may include additional requirements for the achievement of professional accreditation. Additional requirements must be:
   a) Supported by specific, written evidence from the relevant Professional, Statutory or Regulatory Body, and
   b) Reviewed annually to ensure accuracy and currency, and
   c) Communicated clearly to students, and
   d) Documented in the Portico Progression and Award Rules Tool.

Non-Modular Programmes

6. **Subject to approval by UCL Education Committee or its nominee**, a programme may operate on a non-modular basis where there is a clear pedagogic rationale. The Progression and Award Requirements for such programmes are defined in Section 6.12: Non-modular Programmes.

Failure to meet the Progression & Award Requirements

7. A student who is unable to meet the Progression and Award Requirements due to illness or other Extenuating Circumstances may be eligible for a Deferral or other form of mitigation under the regulations in Chapter 2, Section 2: Short-Term Illness and Other Extenuating Circumstances.

8. A student who does not meet all of the Progression and Award Requirements, and has no Extenuating Circumstances material to that failure, must be subject to the regulations in Section 9: Consequences of Failure.

6.3 Condonement

6.3.1 Definition

1. Condonement allows a student to progress from one year to the next and/ or to be awarded a qualification where they are carrying a small amount of failure, as long as their overall performance is of a good standard and the requirements of any relevant Professional, Statutory or Regulatory Bodies are met. Students who meet the Condonement Criteria will not be reassessed.

2. A student's eligibility for Condonement in any given module is determined by the **Programme** on which the student is enrolled.

3. The Condonement Criteria are defined under the Progression and Award Requirements for each qualification in Sections 6.5 to 6.11 below.

6.3.2 Condonable Range

1. For each qualification, Condonement applies only to module marks falling within the following Condonable Ranges:

Undergraduate Programmes

	Modules at Levels 4, 5 and 6	**Modules at Level 7 (where applicable)**
Certificate of Higher Education	1.00-39.99%	-
Diploma of Higher Education	1.00-39.99%	-
Foundation Degree	1.00-39.99%	-
Ordinary Degree (Interim Qualification)	1.00-39.99%	1.00-49.99%
Bachelors Degree	1.00-39.99%	1.00-49.99%
Integrated Masters Degree	1.00-39.99%	1.00-49.99%

Graduate Programmes

	Modules at Level 6		Modules at Level 7 (where applicable)	
	Numeric Marks	Letter Grades	Numeric Marks	Letter Grades
Graduate Certificate	30.00-39.99%	E	40.00-49.99%	D
Graduate Diploma	30.00-39.99%	E	40.00-49.99%	D

Taught Postgraduate Programmes

	Modules at Level 7		Modules at Level 6 (where applicable)	
	Numeric Marks	Letter Grades	Numeric Marks	Letter Grades
Postgraduate Certificate	40.00-49.99%	D	30.00-39.99%	E
Postgraduate Diploma	40.00-49.99%	D	30.00-39.99%	E
Masters	40.00-49.99%	D	30.00-39.99%	E

6.3.3   Progression Mean

1.   On Undergraduate programmes, the 'Progression Year Mean' is the credit-weighted average of all module marks in a single year of study. It is distinct from the 'Classification Year Mean' (see Section 7.2.2) which is the mean of only those module marks which count towards the classification. Pre-Honours and Honours Degree students must achieve a Progression Year Mean of 40.00% (50.00% in the Masters year, if applicable) in order to be eligible for Condonement.
2.   On Graduate and Taught Postgraduate programmes, averages are not calculated for individual years of study; the mean used in Condonement is a 'Credit-Weighted Mean' of all module marks:
     a)   Graduate students must achieve a credit-weighted mean of 40.00% across all module marks in order to be eligible for Condonement.
     b)   Taught Postgraduate students, including MRes students, must achieve a credit-weighted mean of 50.00% across all module marks in order to be eligible for Condonement.
3.   Where marks are capped due to reassessment or other cause, the capped mark must be used in the calculation of the mean.

6.3.4   Condonable & Non-condonable Modules

1.   All modules on a programme should be Condonable.
2.   **Subject to approval by UCL Education Committee or its nominee**, a Programme may designate one or more modules as **Non-condonable** (must be passed). In order for a module to be designated as Non-condonable it must be:
     a)   A Compulsory module, and/or
     b)   A module essential to professional accreditation.
3.   All Undergraduate Dissertations and Masters Dissertations/ Substantive Projects must be Non-condonable.
4.   Where a Programme designates a **module** as Non-condonable, the Programme may also determine that one or more **components** within that module are Non-condonable (must be passed). See Section 3.11: Requirements to Pass a Module for further details.
5.   Non-condonable modules must be documented in the Programme Diet.

6.3.5   Applying Condonement

1. The Condonement regulations apply at both the first and second attempt.
2. Where a student has valid Extenuating Circumstances, the regulations in <u>Section 8: Deferred Assessment</u> should be applied before Condonement is considered.
3. If a student meets all the Condonement Criteria, and there are no Extenuating Circumstances to be considered, the module must be Condoned.
4. A student who **meets** the Condonement Criteria must not be reassessed. The student will be awarded the credit, and the condoned mark must stand (i.e. the mark must not be raised to the Pass Mark) and must be included in the student's Classification.
5. A student who **does not meet** all the Condonement Criteria at the **first attempt** must be reassessed in all the failed modules, including those modules with marks falling in the Condonable Range (see <u>Section 9: Consequences of Failure</u>).
6. A student who **does not meet** all the Condonement Criteria at the **second attempt** must not be permitted any further attempts at assessment.
7. Condonement and Reassessment cannot be applied simultaneously; a student who fails in more than the permitted number of credits must be reassessed in all the failed modules.
8. On Extended or Flexible taught postgraduate programmes, the formal decision on whether the student meets the Condonement Criteria can only be made at the end of the taught modules.
    a) A student who does not pass a module in an earlier year should be entered automatically for a Resit or Repeat as appropriate under the regulations in <u>Section 9: Consequences of Failure</u>.
    b) A student may choose not to be reassessed in that module and instead retain the fail mark on the basis that the student may meet the Condonement Criteria at the end of the taught modules. Students should notify UCL Student Records via askUCL of their intention not to be reassessed at least four weeks before the date of, or deadline for, reassessment. The student's decision not to be reassessed will not be considered as grounds for appeal at a later date.

6.4   Provisional Progression

1. A student may be permitted to Provisionally Progress to a subsequent year of study in the following circumstances:
    a) On programmes with a Study Abroad Year or Module, the Faculty Tutor may permit a student to Provisionally Progress if the marks from an external provider are not yet available (see <u>Section 6.6: Honours Degree Progression & Award Requirements</u>).
    b) The Extenuating Circumstances Panel may permit a student to Provisionally Progress and to undertake a Deferral with or without Tuition in a maximum of 30 credits in tandem with the next year's modules (see <u>Section 8: Deferred Assessment</u>).
    c) Exceptionally, the Faculty Tutor may permit a student to Provisionally Progress and to undertake a Resit or Repeat in a maximum of 30 credits in tandem with the next year's modules (see <u>Section 9: Consequences of Failure</u>).
2. Provisionally Progressed students are permitted to re-enrol, attend teaching events and access UCL facilities. However, the student must not formally Progress to the subsequent year of study until the outstanding credits are passed or formally condoned by the Board of Examiners.
3. If, after all permitted attempts at the affected modules, the student then fails to meet the previous year's Progression Requirements, they must not continue on the programme. Some students may be eligible for an Interim Qualification, or for transfer to another programme.
4. Registration on additional modules must not be considered as grounds for Extenuating Circumstances or appeal at a later date.
5. Students should be offered the opportunity to discuss the consequences of Provisional Progression with their Personal Tutor or Programme Leader. If a student would prefer to wait until they have formally progressed before they enrol on any subsequent years of the programme, they must contact their Departmental Office as soon as possible to discuss their options and, if appropriate, request that the Faculty Tutor overturns the decision.

6.5 Pre-Honours Progression & Award Requirements

1. In order to progress from one year to the next, or to be awarded a **Certificate of Higher Education** or a **Foundation Degree**, a student should Pass 120 credits in each year of study.
2. A student who does not Pass 120 credits in a year of study must nonetheless be considered to have met the Progression and Award Requirements if they meet all of the following Condonement Criteria **in that year of study**:
   a) Pass all Non-Condonable Modules, and
   b) Pass at least 90 credits, and
   c) Attain marks in the Condonable Range in no more than 30 credits, and
   d) Have no module marks below 1.00%, and
   e) Achieve a credit-weighted mean of at least 40.00% across 120 credits.
3. On Part-time Modes of Study, the Progression and Award Requirements and the number of condonable credits must be adjusted pro-rata for each year of study.
4. Section 6.3: Condonement provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.6 Honours Degree Progression & Award Requirements

1. In order to progress from one year to the next, or to be awarded a **Bachelors with Honours** or an **Integrated Masters with Honours**, a student should Pass 120 credits in each year of study.
2. A student who does not Pass 120 credits in a year of study must nonetheless be considered to have met the Progression and Award Requirements if they meet all of the following Condonement Criteria **in that year of study**:
   a) Pass all Non-Condonable Modules, and
   b) Pass at least 90 credits, and
   c) Attain marks in the Condonable Range in no more than 30 credits, and
   d) Have attained marks in the Condonable Range in no more than 60 credits up to and including the current year of study, and
   e) Have no module marks below 1.00%, and
   f) Achieve a credit-weighted mean of at least 40.00% (50.00% in the Masters year) across 120 credits.
3. On Part-time Modes of Study, the Progression and Award Requirements and the number of condonable credits must be adjusted pro-rata for each year of study.
4. Section 6.3: Condonement provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

Integrated Masters Programmes

5. **Subject to approval by UCL Education Committee or its nominee**, an Integrated Masters programme may set a higher progression threshold than the UCL minimum to permit progression from Year 2 to Year 3, and/or from Year 3 to Year 4. Higher thresholds must be documented in the Portico Progression and Award Rules Tool.

Study Abroad Year or Placement Year

6. A student must meet the Progression Requirements before commencing a Study Abroad or Placement Year.
7. Upon returning from a Study Abroad or Placement Year, a student should meet the Progression Requirements before commencing the next year of study.
   a) In exceptional circumstances, such as when marks from a placement provider or host institution are not yet available, the Board of Examiners may permit a student to **Provisionally Progress** to the next year of study until such a time as the marks become available and formal Progression can be determined. See Section 6.4: Provisional Progression.

6.7 Graduate Certificate Award Requirements

1. Graduate Certificate programmes must not include Progression Requirements but may include Continuation Requirements if the programme runs over more than one year (see Section 6.2: Scope and Definitions).
2. In order to be awarded a **Graduate Certificate** a student should Pass all modules.
3. A student who does not Pass all modules must nonetheless be considered to have met the Award Requirements if they meet all of the following Condonement Criteria:
4. On programmes operating a **Numeric Marking Scale**:
   a) Pass all Non-Condonable Modules, and
   b) Attain marks in the Condonable Range in no more than 15 credits, and
   c) Have no module marks below the Condonable Range, and
   d) Achieve a credit-weighted mean of at least 40.00% across all credits.
5. On programmes operating a **Letter Grade Marking Scale**:
   a) Pass all Non-Condonable Modules, and
   b) Attain grades in the Condonable Range in no more than 15 credits, and
   c) Have no module grades below the Condonable Range, and
   d) Achieve a Grade D or higher in at least 50% of all credits.
6. Section 6.3: Condonement provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.8 Graduate Diploma Award Requirements

1. Graduate Diploma programmes must not include Progression Requirements but may include Continuation Requirements if the programme runs over more than one year (see Section 6.2: Scope and Definitions).
2. In order to be awarded a **Graduate Diploma** a student should Pass all modules.
3. A student who does not Pass all modules must nonetheless be considered to have met the Award Requirements if they meet all of the following Condonement Criteria:
4. On programmes operating a **Numeric Marking Scale**:
   a) Pass all Non-Condonable Modules, and
   b) Attain marks in the Condonable Range in no more than 15 credits, and
   c) Have no module marks below the Condonable Range, and
   d) Achieve a credit-weighted mean of at least 40.00% across all credits.
5. On programmes operating a **Letter Grade Marking Scale**:
   a) Pass all Non-Condonable Modules, and
   b) Attain grades in the Condonable Range in no more than 15 credits, and
   c) Have no module grades below the Condonable Range, and
   d) Achieve a Grade D or higher in at least 50% of all credits.
6. Section 6.3: Condonement provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.9 Postgraduate Certificate Award Requirements

1. Postgraduate Certificate programmes must not include Progression Requirements but may include Continuation Requirements if the programme runs over more than one year (see Section 6.2: Scope and Definitions).
2. In order to be awarded a **Postgraduate Certificate** a student should Pass all modules.
3. A student who does not Pass all modules must nonetheless be considered to have met the Award Requirements if they meet all of the following Condonement Criteria:
4. On programmes operating a **Numeric Marking Scale**:
   a) Pass all Non-Condonable Modules, and
   b) Attain marks in the Condonable Range in no more than 15 credits, and
   c) Have no module marks below the Condonable Range, and
   d) Achieve a credit-weighted mean of at least 50.00% across all credits.
5. On programmes operating a **Letter Grade Marking Scale**:
   a) Pass all Non-Condonable Modules, and

b) Attain grades in the Condonable Range in no more than 15 credits, and
c) Have no module grades below the Condonable Range, and
d) Achieve a Grade C or higher in at least 50% of all credits.

6. <u>Section 6.3: Condonement</u> provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.10 Postgraduate Diploma Award Requirements

1. Postgraduate Diploma programmes must not include Progression Requirements but may include Continuation Requirements if the programme runs over more than one year (see <u>Section 6.2: Scope and Definitions</u>).
2. In order to be awarded a **Postgraduate Diploma** a student should Pass all modules.
3. A student who does not Pass all modules must nonetheless be considered to have met the Award Requirements if they meet all of the following Condonement Criteria:
4. On programmes operating a **Numeric Marking Scale**:
    a) Pass all Non-Condonable Modules, and
    b) Attain marks in the Condonable Range in no more than 30 credits, and
    c) Have no module marks below the Condonable Range, and
    d) Achieve a credit-weighted mean of at least 50.00% across all credits.
5. On programmes operating a **Letter Grade Marking Scale**:
    a) Pass all Non-Condonable Modules, and
    b) Attain grades in the Condonable Range in no more than 30 credits, and
    c) Have no module grades below the Condonable Range, and
    d) Achieve a Grade C or higher in at least 50% of all credits.
6. <u>Section 6.3: Condonement</u> provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.11 Masters Award Requirements

1. One-year Masters programmes must not include Progression Requirements but may include Continuation Requirements if the programme runs over more than one year (see <u>Section 6.2: Scope and Definitions</u>).
2. In order to be awarded a **Taught or Research Masters** a student should Pass all modules.
3. A student who does not Pass all modules must nonetheless be considered to have met the Award Requirements if they meet all of the following criteria:
4. On programmes operating a **Numeric Marking Scale**:
    a) Pass all Non-Condonable Modules, and
    b) Attain marks in the Condonable Range in no more than 30 taught credits, and
    c) Have no module marks below the Condonable Range, and
    d) Pass the Dissertation/ Substantive Project, and
    e) Achieve a credit-weighted mean of at least 50.00% across all credits.
5. On programmes operating a **Letter Grade Marking Scale**:
    a) Pass all Non-Condonable Modules, and
    b) Attain grades in the Condonable Range in no more than 30 taught credits, and
    c) Have no module grades below the Condonable Range, and
    d) Pass the Dissertation/ Substantive Project, and
    e) Achieve a Grade C or higher in at least 50% of all credits.
6. **Subject to approval by UCL Education Committee or its nominee**, an Extended Masters programme with more than 180 programme credits may include a higher volume of condonable taught credits, up to a maximum of 25% of the taught credits.
7. <u>Section 6.3: Condonement</u> provides further information about the Condonable Range, Non-Condonable Modules and Components, and how Condonement is applied.

6.12 Non-Modular Programmes

6.12.1 BA (Hons) English

1. The programme consists of thirteen 'course units' (modules) over three years.
2. In order to progress from Year 1 to Year 2, a student must Pass the three written examinations.
3. The programme is assessed on ten course units, including:
    a) Eight written examinations, and
    b) A Research Essay relating to one of the Optional or Core course units studied, and
    c) The Course Assessment, derived from the termly tutorial marks awarded in Years 2 and 3.
4. In order to be awarded a qualification a student must Pass nine course units, achieve a mark of at least 1.00 in the tenth course unit and achieve a numerical aggregate of 460 or above.
5. A student should undertake two of their final course units at the end of Year 2 and six of their final course units at the end of Year 3.
    a) A Year 2 student may withdraw from one or both papers by notifying the English Department Office in advance, but must sit those papers along with their finals in Year 3.
6. Some course unit options may be assessed by Course Essay in lieu of written examination.
7. A student may choose to write one or two Course Essays in place of one or two three-hour written examinations.

6.12.2 BA (Hons) Fine Art

1. The four-year Bachelor of Arts programme consists of the following assessed components:
    a) Studio Work
    b) History and Theory of Art:
        i. Coursework in Years 1 and 2
        ii. Independent Study in Year 3
    c) Additional Study
2. The Additional Study consists of a minimum of one 15-credit module offered by a UCL Department, undertaken in Year 2 or Year 3.
    a) With approval, a student may take more than one Additional Study module.
3. In order to progress from Year 1 to Year 2, or from Year 2 to Year 3, a student must:
    a) Achieve a satisfactory level in the end of year Studio assessment, and
    b) Achieve a satisfactory level in the History and Theory of Art coursework, and
    c) Have satisfied the examiners in all preceding years.
4. In order to progress from Year 3 to Year 4, a student must:
    a) Achieve a satisfactory level in the end of year Studio assessment, and
    b) Achieve a satisfactory level in the History and Theory of Art Independent Study, and
    c) Pass the Additional Study, and
    d) Have satisfied the examiners in all preceding years.
5. In order to be awarded a qualification, a student must:
    a) Achieve a satisfactory level in the end of year Studio assessment in Year 4, and
    b) Have satisfied the examiners in all preceding years.
6. Satisfactory Level is defined as:
    a) Satisfactory attendance and/or engagement, and an overall Pass in coursework assignments and in each assessed component, or
    b) A Pass in the Additional Study.

6.12.3 BFA (Hons) Fine Art

1. The three-year Bachelor of Fine Arts programme consists of the following assessed components:
   a) Studio Work
   b) Critical Studies
2. Critical Studies is marked Pass/Fail and subsumed into the final mark for Studio Work.
3. In order to progress from Year 1 to Year 2, or Year 2 to Year 3, a student must:
   a) Achieve a satisfactory level in the end of year Studio assessment, and
   b) Achieve a satisfactory level in the Critical Studies component, and
   c) Have satisfied the examiners in all preceding years.
4. In order to be awarded a qualification, a student must:
   a) Achieve a satisfactory level in the end of year Studio assessment in Year 3, and
   b) Achieve a satisfactory level in the Critical Studies component in Year 3, and
   c) Have satisfied the examiners in all preceding years.
5. Satisfactory Level is defined as satisfactory attendance and/or engagement, and an overall Pass in coursework assignments and in each assessed component.

6.12.4 MBBS (Bachelor of Medicine, Bachelor of Surgery)

1. The six-year programme consists of the following components:
   a) An integrated programme of study in Years 1, 2, 4, 5 and 6 incorporating clinical and professional practice modules and clinical placements, and
   b) An Integrated Bachelor of Sciences with Honours Degree (iBSc) in Year 3.
2. The iBSc year (Year 3) is governed by the standard UCL regulations in <u>Section 6.6: Honours Degree Progression and Award Requirements</u>.
3. With the exception of the iBSc year, the Pass Marks for each component of the integrated written and practical/ clinical assessments will be determined by criterion-referenced standard setting. The overall result will indicate a Pass or Fail designation for the overall assessment for each candidate with awards of Merit in each year and awards of Distinction in Years 1 and 2 (Medical Sciences), Years 4 and 5 (Clinical Sciences) and Year 6 (Clinical Practice).
4. With the exception of the iBSc year and in-year resit in years 4 and 5 where the mark scheme has provision for students to retake failed component(s) only, a student must complete all sections of the assessments in one sitting and at the times designated by the Medical School. Marks from individual components cannot be carried forward to subsequent sittings.
5. In order to progress from Year 1 to Year 2, or from Year 2 to Year 3, a student must:
   a) Complete the full prescribed course of study to the satisfaction of the Divisional Tutor, and
   b) Submit a portfolio containing marks for all required coursework and student-selected components, and
   c) Have satisfied the examiners in all preceding parts.
6. In order to progress from Year 3 to Year 4, a student must have been awarded the iBSc degree.
7. In order to progress from Year 4 to Year 5, or from Year 5 to Year 6, a student must:
   a) Complete the full prescribed course of study to the satisfaction of the Divisional Tutor, and
   b) Submit a portfolio containing marks for all required coursework, student-selected components and clinical placements, and
   c) Have satisfied the examiners in all preceding parts.
8. In order to be awarded a qualification, a student must:
   a) Complete the full prescribed course of study in Year 6 to the satisfaction of the Divisional Tutor, and
   b) Submit a portfolio containing marks for all required coursework, student-selected components and clinical placements, and
   c) Have satisfied the examiners in all preceding parts, and
   d) Have completed all required assessments for the award of the degrees within 9 years of commencing the programme or, for those UK graduate entrants with exemption from the iBSc requirement, within 8 years of commencing the programme.

9. Reports of concerns over professional behaviour(s) will be considered by the Medical School's Initial Fitness to Practise Panel. Awards of Distinction and Merit are not awarded to candidates with upheld concerns.

10. A candidate may not be awarded the degrees of MBBS where fitness to practise concerns have been raised or are under consideration. All fitness to practise concerns must have been considered under UCL's Fitness to Practise Procedure and a determination reached before a candidate can graduate with a primary medical qualification.

6.12.5 MA Fine Art

1. The two-calendar-year Master of Arts programme consists of the following assessed components:
   a) Studio Work
   b) History and Theory of Art:
      i. Year 1 Coursework Essay
      ii. Year 1 Research Essay
      iii. Year 2 Report
2. In order to continue from Year 1 to Year 2, a student must achieve a satisfactory level in:
   a) The end of year Studio assessment and
   b) The History and Theory of Art coursework.
3. In order to be awarded a qualification, a student must:
   a) Achieve a satisfactory level in the end of year Studio assessment in Year 2, and
   b) Achieve a satisfactory level in the Year 2 Report, and
   c) Have satisfied the examiners in all preceding years.
4. Satisfactory Level is defined as satisfactory attendance and/or engagement, and an overall Pass in coursework assignments and in each assessed component.

6.12.6 MFA Fine Art in the Slade School of Fine Art

1. The two-academic-year, non-modular Master of Fine Arts programme in the Slade School of Fine Art consists of the following assessed components:
   a) Studio Work
   b) Critical Studies
2. Critical Studies is marked Pass/Fail and subsumed into the final mark for Studio Work.
3. In order to continue from Year 1 to Year 2, a student must achieve a satisfactory level in the end of year Studio assessment.
4. In order to be awarded a qualification, a student must:
   a) Achieve a satisfactory level in the end of year Studio assessment in Year 2, and
   b) Have passed the Critical Studies components, and
   c) Have satisfied the examiners in all preceding years.
5. Satisfactory Level is defined as satisfactory attendance and/or engagement, and an overall Pass in coursework assignments and in each assessed component.

7 Classification

Students who have completed the requirements for a qualification should, on the recommendation of the relevant Board of Examiners, be awarded a Classification.

7.1 Overarching Principles

Principle 33: Classification schemes must be transparent, clearly defined and fair to all students.

7.2 Calculating Classifications

7.2.1 Averages and Rounding

1. On programmes operating the **Numeric Marking Scale**:
   a) The Final Weighted Mark must be calculated from a credit-weighted mean of all counting marks, as specified in each individual Classification Scheme.
   b) Where a Classification Scheme includes multiple years of study, the credit-weighted Year Mean must be calculated first. Each Year Mean must then be weighted according to the Classification Scheme, and the Final Weighted Mark must then be calculated from the mean of weighted Year Means.
   c) The Final Weighted Mark must be rounded to 2 decimal places.
2. On programmes operating the **Letter Grade Marking Scale**, the Classification must be determined from the number of module credits falling in each Classification Band.

7.2.2 Classification Year Mean (UG programmes only)

1. On Undergraduate programmes, the 'Classification Year Mean' is the credit-weighted average of only those module marks which count towards the classification in a single year of study. It is distinct from the 'Progression Year Mean' (see Section 6.3.3) which is a mean of all module marks in a year of study.
2. The Classification Year Mean is calculated as follows:
   a) The 'counting' marks are identified (e.g. students might drop their worst 30 credits in Year 1, so only 90 credits 'count').
   b) Each counting mark is given a weighting according to its credit value.
   c) The credit-weighted counting marks are averaged to create the 'Year Mean' for each year of study.
   d) Each Year Mean is given a weighting (e.g. Year 1: 1, Year 2: 3, Year 3: 5).
   e) The weighted Year Means are averaged to give the 'Final Weighted Mark'.
   f) The Final Weighted Mark determines the Classification awarded.

7.2.3 Weighting of Reassessment and Deferral Marks

1. Where marks are capped due to reassessment or other cause, the capped mark must be used in the calculation of the classification.
2. Marks achieved for reassessed modules must be weighted according to the year in which the module was first attempted.
3. Marks achieved for substitute modules must be weighted according to the year in which the substituted module was first attempted.
4. Marks achieved for modules deferred due to Extenuating Circumstances must be weighted according to the year in which the student was first registered on the module.

7.2.4 Credit Awarded via the Recognition of Prior Learning (RPL)

1. Credits awarded via the Recognition of Prior Learning (RPL) from any institution other than UCL must be counted as part of the qualification requirements but must be excluded from the calculation of the Classification.

2. Credits accrued at UCL and awarded via the Recognition of Prior Learning (RPL) must be counted as part of the qualification requirements and included in the calculation of the Classification.
3. At the time of admission with RPL, the student should be advised of the number of credits which they are required to pass in order to be eligible for an Award, and the algorithm which will be used to calculate their Classification.
4. The application procedures for the Recognition of Prior Learning are defined in Chapter 1, Section 2.8: Recognition of Prior Learning for Entry to UCL.

7.2.5 Pass/ Fail Degrees

1. **Subject to approval by UCL Education Committee, or its nominee**, a qualification may be awarded on a Pass/Fail basis i.e. without a Classification. This must be clearly defined in the Portico Progression and Award Rules Tool.

7.2.6 Study Abroad and Placements

1. Where a programme includes an **Integrated** Study Abroad or Placement Year or Module, the Classification must be calculated using the standard Classification Schemes below.
2. Where a programme includes an **Additional/ Extra-mural** Study Abroad or Placement Year or Module, the following rules must be applied when determining the Classification:
   a) Additional/ Extra-mural Study Abroad or Placement Years must be weighted at 0 in the Classification.
   b) Additional/ Extra-mural Study Abroad or Placement **Modules** must be weighted at 0 in the Classification.
   c) Where a programme includes a Study Abroad or Placement **Project Module**, the Study Abroad or Placement Year and the Project Module must be weighted at 0 in the Classification.
   d) Where an Undergraduate Additional/ Extra-mural Study Abroad or Placement **Year** is in the Final Year, the Penultimate Year must be treated as the 'Final Year' in the determination of the classification.

7.2.7 Academic Partnerships

1. **Subject to approval by UCL Education Committee or its nominee**, a UCL programme delivered under an academic partnership agreement may operate an adjusted classification scheme to take account of the learning undertaken at the partner institution. Further details can be found in Chapter 8: Academic Partnerships Framework. Adjusted classification schemes must be included in the Portico Progression and Award Rules Tool and clearly explained in the Student Handbook or equivalent.

7.3 Pre-Honours Classification Scheme

1. A student who meets the Award Requirements for a programme of study leading to a **Certificate of Higher Education** or a **Foundation Degree** should be awarded a Pass, Merit or Distinction Classification.
   a) A Cert HE or Dip HE Interim Qualification is not eligible for a Classification (see Section 10: Interim Qualifications).
2. The Final Weighted Mark must be calculated from the following counting marks, rounded to 2 decimal places:

Certificate of Higher Education

- Year 1: Best 90 credits, weighted at 1.

Foundation Degree

- Year 1: Best 90 credits, weighted at 1
- Year 2: Best 90 credits, weighted at 3.

3.	The following rules must be used to determine the Classification:

Qualifies for Distinction

A Final Weighted Mark greater than or equal to 69.50%

or
A Final Weighted Mark greater than or equal to 68.50%
and
Module marks of at least 70.00% in at least 50% of the Final Year credits.

Qualifies for Merit

A Final Weighted Mark greater than or equal to 59.50%

or
A Final Weighted Mark greater than or equal to 58.50%
and
Module marks of at least 60.00% in at least 50% of the Final Year credits.

Qualifies for Pass

Meets the Award Requirements.

# 7.4	Honours Degree Classification Scheme

## 7.4.1	General Principles

1.	A student who meets the Award Requirements for an **Honours Degree** should be awarded an Honours Classification.
    a) Some Undergraduate qualifications (e.g. the MBBS) do not include a Classification due to the requirements of Professional, Statutory and Regulatory Bodies (PSRBs).
2.	All programmes should operate Classification Scheme A.
    a) **Subject to approval by UCL Education Committee or its nominee**, where a Professional Statutory or Regulatory Body (PSRB) places restrictions on the operation of Condonement, a programme may instead operate Classification Scheme B or C. The scheme in use must be clearly indicated in the Portico Progression and Award Rules Tool.
    b) **Subject to approval by UCL Education Committee or its nominee**, Non-modular Programmes may instead operate one of the Classification Schemes defined in Section 7.8: Non-modular Programmes. The scheme must be clearly indicated in the Portico Progression and Award Rules Tool.

## 7.4.2	Honours Classification Scheme A

1.	The Final Weighted Mark must be calculated from the following counting marks, rounded to 2 decimal places:

3 Year Bachelors

- Year 1: Best 90 credits, weighted at 1
- Year 2: Best 90 credits, weighted at 3
- Year 3: All 120 credits, weighted at 5.

4 Year Integrated Masters

- Year 1: Best 90 credits, weighted at 1
- Year 2: Best 90 credits, weighted at 3
- Year 3: All 120 credits, weighted at 5

- Year 4: All 120 credits, weighted at 5.

1 Year Bachelors Top-Up

- Year 1**:** All 120 credits.

1 Year Integrated Bachelors (iBSc)

Students commencing the UCL MBBS in 2018-19 or 2019-20

- All 120 credits in the iBSc Year (Year 3 of the MBBS), Weighted at 1.

Students from external MBBS programmes commencing the iBSc in 2018-19 or 2019-20

- All 120 credits, Weighted at 1.

7.4.3 Honours Classification Scheme B

1. The Final Weighted Mark must be calculated from the following counting marks, rounded to 2 decimal places:

3 Year Bachelors

- Year 1: All 120 credits, weighted at 1
- Year 2: All 120 credits, weighted at 3
- Year 3: All 120 credits, Weighted at 5.

4 Year Integrated Masters

- Year 1: All 120 credits, weighted at 1
- Year 2: All 120 credits, weighted at 3
- Year 3: All 120 credits, weighted at 5
- Year 4: All 120 credits, weighted at 5.

7.4.4 Honours Classification Scheme C

1. The Final Weighted Mark must be calculated from the following counting marks, rounded to 2 decimal places:

3 Year Bachelors

- Year 1: Weighted at 0
- Year 2: All 120 credits, weighted at 3
- Year 3: All 120 credits, weighted at 5.

4 Year Integrated Masters

- Year 1: Weighted at 0
- Year 2: All 120 credits, weighted at 3
- Year 3: All 120 credits, weighted at 5
- Year 4: All 120 credits, weighted at 5.

7.4.5 Determination of Honours Classifications

1. For all Honours Degree Classification Schemes, the following rules must be used to determine the Classification:

Qualifies for First Class Honours (1)

A Final Weighted Mark greater than or equal to 69.50%

or

A Final Weighted Mark greater than or equal to 68.50%
and
Module marks of at least 70.00% in at least 50% of the Final Year credits.

Qualifies for Second Class Honours Upper Division (2.1)

A Final Weighted Mark greater than or equal to 59.50%

or
A Final Weighted Mark greater than or equal to 58.50%
and
Module marks of at least 60.00% in at least 50% of the Final Year credits.

Qualifies for Second Class Honours Lower Division (2.2)

A Final Weighted Mark greater than or equal to 49.50%

or
A Final Weighted Mark greater than or equal to 48.50%
and
Module marks of at least 50.00% in at least 50% of the Final Year credits.

Qualifies for Third Class Honours (3)

A Final Weighted Mark greater than or equal to 40.00%.

2.   Where a Study Abroad or Placement Year is in the Final Year, the Penultimate Year must be treated as the 'Final Year' in the determination of the classification. See Section 7.2.6: Study Abroad and Placements.

7.5   Graduate Classification Scheme

1.   A student who meets the Award Requirements for a programme of study leading to a **Graduate Certificate** or **Graduate Diploma** should be awarded a Pass, Merit or Distinction Classification.
      a)   Where a Grad Cert Interim Qualification is an Advertised Outcome from a programme of study, students are eligible for a Classification. Where an Interim Qualification is not an Advertised Outcome, students are not eligible for a Classification (see Section 10: Interim Qualifications).
      b)   Some Graduate qualifications may not include a Classification due to the requirements of Professional, Statutory and Regulatory Bodies (PSRBs).
2.   On programmes operating the **Numeric Marking Scale**, the Final Weighted Mark must be calculated from a credit-weighted mean of all module marks, rounded to 2 decimal places.
3.   On programmes operating the **Letter Grade Marking Scale**, the Classification must be calculated using all credit-weighted module grades.
4.   The following rules must be used to determine the Classification:

Numeric Marking Scale

Qualifies for Distinction

A Final Weighted Mark greater than or equal to 69.50%

or
A Final Weighted Mark greater than or equal to 68.50%
and
Module marks of at least 70.00% in at least 50% of the credits.

Qualifies for Merit

A Final Weighted Mark greater than or equal to 59.50%

or
A Final Weighted Mark greater than or equal to 58.50%
and
Module marks of at least 60.00% in at least 50% of the credits.

Qualifies for Pass

Meets the Award Requirements.

Letter Grade Marking Scale

Qualifies for Distinction

A Grade A in at least two thirds of the credits.

Qualifies for Merit

A Grade greater than or equal to B in at least two thirds of the credits.

Qualifies for Pass

Meets the Award Requirements.

7.6   Taught Postgraduate Classification Scheme

1.   A student who meets the Award Requirements for a programme of study leading to a **Postgraduate Certificate**, **Postgraduate Diploma** or **Taught Masters Degree** should be awarded a Pass, Merit or Distinction Classification.
    a)   Where a PG Cert or PG Dip Interim Qualification is an Advertised Outcome from a programme of study, students are eligible for a Classification. Where an Interim Qualification is **not** an Advertised Outcome, students are **not** eligible for a Classification (see Section 10: Interim Qualifications).
    b)   Some Postgraduate qualifications (e.g. the Postgraduate Certificate in Education) do not include a Classification due to the requirements of Professional, Statutory and Regulatory Bodies (PSRBs).
2.   All programmes should operate the main UCL Classification Scheme defined in this section.
    a)   **Subject to approval by UCL Education Committee or its nominee**, non-modular programmes may instead operate one of the Classification Schemes defined in Section 7.8: Non-modular Programmes. The scheme must be clearly indicated in the Portico Progression and Award Rules Tool.
3.   On programmes operating the **Numeric Marking Scale**, the Final Weighted Mark must be calculated from a credit-weighted mean of all module marks, rounded to 2 decimal places.
4.   On programmes operating the **Letter Grade Marking Scale**, the Classification must be calculated using all credit-weighted module grades.
5.   The following rules must be used to determine the Classification:

Numeric Marking Scale

Qualifies for Distinction

A Final Weighted Mark greater than or equal to 69.50%

or
A Final Weighted Mark greater than or equal to 68.50%
and
Module marks of at least 70.00% in at least 50% of all credits.

Qualifies for Merit

A Final Weighted Mark greater than or equal to 59.50%

or
A Final Weighted Mark greater than or equal to 58.50%
and
Module marks of at least 60.00% in at least 50% of all credits.

Qualifies for Pass

Meets the Award Requirements

Letter Grade Marking Scale

Qualifies for Distinction

A Grade A in at least two thirds of the credits.

Qualifies for Merit

A Grade greater than or equal to B in at least two thirds of the credits.

Qualifies for Pass

Meets the Award Requirements.

7.7 Research Masters (MRes) Classification Scheme

1. A student who meets the Award Requirements for a programme of study leading to a **Masters by Research Degree (MRes)** must be awarded a Pass, Merit or Distinction Classification.
2. On programmes operating the **Numeric Marking Scale**, the Final Weighted Mark must be calculated from a credit-weighted mean of all module marks, rounded to 2 decimal places.
3. On programmes operating the **Letter Grade Marking Scale**, the Classification must be calculated using all credit-weighted module grades.
4. The following rules must be used to determine the Classification:

Numeric Marking Scale

Qualifies for Distinction

A Final Weighted Mark greater than or equal to 69.50%
and
A mark greater than or equal to 70% in the Dissertation

or
A Final Weighted Mark greater than or equal to 68.50%
and
Module marks of at least 70.00% in at least 50% of the taught credits
and
A mark greater than or equal to 70.00% in the Dissertation.

Qualifies for Merit

A Final Weighted Mark greater than or equal to 59.50%
and
A mark greater than or equal to 60% in the Dissertation.

or
A Final Weighted Mark greater than or equal to 58.50%
and

Module marks of at least 60.00% in at least 50% of the taught credits
and
A mark greater than or equal to 60.00% in the Dissertation.

Qualifies for Pass

Meets the Award Requirements.

Letter Grade Marking Scale

Qualifies for Distinction

A Grade A in at least two thirds of the credits which must include the Dissertation.

Qualifies for Merit

A Grade greater than or equal to B in at least two thirds of the credits which must include the Dissertation.

Qualifies for Pass

Meets the Award Requirements.

7.8   Non-Modular Programmes

7.8.1   BA (Hons) English

1. The Final Weighted Mark must be calculated from the following ten, equally-weighted marks:
    a) 8 course units in Years 2 and 3, and
    b) The Research Essay mark, and
    c) The Course Assessment mark.
2. The Honours Classification must be determined using the following rules:

Qualifies for First Class Honours (1)

3 marks above 69 and numerical aggregate of at least 666.

Qualifies for Second Class Honours Upper Division (2.1)

6 marks above 59 and numerical aggregate of at least 590.

Qualifies for Second Class Honours Lower Division (2.2)

8 marks above 49 and numerical aggregate of at least 520.

Qualifies for Third Class Honours (3)

9 marks above 39 and numerical aggregate of at least 460.

3. The work of candidates who meet one but not both of the criteria for any given class must be referred to the External Examiner for review. The work of candidates who are close to both of the criteria for any given class but fulfil neither may be referred to the External Examiner for review. Please see Chapter 9, Section 4.3: Responsibilities of External Examiners for further details.

7.8.2   BA (Hons) Fine Art

1. The Final Weighted Mark must be calculated from a weighted mean of the following marks, rounded to 2 decimal places:
    a) History and Theory of Art Coursework in Year 2, weighted at 10%, and
    b) History and Theory of Art Independent Study in Year 3, weighted at 10%, and
    c) Degree Exhibition in Year 4, weighted at 80%.

2. The mark/s from the Additional Study is/are used as a moderator in borderline cases.
3. The Honours Classification must be determined using the standard rules in Section 7.4.5: Determination of Honours Classifications.

7.8.3 BFA (Hons) Fine Art

1. The Final Weighted Mark must be based on performance in the final year Studio Work, weighted at 100%.
2. Critical Studies is marked Pass/Fail and subsumed into the final mark for Studio Work.
3. The Honours Classification must be determined using the following rules:

Qualifies for First Class Honours (1)

A Final Mark greater than or equal to 70.00%.

Qualifies for Second Class Honours Upper Division (2.1)

A Final Mark greater than or equal to 60.00%.

Qualifies for Second Class Honours Lower Division (2.2)

A Final Mark greater than or equal to 50.00%.

Qualifies for Third Class Honours (3)

A Final Mark greater than or equal to 40.00%.

4. As the Classification is based on one mark, Borderline Criteria do not apply.

7.8.4 MBBS (Bachelor of Medicine, Bachelor of Surgery)

1. The MBBS does not include an Honours Classification, and the regulations in Section 7: Classification do not apply to this programme.
2. The iBSc does include an Honours Classification and is subject to the standard UCL regulations in Section 7.4: Honours Degree Classification Scheme.

7.8.5 MA Fine Art

1. The Final Weighted Mark must be calculated from a weighted mean of the following counting marks, rounded to 2 decimal places:
   a) History and Theory of Art Spring Course Essay in Year 1, weighted at 5%, and
   b) History and Theory of Art Research Essay in Year 1, weighted at 5%, and
   c) History and Theory of Art Report in Year 2, weighted at 15%, and
   d) Studio work in Year 2, weighted at 75%.
2. The Classification must be determined using the standard rules in Section 7.6: Taught Postgraduate Classification Scheme.

7.8.6 MFA Fine Art in the Slade School of Fine Art

1. The Final Weighted Mark must be based on performance in the Studio Work in Year 2, weighted at 100%.
2. Critical Studies is marked Pass/Fail and subsumed into the final mark for Studio Work.
3. The Classification must be determined using the following rules:

Qualifies for Distinction

A Final Mark greater than or equal to 70.00%.

Qualifies for Merit

A Final Mark greater than or equal to 60.00%.

Qualifies for Pass

A Final Mark greater than or equal to 50.00%.

4.   As the Classification is based on one mark, Borderline Criteria do not apply.

8   Deferred Assessment

8.1   Scope & Definitions

1. A Deferral is the opportunity to sit an assessment as if for the first time and without penalty as a form of mitigation for students with Extenuating Circumstances.
2. A Deferral should be undertaken **without tuition**.
3. A Deferral may be taken **with tuition** where a student:
   a) Has missed a large amount of teaching, and/or
   b) Has failed or failed to complete a large number of credits due to ECs, and/or
   c) Has ECs on a second attempt.
4. Where a student passes a Deferral of a **first attempt** the student must receive the full mark for all components and modules (marks must not be capped).
5. Where a student passes a Deferral of a **second attempt** (i.e. a Deferral of a Resit or Repeat), the module mark(s) must be capped at the Pass Mark (Section 3.7). Students should refer to Section 9: Consequences of Failure for full details of the regulations around Resits and Repeats.
6. Deferrals must be available to students at all levels of study, including finalists.
7. A Deferral may be offered to a student who has already made an assessment attempt. The mark from the original attempt will be disregarded and the student will be offered the opportunity to sit the assessment as if for the first time. The Progression and Award Requirements, including any rules around Condonement, must not be applied until the student has undertaken the Deferral.
8. Deferrals may not be possible for students who are unable to complete an Extra-Mural Study Abroad or Placement Year. Where such a Deferral is not possible, students must transfer to an equivalent programme without a Study Abroad or Placement requirement.
9. Deferrals must be completed within the next two academic sessions (e.g. if the student first enrols on the module in 2020-21 they must complete the assessment by the end of 2022-23). Where a module is substituted, students have two academic sessions from when they first enrol on the substituted module.
10. This period of two academic sessions may be extended at the discretion of UCL Academic Services on behalf of the Vice-Provost (Education & Student Experience). Applications must be made via the Faculty Tutor.
11. The Faculty/ Departmental EC Panel must communicate the decision to offer a Deferral, with or without tuition, to the Board of Examiners.
12. The Board of Examiners must implement the decision, confirm the date of the next assessment, and ensure that the student's Portico registration is amended.
13. Decisions relating to Deferred Assessments must be honoured regardless of any volume of credit failed and dealt with under the Consequences of Failure provisions. The number of deferred credits must not be added to failed credits when considering whether students should Resit or Repeat.

8.2   Deferral without Tuition

Timing of the Deferral

1. A **Deferral without Tuition** should be scheduled as per the regulations in Section 9.4: Resitting a Module.
2. **Up to a maximum of 30 credits**, a student with ECs extending beyond the Late Summer Assessment Period, may be permitted to **Provisionally Progress** onto the next year of study and to undertake a Deferral without Tuition in tandem. Such students must successfully pass the Deferral and meet the Progression requirements before they will be permitted to progress to any subsequent years of study or be considered for an Award. See Section 6.4: Provisional Progression for further details.

3. Where a Deferral without Tuition is needed as part of a student's Interruption of Study, the Deferred Assessment may take place at a later date, after the student has returned to UCL.

Requirements and Entitlements

4. Students should be assessed in the module **component(s)** affected by the EC.
5. Students should not attend any additional lectures, seminars or other teaching activities. They may be offered, but are not automatically entitled to, additional tutorials or supervision.
6. Students must not be charged an additional fee for deferring the assessment.
7. Students should have access to UCL's facilities such as the library and other learning resources, although there may be limited availability of some resources during UCL vacation periods.
8. Students must be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
9. Students should undertake the Deferral before they commence any Study Abroad Year or Placement Year.

Format of the Deferral

10. Students must be assessed under the syllabus in place for the original assessment.
11. Students should be assessed by the same Method used for the original assessment (e.g. essay, exam, practical etc.). Where assessment by the same Method is difficult or impossible, a Board of Examiners may set a different Method of assessment. The alternative Method must:
    a) Allow students to demonstrate achievement of the learning outcomes to the same extent as the original assessment, and
    b) Be approved by the External Examiner, preferably at the point of Programme and/ or Module Approval.
12. The Board of Examiners must determine whether Deferral students will be assessed in the same Task (e.g. the same essay topic) or whether a new Task will be set (e.g. a new essay question or new exam paper). Any new assessment Task must:
    a) Allow students to demonstrate achievement of the learning outcomes to the same extent as the original task, and
    b) Be approved by the External Examiner, preferably at the same time as the original task/ paper.
13. Students cannot substitute a module with an alternative module because the Deferral includes no tuition.

8.3   Deferral with Tuition

Timing of the Deferral

1. A **Deferral with Tuition** should take place in the following academic session.
2. **Up to a maximum of 30 credits**, a student may be permitted to **Provisionally Progress** and to undertake a **Deferral with Tuition** in tandem with the next year of study. Such students must successfully complete the Deferral and meet the Progression requirements before enrolling on any subsequent years of study or being considered for an Award. See Section 6.4: Provisional Progression for further details. A student who is offered a **Deferral with Tuition in more than 30 credits** must not commence the next year of study until the Deferrals are complete.
3. Where a Deferral with Tuition is needed as part of a student's Interruption of Study, the Deferral *may* take place in a subsequent academic session, after the student has returned to UCL.

Requirements and Entitlements

4. Students should be assessed in **all the components** of the affected module(s).
5. Students must re-enrol on the affected module(s) in the following academic session, attend all teaching activities and are entitled to the standard tuition and supervision provisions on the module(s).

6.   Students must not be charged an additional fee for deferring the assessment except for any fees to be incurred in respect of additional tuition which must be charged pro-rata to the credit value of the modules.
7.   Students must have full access to UCL's facilities such as the library and other learning resources.
8.   Students must be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
9.   Students should undertake the Deferral before they commence any Study Abroad Year or Placement Year.

Format of the Deferral

10. The components and/ or syllabus of the affected module(s) may be different if the programme or module has changed between years of study. Students must be assessed in the components and syllabus of the new year.

Substitution of Modules

11. **Subject to approval by the Departmental Tutor**, a student may apply to substitute up to 30 credits of modules with one or more alternative modules in any one academic session, up to a maximum of 60 credits across the whole programme.
12. If a programme has changed between years of study, or a module will not be running, the Departmental Tutor may permit a student to substitute more than 30 credits per year, or more than 60 credits across the programme, with one or more alternative modules.
13. The substitute module(s) must satisfy the programme requirements in terms of credit-weighting and academic level. Students must not take modules from a subsequent year of study in advance.
14. The substitute module(s) must be treated as a Deferral attempt:
     a) Where a student passes a Deferral of a **first attempt** the student must receive the full mark for all components and modules (marks must not be capped).
     b) Where a student passes a Deferral of a **second attempt** (i.e. a Deferral of a Resit or Repeat), the module mark(s) must be capped at the Pass Mark (Section 3.7). Students should refer to Section 9: Consequences of Failure for full details of the regulations around Resits and Repeats.
15. All approved applications for substitutions must be submitted to examboards@ucl.ac.uk who will confirm that the substitutions are possible and amend the student's record.

8.4   Extenuating Circumstances on a Deferral Attempt

1.   If a student experiences further Extenuating Circumstances on their Deferral attempt, they must submit a new EC Form.
2.   Students should, however, be aware that multiple requests for the same Extenuating Circumstances may not be accepted if they do not meet the criteria of being sudden, unexpected and beyond the student's control. Where a student has a longer-term difficulty, they must contact the Disability, Mental Health and Wellbeing team or Student Psychological and Counselling Services as early as possible so that UCL can support them effectively throughout their studies via the provisions in Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions.

9   Consequences of Failure

The Consequences of Failure regulations cover the provisions for students who do not meet the Progression and Award Requirements, where there are no Extenuating Circumstances material to that failure. Students who are ill or have other valid Extenuating Circumstances should refer to <u>Section 8: Deferred Assessment</u> for details of the support available.

9.1 Overarching Principles

Principle 34:   A student who does not meet the Progression and Award Requirements at the first attempt should be reassessed in the failed module(s).

Principle 35:   A student who does not meet the Progression and Award Requirements at the second attempt must not be reassessed.

9.2 Failure at the First Attempt

1. A student who does not meet the Progression and Award Requirements at the first attempt should be reassessed in the failed module(s) unless they:
   a) Are eligible for the award of the intended qualification, or
   b) Are eligible for Condonement (<u>Section 6.3</u>), or
   c) Have failed an Additional/ Extra-Mural Study Abroad or Placement Year (see paragraph 7 below), or
   d) Have been awarded a qualification, or
   e) Have failed to meet specific, essential Professional, Statutory or Regulatory Body requirements as approved by UCL Education Committee or its nominee and recorded in the Portico Progression and Award Rules Tool, or
   f) Have been excluded from UCL on the grounds of academic insufficiency, or
   g) Have been excluded from UCL as a result of academic or personal misconduct.
2. Where a student fails **up to and including 60 taught credits** in any one academic session reassessment must take the form of a **Resit**.
3. Where a student fails **more than 60 taught credits** in any one academic session, reassessment should take the form of a **Repeat**. Where a Repeat is considered to be impossible, the Board of Examiners may offer the student the opportunity to take the failed assessments as Resits.
4. Where a student requires Deferred Assessment and Reassessment, the volume of credits for the Deferred Assessment should not be taken into consideration in determining whether a student is required to Resit or Repeat.
5. Where a student fails a Dissertation/ Research Project, reassessment should take the form of a **Resit** unless the Board of Examiners agrees that, in its academic judgement, the extent of failure is such that additional supervision is needed to retrieve that failure. Such students may be required to **Repeat** the Dissertation/ Research Project with tuition and fees.
6. A student who fails an Additional/ Extra-Mural Study Abroad or Placement Year must not be reassessed but may be permitted to transfer to an equivalent programme without a Study Abroad or Placement requirement.
7. A student must not be reassessed in a Passed or Condoned module.
8. A student must not be permitted to make corrections to a piece of work after the submission deadline or examination date. If work is to be submitted for publication, a student must only be permitted to make corrections once the Board of Examiners has made a decision about Progression and Award.
9. Reassessment must be completed within the next two academic sessions (e.g. if the student first enrols on the module in 2020-21 they must complete the assessment by the end of 2022-23). Where a module is substituted, students have two academic sessions from when they first enrol on the substituted module.

10.   This period of two academic sessions may be extended at the discretion of UCL Academic Services on behalf of the Vice-Provost (Education & Student Experience). Applications must be made via the Faculty Tutor.

9.3   Failure at the Second Attempt

1.   A student who does not meet the Progression and Award Requirements at the second attempt must leave the programme, and must not be permitted to re-enrol on a failed programme or module.
2.   A student may be eligible for one of the following, depending on their programme of study:
      a) The award of a qualification with a different field of study, or
      b) Transfer to an alternative programme, or
      c) An Interim Qualification (Section 10).

9.4   Resitting a Module

1.   A **Resit** is a second attempt at an assessment without any additional tuition and with marks capped at the Pass Mark (see Section 3.7).

   Timing of Resits

2.   Resits should be scheduled as follows:

   Taught modules first assessed in Term 1 or Term 2:

   Late Summer Assessment Period.

   Taught modules first assessed in Term 3:

   Late Summer Assessment Period or within three months of the first attempt.

   Taught modules first assessed in the summer vacation/ Term 4:

   Within three months of the first attempt.

   Masters Dissertations/ Research Projects: September-start programmes:

   By 31 January of the following academic session.

   Masters Dissertations/ Research Projects: January-start programmes:

   By 30 April of the following academic session.

3.   Departments/ Divisions running Resits and Deferrals outside of the Late Summer Assessment Period must:
      a) Ensure that students have an adequate amount of time in which to revise or complete the work, and
      b) Manage the assessment including the operation of unseen written examinations (students cannot be timetabled into the main UCL LSA Examination Timetable), and
      c) Ensure that there are no timetabling clashes, especially for students external to the Teaching Department/ Division, and
      d) Ensure that marks are entered by the deadlines published by Student and Registry Services each year so that students can formally progress to any subsequent years of study, and
      e) Ensure that the award of a student's degree is not delayed unreasonably, and
      f) Ensure that all students registered on the module are aware of the reassessment dates as early as possible.
4.   Progressing students should not enrol on the next year of study until the Resit has been completed.

a) Exceptionally, a student may be permitted to **Provisionally Progress** and Resit the module in tandem with the next year of study in a maximum of 30 credits. See Section 6.4: Provisional Progression for further details.

Resit Marks

5. Resitting students must only be reassessed in the failed module **component(s)**.
6. Where a student passes a Resit, the module mark(s) must be capped at the Pass Mark (Section 3.7).
7. Where a student fails a Resit, the higher mark from the two attempts will be recorded for the affected Component(s).

Requirements and Entitlements

8. Resitting students should not attend any additional lectures, seminars or other teaching activities. They may be offered, but are not automatically entitled to, additional tutorials or supervision.
9. There must be no fee for Resitting an assessment.
10. Resitting students should have access to UCL's facilities such as the library and other learning resources, although there may be limited availability of some resources during UCL vacation periods.
11. Resitting students must be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
12. Students should undertake a Resit before they commence a Study Abroad Year or Placement Year.

Format of the Resit

13. Resitting students must be reassessed under the syllabus in place at the first attempt.
14. Resitting students should be reassessed by the same Method used at the first attempt (e.g. essay, exam, practical etc.). Where a Resit by the same Method of assessment is difficult or impossible, a Board of Examiners may, **with the approval of UCL Education Committee or its nominee**, set a different Method of reassessment. The alternative Method must:
    a) Allow students to demonstrate achievement of the learning outcomes to the same extent as the original assessment, and
    b) Be approved by the External Examiner, preferably at the point of Programme and/ or Module Approval.
15. The Board of Examiners must determine whether Resitting students will be reassessed in the same Task (e.g. the same essay question) or whether a new Task will be set (e.g. a new essay question or new exam paper). Any new assessment Task must:
    a) Allow students to demonstrate achievement of the learning outcomes to the same extent as the original Task, and
    b) Be approved by the External Examiner, preferably at the same time as the original Task/ paper.
16. Resitting students cannot substitute a failed module with an alternative module because the Resit includes no teaching.

9.5   Repeating a Module

1. A **Repeat** is a second attempt at an assessment in the following academic session with tuition and fees and with marks capped at the Pass Mark (see Section 3.7).

Timing of a Repeat

2. A student who is required to Repeat must re-enrol on the failed modules in the following academic session.
3. Progressing students should not enrol on the next year of study until the Repeat has been completed.

a) Exceptionally, a student may be permitted to **Provisionally Progress** and Repeat the module in tandem with the next year of study in a maximum of 30 credits. See Section 6.4: Provisional Progression for further details.

Repeat Marks

4. Repeating students must be reassessed in **all the components** of the failed module(s).
5. Where a student Passes a Repeat, the module mark(s) must be capped at the Pass Mark (Section 3.7).
6. Where a student fails a Repeat, the marks from the Repeat attempt will be recorded.

Requirements and Entitlements

7. Repeating students must re-enrol on the affected module(s), attend all teaching activities and be entitled to the standard tuition and supervision provisions on the module(s).
8. The fees for Repeating students must be charged pro-rata to the credit value of the module(s) concerned.
9. Repeating students must have full access to UCL's facilities such as the library and other learning resources.
10. Repeating students must be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
11. Students should undertake a Repeat before they commence any Study Abroad Year or Placement Year.

Format of the Repeat

12. The components and/ or syllabus of the affected module(s) may be different if the programme or module has changed between years of study. Repeating students must be reassessed in the components and syllabus of the new year.

Substitution of Modules

13. **Subject to approval by the Departmental Tutor**, a Repeating student may apply to substitute up to 30 credits of modules with one or more alternative modules in any one academic session, up to a maximum of 60 credits across the whole programme.
14. If a programme has changed between years of study, or a module will not be running, the Departmental Tutor may permit a student to substitute more than 30 credits per year, or more than 60 credits across the programme, with one or more alternative modules.
15. The substitute module(s) must satisfy the programme requirements in terms of credit-weighting and academic level. Students must not take modules from a subsequent year of study in advance.
16. The substitute module(s) must be treated as a second attempt and marks must be capped at the Pass Mark (Section 3.7).
17. All approved applications for substitutions must be submitted to examboards@ucl.ac.uk who will confirm that the substitutions are possible and amend the student's record.

9.6   Non-Modular Programmes

9.6.1   BA (Hons) English

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following implementation:
   a) Where a student fails one examination in the first year of the programme, reassessment should take the form of a Resit.
   b) Where a student fails two or more examinations in the first year of the programme, reassessment should take the form of a Repeat. Where a Repeat is considered to be impossible, the Board of Examiners may offer the student the opportunity to take the failed assessments as Resits.

      c) The fees for Repeating Year 1 students must be charged pro-rata to the proportion of the teaching load represented by the repeat:
         i. Two papers: 66% of the fee.
         ii. Three papers: 100% of the fee.

9.6.2 BA (Hons) Fine Art

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following exceptions:
    d) A student who fails the final assessment of Studio Work at the end of Year 4 should Resit at the end of the following academic session. Exceptionally, the Board of Examiners may determine that the extent of failure is such that the student must Repeat the Studio Work, with tuition and fees, in the following academic session.

9.6.3 BFA (Hons) Fine Art

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following exceptions:
    a) A student who fails the final assessment of Studio Work at the end of Year 3 should Resit at the end of the following academic session. Exceptionally, the Board of Examiners may determine that the extent of failure is such that the student must Repeat the Studio Work, with tuition and fees, in the following academic session.

9.6.4 MBBS (Bachelor of Medicine, Bachelor of Surgery)

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following exceptions:
    a) In Years 4 and 5, candidates who fail by a significant margin as defined in the MBBS mark scheme are permitted one attempt at the examinations at the end of the academic session and one attempt at the end of the following academic session after repeating the full programme of study for the year, with tuition and fees.
    b) In Years 4 and 5, candidates who fail by a narrow margin as defined in the MBBS mark scheme are permitted to take their second attempt in the Late Summer Assessment Period after a 4-week period of remediation or at the end of the following academic session after repeating the full programme of study for the year, with tuition and fees.
    c) Students who repeat a year of study following examination failure must complete all coursework requirements without drawing on previous submissions.
    d) Candidates who become unable, at any stage in the programme, to complete all the course and assessment requirements to qualify within 9 years (or, for UK graduate entrants with exemption from the iBSc requirement, within 8 years) will be required to leave the School.
    e) In Year 6, the designated time for the first attempt is March and the designated time for the second attempt is June.

9.6.5 MA Fine Art

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following exceptions:
    a) A student who fails the final assessment of Studio Work at the end of Year 2 should Resit at the end of the following academic session. Exceptionally, the Board of Examiners may determine that the extent of failure is such that the student must Repeat the Studio Work, with tuition and fees, in the following academic session.

9.6.6 MFA Fine Art in the Slade School of Fine Art

1. A student who fails to meet the Progression and Award Requirements is subject to the standard UCL Consequences of Failure regulations detailed above, with the following exceptions:
    a) A student who fails the final assessment of Studio Work at the end of Year 2 should Resit at the end of the following academic session. Exceptionally, the Board of Examiners may

determine that the extent of failure is such that the student must Repeat the Studio Work, with tuition and fees, in the following academic session.

10   Interim Qualifications

The Interim Qualifications regulations define the qualifications available to students who may be unable to complete the programme on which they originally enrolled.

10.1   Overarching Principles

Principle 17:   Qualifications must only be awarded for the successful achievement of defined learning outcomes.

10.2   Scope & Definitions

10.2.1   Eligibility

1. A student who is unable to complete their programme may be eligible for **an Interim Qualification**.
2. An Interim Qualification may be awarded:
   a) As an 'Advertised Outcome' from a programme of study, or
   b) By transferring a student to a programme resulting in a lower qualification, where such a programme exists. The student may choose this route or UCL may recommend that the student takes this route, or
   c) As a result of failing to meet the requirements of the programme on which the student originally registered, whether due to Extenuating Circumstances or under-performance.
3. A student who is unable to finish their programme of study may ask to be considered for an Interim Qualification. Such an award is normally final. Exceptionally, the Faculty Tutor may permit the student to surrender the Interim Qualification and re-register at UCL – please see Chapter 3, Section 1.7 Closing and Re-Opening Records for further details.

Advertised Outcomes

4. An Interim Qualification is defined as an 'Advertised Outcome' where there are discretely-defined, programme-specific Interim Qualification Learning Outcomes which are published in the Programme Summary. The Board of Examiners must assess the student's eligibility for the Interim Qualification against these Learning Outcomes.
5. On Graduate and Taught Postgraduate Programmes, an Interim Qualification which is an Advertised Outcome is eligible for a Classification.
6. Where the Interim Qualification is **not** an Advertised Outcome of the programme the Board of Examiners must assess the student's eligibility for the Interim Qualification against the standard UCL Interim Qualification Learning Outcomes defined in Sections 10.4 - 10.11.
7. On Graduate and Taught Postgraduate Programmes, an Interim Qualification which is not an Advertised Outcome is not eligible for a Classification.

Field of Study

8. The field of study for an Interim Qualification should match the title of the full degree programme on which the student is registered.
9. **Subject to approval by UCL Education Committee or its nominee**, a programme may include Interim Qualifications with an alternate field of study to that of the full degree on which the student is registered e.g. Dip HE Legal Studies instead of Laws.
10. Alternate fields of study for Interim Qualifications must be documented in the Programme Summary.

10.3   Full Qualification with an Alternate Field of Study

1. A student may be considered for a full qualification with an alternate field of study where they meet UCL's threshold standards for the award of a qualification but:
    a) Fail or fail to enrol on a Compulsory module, or
    b) Fail to meet the requirements of a Professional, Statutory or Regulatory Body, or
    c) Fail to meet the Progression, Award or credit requirements of a specific programme of study.
2. A qualification with an alternate field of study may be awarded in one of the following ways:
    a) **Subject to approval by UCL Education Committee or its nominee**, a programme may include a qualification with an alternate field of study as a standard outcome from the programme e.g. MSc Human Communication Science as an interim qualification for students who are unable to meet the requirements of MSc Speech and Language Sciences, or
    b) A Board of Examiners may make a recommendation for an alternate field of study for an individual student on a case-by-case basis. Applications should be made to UCL Academic Services via the Faculty Tutor. Where the alternate field of study has not already been approved, approval must be sought from the Vice-Provost (Education & Student Experience) or their nominee.
3. A student should not be permitted to request a particular field of study, although an appropriate field of study may be discussed provisionally with the student prior to the Board of Examiners meeting.
4. A student awarded a qualification with an alternate field of study is eligible for a Classification if they meet the relevant criteria.

10.4   Cert HE Interim Qualification

Award Criteria

1. A student who is unable to meet the minimum requirements for a **Bachelors with Honours**, **Integrated Masters with Honours** or **Foundation Degree** may be awarded a Certificate of Higher Education (Cert HE) if they have:
    a) Passed, or been formally condoned in, 120 credits at level 4 or above, and
    b) Met or surpassed the standard or programme-defined Interim Qualification Learning Outcomes for a Cert HE.

Standard Cert HE Learning Outcomes

2. In order to be awarded a Cert HE a student should be able to demonstrate:
    *   some knowledge of the underlying concepts and principles associated with their field of study
    *   an ability to evaluate and interpret concepts and principles within the context of their field
    *   an ability to present, evaluate and interpret qualitative and quantitative data
    *   an ability to develop lines of argument
    *   an ability to make sound judgements in accordance with the basic theories and concepts of their field.
3. These are the standard UCL Cert HE Interim Qualification Learning Outcomes; programmes may develop their own Learning Outcomes over and above these requirements, **subject to approval by UCL Education Committee or its nominee.**

Classification

4. A Cert HE Interim Qualification does not include a Classification.

10.5   Dip HE Interim Qualification

Award Criteria

1.   A student who is unable to meet the minimum requirements for a **Bachelors with Honours or Integrated Masters with Honours** may be awarded a Diploma of Higher Education (Dip HE) if they have:
     a)   Passed, or been formally condoned in, 240 credits with at least 90 at level 5 or above, no more than 150 at level 4, and no credits below level 4, and
     b)   Met or surpassed the standard or programme-defined Interim Qualification Learning Outcomes for a Dip HE.

Standard Dip HE Learning Outcomes

2.   In order to be awarded a Dip HE a student should be able to demonstrate:
     *   knowledge and critical understanding of the well-established principles of their field of study, and of the way in which those principles have developed
     *   an ability to apply underlying concepts and principles outside the context in which they were first studied, including, where appropriate, the application of those principles in an employment context
     *   knowledge of the main methods of enquiry in the field of study
     *   an ability to evaluate critically the appropriateness of different approaches to solving problems in the field of study
     *   an understanding of the limits of their knowledge, and how this influences analyses and interpretations which might be based on that knowledge.

3.   These are the standard UCL Dip HE Interim Qualification Learning Outcomes; programmes may develop their own Learning Outcomes over and above these requirements **subject to approval by UCL Education Committee or its nominee**.

Classification

4.   A Dip HE Interim Qualification does not include a Classification.

10.6   Ordinary Degree Interim Qualification

Award Criteria

1.   A student who is unable to meet the minimum requirements for a **Bachelors with Honours** or **Integrated Masters with Honours** may be awarded an Ordinary Degree (Bachelors without Honours) if they have:
     a)   Passed, or been formally condoned in, 300 credits with at least 60 at level 6 or above, no more than 150 at level 4, and no credits below level 4, and
     b)   Met or surpassed the standard or programme-defined Interim Qualification Learning Outcomes for an Ordinary Degree.

Standard Ordinary Degree Learning Outcomes

2.   In order to be awarded an Ordinary Degree a student should be able to demonstrate:
     *   an understanding of some key aspects of their field of study, including the acquisition of coherent and detailed knowledge, at least some of which is at, or informed by, the forefront of the field
     *   an ability to deploy established techniques of analysis and enquiry within the field of study
     *   an ability to devise arguments, and/ or to solve problems, using ideas and techniques, some of which are at the forefront of the field of study
     *   an ability to describe and comment upon particular aspects of current research or scholarship in the field of study
     *   some appreciation of the uncertainty, ambiguity and limits of knowledge

- an ability to manage their own learning
- some ability to make use of scholarly reviews and primary sources (for example, refereed research articles and/ or original materials appropriate to the field of study).

3. These are the standard UCL Ordinary Degree Interim Qualification Learning Outcomes; programmes may develop their own Learning Outcomes over and above these requirements **subject to approval by UCL Education Committee or its nominee.**

Classification

4. An Ordinary Degree does not include a Classification.

10.7 Bachelors with Honours Interim Qualification

Award Criteria

1. A student who is unable to meet the minimum requirements for an **Integrated Masters Degree** may be awarded a Bachelors with Honours if they have:
   a) Met the standard or programme-defined Bachelors with Honours Progression and Award Requirements ([Section 6.6](#)), and
   b) Met or surpassed the standard or programme-defined interim qualification learning outcomes for a Bachelors with Honours.

Standard Bachelors with Honours Interim Qualification Learning Outcomes

2. In order to be awarded a Bachelors with Honours a student should be able to demonstrate:
   - a systematic understanding of key aspects of their field of study, including the acquisition of coherent and detailed knowledge, at least some of which is at, or informed by, the forefront of the field
   - an ability to deploy accurately established techniques of analysis and enquiry within the field of study
   - a conceptual understanding that enables the student:
     o to devise and sustain arguments, and/ or to solve problems, using ideas and techniques, some of which are at the forefront of the field of study
     o to describe and comment upon particular aspects of current research or equivalent advanced scholarship in the field of study
   - an appreciation of the uncertainty, ambiguity and limits of knowledge
   - an ability to manage their own learning
   - an ability to make use of scholarly reviews and primary sources (for example, refereed research articles and/ or original materials appropriate to the field of study).

3. These are the standard UCL Bachelors with Honours interim qualification learning outcomes; programmes may develop their own learning outcomes over and above these requirements **subject to approval by UCL Education Committee or its nominee**.

Classification

4. Students are eligible for an Honours Classification if they meet the relevant criteria.

10.8 Honours Degree without a Study Abroad or Placement Year

Award Criteria

1. A student who is unable to meet the requirements of a Study Abroad Year or Placement Year must be transferred to an equivalent degree with no Study Abroad or Placement requirement.

Classification

2. Students are eligible for an Honours Classification if they meet the relevant criteria.

10.9 Grad Cert Interim Qualification

Award Criteria

1. A student who is unable to meet the minimum requirements for a **Graduate Diploma** may be awarded a Graduate Certificate (Grad Cert) if they have:
    a) Passed, or been formally condoned in, 60 credits with at least 45 at level 6 or above, no more than 15 at level 5, and no credits below level 5, and
    b) Met or surpassed the standard or programme-defined interim qualification learning outcomes for a Grad Cert.

Standard Grad Cert Learning Outcomes

2. In order to be awarded a Grad Cert a student should be able to demonstrate:
    *   a systematic understanding of key aspects of their field of study, including the acquisition of coherent and detailed knowledge, at least some of which is at, or informed by, the forefront of the field
    *   an ability to deploy accurately established techniques of analysis and enquiry within the field of study
    *   a conceptual understanding that enables the student:
        o   to devise and sustain arguments, and/ or to solve problems, using ideas and techniques, some of which are at the forefront of the field of study
        o   to describe and comment upon particular aspects of current research, or equivalent advanced scholarship, in the field of study
    *   an appreciation of the uncertainty, ambiguity and limits of knowledge
    *   an ability to manage their own learning
    *   an ability to make use of scholarly reviews and primary sources (for example, refereed research articles and/ or original materials appropriate to the field of study).
3. These are the standard UCL Grad Cert interim qualification learning outcomes; programmes may develop their own learning outcomes over and above these requirements **subject to approval by UCL Education Committee or its nominee.**

Classification

4. Where the Grad Cert is an Advertised Outcome from a Grad Dip, students are eligible for a Merit or Distinction Classification if they meet the relevant criteria.
5. Where the Grad Cert is not an Advertised Outcome from a Grad Dip, students are not eligible for a Classification.

10.10 PG Cert Interim Qualification

Award Criteria

1. A student who is unable to meet the minimum requirements for a **Masters Degree** or a **Postgraduate Diploma** may be awarded a Postgraduate Certificate (PG Cert) if they have:
    a) Passed, or been formally condoned in, 60 credits with at least 45 at level 7 or above, no more than 15 at level 6, and no credits below level 6, and
    b) Met or surpassed the standard or programme-defined interim qualification learning outcomes for a PG Cert.
2. Credits from a Masters Dissertation/ Research Project may be used towards a PG Cert if the Board of Examiners is satisfied that the student has met or surpassed the standard or programme-defined PG Cert interim qualification learning outcomes.

Standard PG Cert Learning Outcomes

3. In order to be awarded a PG Cert a student should be able to demonstrate:
    *   an understanding of knowledge, and an awareness of current problems and/ or new insights, in their field

- an understanding of techniques applicable to their own research or scholarship
- some originality in the application of knowledge
- a practical understanding of how established techniques of enquiry are used to create and interpret knowledge in the field
- a conceptual understanding that enables the student to evaluate current research and scholarship in the field.

4. These are the standard UCL PG Cert interim qualification learning outcomes; programmes may develop their own learning outcomes over and above these requirements **subject to approval by UCL Education Committee or its nominee**.

Classification

5. Where the PG Cert is an Advertised Outcome from a Masters or PG Dip, students are eligible for a Merit or Distinction Classification if they meet the relevant criteria.
6. Where the PG Cert is not an Advertised Outcome from a Masters or PG Dip, students are not eligible for a Classification.

10.11 PG Dip Interim Qualification

Award Criteria

1. A student who is unable to meet the minimum requirements for a **Masters Degree** may be awarded a Postgraduate Diploma (PG Dip) if they have:
   a) Passed, or been formally condoned in, 120 credits with at least 90 at level 7 or above, no more than 30 at level 6, and no credits below level 6, and
   b) Met or surpassed the standard or programme-defined interim qualification outcomes for a PG Dip.
2. Credits from a Masters Dissertation/ Research Project may be used towards a PG Dip if the Board of Examiners is satisfied that the student has met or surpassed the standard or programme-defined PG Dip interim qualification learning outcomes.

Standard PG Dip Learning Outcomes

3. In order to be awarded a PG Dip a student should be able to demonstrate:
   - an understanding of knowledge, and a critical awareness of current problems and/ or new insights, in their field
   - an understanding of techniques applicable to their own research or scholarship
   - some originality in the application of knowledge
   - a practical understanding of how established techniques of enquiry are used to create and interpret knowledge in the field
   - a conceptual understanding that enables the student to evaluate current research and scholarship in the field.
4. These are the standard UCL PG Dip interim qualification learning outcomes; programmes may develop their own learning outcomes over and above these requirements subject to approval by UCL Education Committee or its nominee.

Classification

5. Where the PG Dip is an Advertised Outcome from a Masters, students are eligible for a Merit or Distinction Classification if they meet the relevant criteria.
6. Where the PG Dip is not an Advertised Outcome from a Masters, students are not eligible for a Classification.

10.12 Aegrotat Degree

1. Exceptionally, where the Board of Examiners does not have sufficient evidence of the student's achievement to award a full or interim qualification, and there are good reasons why

reassessment is difficult or impossible, the Vice-Provost (Education & Student Experience) may recommend the award of an Aegrotat Degree. Applications must be made to UCL Academic Services via the Faculty Tutor.

2. The candidate may refuse such an award and exercise the right to be reassessed.
3. An Aegrotat Degree does not include a Classification.

Special and Aegrotat Provisions

4. Honours Degree students who first enrolled on or before September 2015 are also eligible for the former Special and Aegrotat Provisions. See the UCL Academic Manual Archive 2015-16 for further details.

11 Boards of Examiners

The Boards of Examiners regulations define the terms of reference, constitution, membership and remit of the Board of Examiners and the Faculty Board of Examiners.

11.1 Overarching Principles

Principle 37: Every UCL taught programme must have a Board of Examiners with a Chair, Deputy Chair and at least one Internal Examiner and one External Examiner for each of the main subject areas covered.

Principle 38: The Board of Examiners is responsible for determining a student's progression through the programme and for making recommendations for the award of degrees to the Education Committee of UCL.

Principle 39: Every Faculty must have a Faculty Board of Examiners which is responsible for the oversight of assessment in the Faculty and to which Boards of Examiners report.

11.2 Types of Board

1. **Board of Examiners** - The Board of Examiners is the primary decision-making body for student progression, award and classification decisions. Subject to approval by UCL Education Committee or its nominee, the Board of Examiners may be set up in a number of different ways to reflect local organisational needs e.g. a Board may be responsible for one programme, a group of programmes or sometimes a group of modules.
    a) **Full Board of Examiners** - This refers to the annual meeting of the Board of Examiners with all members in attendance (subject to quoracy provisions), including the External Examiner(s).
    b) **Sub Board of Examiners** - The Full Board may delegate authority to a smaller Sub Board of itself to make decisions on its behalf for out-of-cycle matters such as Late Summer Assessments.
        i. Some Programmes hold '**Interim Boards**' to discuss results received so far, often at the end of the taught modules on a Masters programme. Interim Boards are a type of Sub Board and fall under the same requirements regarding membership, quoracy and candidate anonymity.
    c) **Preparatory Meetings** – These are not mandatory, but can be used in different ways to prepare for the Board of Examiners meeting and ensure that it runs smoothly, for example to look at complex reassessment or deferral arrangements. Preparatory Meetings will usually have a limited membership, and care must be taken to maintain candidate anonymity wherever possible.
2. **Faculty Board of Examiners** - The Faculty Board of Examiners is responsible for ensuring that the various Boards of Examiners within the Faculty operate in accordance with the UCL Academic Manual and in a proper and impartial manner.
    a) **Faculty Representatives** are members of staff appointed by the Faculty who attend Boards of Examiners to assist in this function.
3. **UCL Education Committee** - The central committee has overarching responsibility for the award of taught UCL degrees and for the academic regulations, policies and guidance which underpin that process. It is assisted in this task by the Quality Review Sub Committee and the Academic Regulations and Quality Assurance Sub Committee.
4. Further information on the different types of boards and preparatory meetings can be found on the Exam Board Support webpages (UCL staff login required).

11.3 Boards of Examiners

11.3.1 Terms of Reference

1. There must be a Board of Examiners responsible for every taught programme.
2. A 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.
    a) Individual modules must be assigned to one Board of Examiners, and cannot be reviewed by multiple Boards.
    b) Multiple External Examiners from the same Board of Examiners may review the same module, if required.
3. The Board of Examiners will report to the Faculty Board of Examiners. In the case of Combined Studies or multidisciplinary programmes the Board of Examiners should report to the Faculty Board of Examiners for the Faculty in which the programme is registered.
4. The Board of Examiners will make recommendations to UCL Education Committee, which has the authority to confer UCL qualifications.
5. In carrying out its responsibilities the Full Board of Examiners must meet at least once a year.
6. The Full Board of Examiners may delegate authority for out-of-cycle matters to the Chair (see Section 11.6.3) or to a Sub Board of itself (see Section 11.3.9), to implement decisions on its behalf.
7. The Board of Examiners has the following responsibilities:
    a) To set, safeguard and monitor the academic standards of the programmes and/ or modules under its remit.
    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 Progression, Award and Classification decisions.
    f) To formally recommend students for the award of a qualification to UCL Student Records on behalf of Education Committee.
    g) To agree actions in the event of failure including condonement, reassessment and deferral 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 UCL Academic Manual has been rigorously and consistently applied.
    j) To ensure that departments respond to issues raised by the External Examiner(s) via the online form in Portico.
    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 UCL Education Committee.

11.3.2 Constitution and Membership

1. Each 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.

11.3.3 Quoracy

1. The minimum number of examiners permissible at a **Full Board of Examiners** is five members, which must include the Chair or Deputy Chair, and at least one Internal Examiner and one External Examiner for each main subject area covered.
2. The minimum number of examiners permissible at a **Sub Board of Examiners** is two, which must include the Chair or Deputy Chair and at least one Internal Examiner for each main subject area covered. See Section 11.3.9: Delegation of Authority to a Sub Board for further details.

11.3.4 Candidate Anonymity

1. All marks, Progression decisions and Awards considered by a Full Board of Examiners, Sub Board of Examiners or Faculty Board of Examiners must be considered on an anonymous basis.

11.3.5 Confidentiality

1. All Full Board, Sub Board 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 Board of Examiners.
    c) To comply with the Protocols for the Release of Provisional Results in Annex 4.3.5.
    d) To comply with the General Data Protection Regulation (GDPR) in accordance with the instructions of Student & Registry Services and UCL's GDPR Data Protection Policy.

11.3.6 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 Board of Examiners.
2. External Examiners who have any current teaching or other collaborative activity with the staff or students examined by a Board of Examiners must not be appointed (see Chapter 9, 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 Board of Examiners meeting.
5. Examiners must declare any interest in the future research supervision of a student at the start of the meeting, but such an interest will not prevent the examiner from considering students' results.

11.3.7 Information for Boards of Examiners

1. 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 individual programme regulations (which can be downloaded from the Portico Progression and Award Rules Tool)
    d) Information on absences from examinations (available from UCL Examinations)
    e) Examination scripts, according to normal practices
    f) Chapter 4 of the UCL Academic Manual and any other relevant annexes or regulations.

11.3.8 Online Meetings

1. All Boards of Examiners should meet online but may meet face to face where there is an academic need to do so.
2. Online Full Board of Examiners should be held live by video-conferencing using MS Teams or Zoom.
3. Sub Boards, Extenuating Circumstances Panels, Academic Misconduct Panels, pre-meetings, parity meetings etc. can be held by video-conferencing or by correspondence via a UCL-supported platform.
4. All online meetings must take steps to assure the security of student information, using encryption and/ or secure platforms to share data in accordance with UCL's GDPR Data Protection Policy.
5. All decisions of the Board/ Panel must be confirmed in the minutes of the meeting. The minutes should be circulated to all members within one week of the meeting, with an invitation to raise any objections or amendments within a specified timeframe. Once the minutes are agreed, they will act as confirmation of the Board/ Panel's decisions.

11.3.9 Delegation of Authority to a Sub Board

1. The Full Board of Examiners may formally delegate authority to a Sub Board of itself to make decisions on its behalf on out-of-cycle matters such as Reassessments and Deferrals.
2. Where a Sub Board is needed the Board of Examiners, including the External Examiner(s), must formally delegate authority either at a meeting of the Board or by email.
3. The delegation of authority must be formally recorded in the Board of Examiners' minutes.
4. Sub Boards may meet virtually, by correspondence or in person, however Departments are expected to make use of the Virtual Boards of Examiners regulations wherever possible.
5. The External Examiner does not need to attend the Sub Board but should be copied into communications/ papers. The External Examiner retains the right to attend a Sub Board on request.
6. The Faculty Representative does not need to attend but should be copied into communications/ papers. The Faculty retains the right to observe any Sub Board.
7. The decisions and proceedings of all Sub Boards must be reported to the next Full Board of Examiners meeting via receipt of minutes. The Full Board of Examiners must ensure that proper scrutiny is given to the proceedings of any Sub Boards under its remit.
8. A template agenda and checklist for planning virtual Sub Boards can be found in Annex 4.4.2: Sub Board Prep Checklists and Annex 4.4.4: Sub Board Agenda Template.

11.4 Faculty Boards of Examiners

11.4.1 Terms of Reference

1. Each Faculty will have a Faculty Board of Examiners for undergraduate and/ or taught postgraduate programmes.
2. The Faculty Board of Examiners will report to the UCL Quality Review Sub Committee of Education Committee.
3. In carrying out its responsibilities the Faculty Boards of Examiners must meet at least once a year.
4. The Faculty Board of Examiners has the following responsibilities:
   a) To ensure that assessment procedures within the Faculty are administered in accordance with the UCL Academic Manual and in a proper and impartial manner.
   b) To ensure that every qualification awarded within the Faculty has been overseen and approved by a Board of Examiners with appropriate input from External Examiners.
   c) To ensure that appropriate arrangements are in place for the examination of programmes shared with other Faculties.
   d) For each Board of Examiners under its responsibility:
      i. To approve the appointment of new Internal and Assistant Internal Examiners.

ii. To recommend to UCL Education Committee or its nominee the External Examiners for each Board through the Nomination and Appointment process via examiners@ucl.ac.uk.
iii. To receive the Minutes of each meeting at which recommendations for final Awards are made.
e) To receive and consider the responses of Chairs of Boards of Examiners to External Examiner reports.
f) To receive reports from each Board of Examiners on any problems relating to the operation of Boards and any action taken in response.
g) To investigate and respond to any reports of Material Irregularity regarding the programmes under its authority (see Chapter 6, Section 6: Material Irregularity Procedure).
h) To receive any issues raised by Boards of Examiners for consideration at Faculty level.
i) To report annually (via its Minutes) to the UCL Quality Review Sub Committee of Education Committee and highlight any matters for consideration at institutional level.
5. In the case of single Department/Division Faculties where there is a single Board of Examiners, the Faculty Board of Examiners and the Board of Examiners may be one and the same and will report to the UCL Quality Review Sub Committee (QRSC) of Education Committee.

11.4.2 Constitution and Membership

1. The Chair of the Faculty Board of Examiners should be the Dean, or their nominee.
2. The Faculty Board of Examiners should include:
   a) The Chair
   b) A Deputy Chair
   c) The Faculty Tutor/Sub-Dean
   d) The Chairs of Boards of Examiners responsible for programmes/ modules in the Faculty.
3. Internal and External Examiners appointed to Boards of Examiners may attend meetings of the relevant Faculty Board of Examiners and have the right to speak but not to vote at such meetings.
4. The Chair may request that Internal and External Examiners withdraw temporarily if their appointments as examiners are the subject of discussion.

11.4.3 Quoracy

1. The quorum of a Faculty Board of Examiners will be one-fifth of the membership including the Chair or Deputy Chair.

11.5 Special Case Panels

11.5.1 Terms of Reference

1. The purpose of a Special Case Panel (SCP) is to consider academic assessment decisions on a case-by-case basis only when the following circumstances occur:
   a) 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
   b) When there is an unresolved dispute between a Board of Examiners and Faculty Board of Examiners or between a Faculty Board of Examiners and UCL Education Committee regarding an academic assessment decision.
2. The Special Case Panel reports to UCL Education Committee.

11.5.2 Constitution and Membership

1. The panel should include:
   a) The Chair of Education Committee
   b) Three Chairs of Faculty Boards of Examiners, or their nominees
2. The secretary to the panel should be the Director of Education Services or Director of Student Operations as appropriate or their nominee. The secretary is responsible for recording and enacting the deliberations and recommendations of the Special Case Panel.

3. The representative of the Faculty involved may attend a Special Case Panel to provide information but must not be a member of the SCP and must not vote.
4. Special Case Panels may meet in person or be convened virtually.

11.5.3 Panel Recommendations

1. 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.
2. The outcome will be recorded formally as UCL's academic assessment decision.
3. Any affected student records will be changed with the authority of UCL Education Committee.

11.6   Chairs and Deputy Chairs

11.6.1 Conditions of Appointment

1. Each Board of Examiners must have a Chair and a Deputy Chair.
2. Chairs and Deputy Chairs must be members of UCL academic staff 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 or Deputy Chair.

11.6.2 Nomination and Appointment

1. New Chairs and Deputy Chairs must be nominated by the Chair or out-going Chair.
2. All Chairs and Deputy Chairs must be endorsed by the Head of Department/Division and approved by the Chair of UCL Quality Review Sub Committee or their nominee.
3. Chairs and Deputy Chairs should serve on the same Board of Examiners for a minimum period of three calendar years. Appointments should continue until the reporting cycle for that year is complete (i.e. all External Examiners' reports have been received and responded to via Portico).
4. The outgoing Chair must notify examiners@ucl.ac.uk of any change by returning the Change of Chair Form (see Annex 4.3.1) at the earliest opportunity.
5. In Combined Studies, the Chair should be from the Department/Division responsible for the programme and the Deputy Chair should be from one of the contributing Departments/Divisions.
6. Chairs and Deputy Chairs must declare, at the time of appointment or reappointment, or during the course of appointment, any personal or professional interest in, or connection with, any student being considered by the Board to which they are appointed.

11.6.3 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 or UCL Quality Review Sub Committee (QRSC).
2. Chairs have a casting vote in addition to their own vote at any meeting of the Board of Examiners.
3. Chairs are entitled to attend and speak, but not to vote, at meetings of QRSC at which issues related to their Board of Examiners are discussed.

11.6.4 Responsibilities

1. The Chair or Deputy Chair is responsible for the following tasks, which may be delegated to Internal Examiners or professional staff where appropriate:
   a) To ensure that the Board carries out its responsibilities in a proper and impartial manner and in accordance with UCL regulations.
   b) To ensure that all the responsibilities of the Board are met, and that the Board is properly constituted.

c) To ensure that dates of Board meetings and, where applicable, pre-meetings, are agreed and communicated to members, and to the External Examiner(s) and the Faculty Representative in particular, well in advance.
d) To ensure that Internal and Assistant Internal Examiners are properly inducted and briefed about the responsibilities expected of them and about the programme(s) which they are appointed to examine.
e) To ensure that newly appointed External Examiners, and particularly those with limited or no previous experience as an External Examiner, are fully inducted into UCL's assessment regulations and procedures.
f) To ensure External Examiners' eligibility to work in the UK is verified as part of the Nomination stage on Portico (see Chapter 9, Section 4: External Examining).
g) To ensure that External Examiners approve all summative assessment tasks, and confirm that these are correct and at an appropriate level for the programme concerned.
h) To consider any comments or advice provided by External Examiners with regards to the approval of summative assessment tasks and respond as required.
i) To provide new and continuing External Examiners with the information listed in Chapter 9, Section 4.2: External Examining – Responsibilities of UCL, at the start of each academic session.
j) To ensure that the secrecy of examination papers is maintained.
k) To ensure that all assessments which count towards the final award have been marked in accordance with Section 4: Marking & Moderation.
l) To set a timescale by which marking, second-marking, moderation and external scrutiny must be completed.
m) To determine the distribution of modules between External Examiners.
n) To ensure that the feedback loop is followed after receipt of an External Examiner's Annual Report (see Chapter 9, Section 4: External Examining).
o) To be responsible for all communications between the Board and UCL, including resolving matters raised by External Examiners in their reports and dealing with any appeals by students against examination results.
p) To follow the procedures outlined in:
    i.   Annex 4.3.5: Protocols for the Release of Provisional Results
    ii.   Annex 4.3.6: Covid 19 Boards of Examiners Emergency Procedures
q) To attend, as a full member, the Faculty Board of Examiners.
r) To report annually to the Faculty Board of Examiners (via its minutes) on the assessment process.

11.7   Faculty Representatives

1. A Board of Examiners must include, as a non-voting member, the Faculty Tutor/ Sub-Dean or their nominee.
2. The Faculty Representative should be a member of UCL academic or professional staff without responsibility for teaching the programme(s) concerned.
3. The role of the non-voting Faculty Representative is to ensure that UCL regulations and procedures are followed and to advise on all matters to do with regulations and procedures.
4. If the Faculty Representative cannot be present, they should be consulted on all points where there is uncertainty as to the interpretation of regulations or the correct procedure to be followed.
5. For further information see Annex 4.3.3 Guidelines on the Role of the Faculty Representative.

11.8   Internal Examiners

11.8.1 Conditions of Appointment

1. All members of academic and teaching staff involved in setting and/or marking summative assessment on a programme or module(s) should be appointed as Internal Examiners for the Board of Examiners responsible for the programme or module(s).
    a) An Internal Examiner should be a UCL member of academic or teaching staff.

b) Members of UCL research staff with appropriate experience who are involved regularly in teaching on the programme or module(s) concerned in the current academic session may be appointed as Internal Examiners. Training on UCL assessment policies and procedures must be provided by the Department.

c) Exceptionally, and **subject to Faculty policy**, suitably experienced individuals who do not qualify under paragraphs a) or b) above (e.g. members of NHS staff, visiting or honorary staff, or external lecturers) may be appointed as Internal Examiners if they are involved regularly in teaching on the programme or module(s) concerned in the current academic session. Training on UCL assessment policies and procedures must be provided by the Department.

d) Exceptionally, and **subject to Faculty policy**, appointments under paragraphs b) and c) may be considered if the examiner is not involved in teaching this academic session, but has been involved in teaching on the programme/ modules within the preceding three academic years. When considering appointments, the Faculty Board of Examiners must be assured that the examiner is suitably experienced and qualified to assess students. The Faculty Board of Examiners may place appropriate restrictions on the marking carried out by such examiners, for example by limiting their role to second-marking or sampling, if that would help to assure standards.

2. It is not necessary for every Internal Examiner to attend every meeting of the Board of Examiners, provided that the requirements for minimum attendance are met.

11.8.2 Appointment

1. All new Internal and Assistant Internal Examiner appointments must be approved by the Chair of the Board of Examiners and the Chair of the Faculty Board of Examiners.

2. Each year, the Chair of the Board of Examiners must confirm the full list of Internal and Assistant Internal Examiners and report this to the Full Board of Examiners meeting.

11.8.3 Entitlements

1. Internal Examiners 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 entitled to attend meetings of UCL Quality Review Sub Committee except by invitation and will be entitled to speak, but not to vote, at such meetings.

11.8.4 Responsibilities

1. The Internal Examiners have the following responsibilities:
   a) To ensure that the assessment procedures for which they are responsible have been carried out in a proper and impartial manner.
   b) To conduct assessment in accordance with the approved regulations.
   c) To prepare, with at least one other Internal or Assistant Internal Examiner, all examination papers and assessment tasks in accordance with the instructions prescribed by UCL.
   d) To refer examination papers and other summative assessment tasks to the appropriate External Examiner for approval.
   e) To mark student assessments and ensure that all modules are subject to some form of second-marking according to the regulations in Section 4: Marking and Moderation.
   f) To ensure that the decisions which they commend to the Board of Examiners are arrived at in a proper and impartial manner.
   g) To ensure that any recommendations of External Examiners relating to their part of the assessment/programme - and agreed by the Board as requiring action - are carried out.

11.9 Assistant Internal Examiners

11.9.1 Conditions of Appointment

1. Assistant Internal Examiners are not members of the Board of Examiners, but may attend meetings of the Board by invitation.

2. Assistant Internal Examiners must be suitably-qualified postgraduate teaching assistants, or individuals who contribute to the teaching of the programme but are not eligible for appointment as Internal Examiners under Section 11.8.
3. A newly appointed Assistant Internal Examiner must receive appropriate training and induction.

11.9.2 Students as Assistant Internal Examiners

1. An Assistant Internal Examiner must not be appointed if they are registered as a student on the programme or modules under the responsibility of the Board.
2. Undergraduate and Taught Postgraduate students must not be appointed as Assistant Internal Examiners.

11.9.3 Appointment

1. Assistant Internal Examiners must be appointed by the Chair of the Board of Examiners following the same procedures required for the appointment of Internal Examiners (see Section 11.8 above).

11.9.4 Responsibilities

1. Assistant Internal Examiners may be required to assist in one or more of the following:
   a) To contribute to, but not set, summative assessment tasks
   b) To act as a first or second marker
   c) To attend practical examinations.
2. Where an Assistant Internal Examiner acts as a first marker the second marker must be a suitably qualified Internal Examiner, according to the criteria in Section 11.8.1.

12   Award of Degrees

The degree awarding regulations cover the publication of results, the conferment of UCL qualifications and the issuing of transcripts and certificates.

12.1   Overarching Principles

Principle 41:   Education Committee, on behalf of Academic Committee, is authorised to award UCL taught degrees.

12.2   Authority to Award a UCL Taught Degree

1.   The Board of Examiners is responsible for recommending a student for a taught degree to UCL Education Committee for formal approval.
2.   UCL Student Records is responsible for the scrutiny and confirmation of qualifications under authority delegated from UCL Education Committee to make decisions on its behalf.

12.3   Date of a Degree Award

1.   The date of the award will be the 15 July or the first day of the month after UCL Education Committee has confirmed the award.

12.4   Field of Study

1.   The field of study on the degree certificate should match the title of the degree programme on which the student is registered.
2.   The Board of Examiners may recommend a qualification with an alternate field of study under the regulations in Section 10.3.

12.5   Publication of Results

Formal Publication of Degree Outcomes

1.   Students will be informed by email of the date when their formal results will be published on the student records database, Portico.
2.   The proceedings of the Board of Examiners, and the final degree outcomes, should not be communicated to students ahead of the formal publication of results by UCL Student Records.
3.   Exceptionally, the Chair of the Board of Examiners may permit the disclosure of results before the formal publication date if the results are needed for an application for, e.g. Research Council Funding.

Release of Provisional Marks

4.   Boards of Examiners are permitted to release unconfirmed provisional component and module marks to students, prior to the formal publication of degree outcomes by UCL.
5.   In the case of coursework, markers are permitted to release unconfirmed provisional marks and feedback to students, prior to formal consideration by the Board of Examiners.
6.   Any marks released before confirmation by the relevant Board of Examiners are provisional and therefore subject to change.
7.   To comply with the General Data Protection Regulation (GDPR) tutors must ensure that, when returning work, marks and comments remain private to the student concerned unless, in the case of tutorials etc., it is agreed by the students present that such data can be disclosed.
8.   For further guidance see Annex 4.3.5: Protocols for the Release of Provisional Results.

Retention of Assessed Student Work

9. UCL's policy on the retention of records is laid out in its Records Retention Schedule. Section 1.2 of the schedule addresses assessed student work, which is kept for one year after the Board of Examiners has met.
10. More information and guidance on records management can be found on the Records Office web pages. The Records Office can be contacted by email: records.office@ucl.ac.uk.

Release of Examination Scripts

11. Examination scripts will not routinely be returned to students.
12. To comply with the General Data Protection Regulation (GDPR), students may request to see comments on examination scripts in a legible form, although the original scripts themselves do not have to be made available. Any queries should be made to UCL Legal Services.

12.6   Certificates and Transcripts

Degree Certificates

1. A degree certificate will be sent to each successful student awarded a UCL degree.
2. Further information is available from UCL Degree Certificates.

Transcripts

3. All graduating students will be sent an official transcript, detailing their marks and award.
4. Students may request additional copies of their transcripts from UCL Student Records via askUCL, for which a fee will be charged.
5. Further information is available from UCL Student Transcripts.

Higher Education Achievement Report (HEAR)

6. Honours Degree students first enrolled from September 2011 onwards will receive a Higher Education Achievement Report (HEAR).

Affiliate Student Transcripts and Certificates

7. Affiliate students are entitled to receive a transcript of their achievement produced by UCL.
8. Requests for any other certification, such as certification of UCL module credits/ ECTS for affiliate students, must be submitted to UCL Student Records via askUCL.

12.7   Academic Robes

1. All UCL graduands must wear academic robes, obtained from the appropriate UCL supplier, to the graduation ceremonies.

12.8   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.

12.9 Revocation of Degrees

1. UCL may revoke any degree if any of the following circumstances are discovered and proved to the satisfaction of UCL at any time:
   a) There was an administrative error in the award made under the procedures required by UCL, including an error in calculating 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 Classification should be altered.
   c) The award has been cancelled owing to Student Academic Misconduct.

12.10 Requesting a Review of a Board of Examiners' Decision

1. Students cannot contest the decision of a Board of Examiners on academic grounds, such as disagreeing with the academic judgement exercised in awarding marks or determining on outcome.
2. Students can only contest the decision of a Board of Examiners on the specific grounds and within the timeframes set out in the Academic Appeals Procedure.

Student Regulations for Exams and Assessments 2022-23

1 Types of assessment

1. The following definitions are used in these regulations:

Online Controlled Condition Exams	Online exams which replicate, as far as possible, the strictly timed controlled conditions in an in-person exam hall. The exam duration accurately reflects the amount of time which a student should spend on the assessment.
In-person Controlled Condition Exams	Time-limited, invigilated, in-person exams at a UCL examination venue.
Take-Home Papers	Open-book assignments with durations of 24 hours to 7 days. Students are expected to work on the assignment for a maximum of eight hours in any 24-hour period, before any SoRA or EC adjustments are applied.
Quizzes & In-class tests	Short tests and quizzes, which may be delivered in-person or via online platforms such as Moodle Quizzes, and which are typically worth no more than 10% of a module.
Practical Exams	Practical assessments with a short, fixed duration such as presentations, group presentations, vivas, clinical exams, OSCEs, lab tests etc.
Dissertations/ Research Projects	Extended, in-depth coursework assignments involving research and independent study.
Coursework and other assessments	Assignments where students are typically given a few weeks to complete the assessment. Includes essays, reports, portfolios, artefacts, exhibitions etc. Where an assessment does not fit into one of the other categories, it nominally falls under the 'coursework' regulations.

2 Central and departmental assessments

1. Your assessment may take place via a digital assessment platform or at an in-person examination venue.
2. UCL's main digital assessment platform is AssessmentUCL. Assessments may also take place in an alternative platform such as Moodle, Moodle Quizzes or Crowdmark.
3. UCL's Central Assessment Team manages the following types of assessment:

   a) Online Controlled Condition Exams which are scheduled in the Central Assessment Timetable and taken via the AssessmentUCL platform.
   b) In-Person Controlled Condition Exams which are scheduled in the Central Assessment Timetable and taken at an examination venue managed by the UCL Central Assessment Team.

4. Departments manage the following types of assessment:

   a) Online Controlled Condition Exams which are not scheduled in the Central Assessment Timetable and which may be taken via AssessmentUCL or another digital platform.
   b) In-Person Controlled Condition Exams which are not scheduled in the Central Assessment Timetable and which take place in a departmentally-managed examination venue.
   c) All Take-Home Papers.
   d) All Quizzes & In-class tests.
   e) All Practical Exams.
   f) All Dissertations/ Research Projects.
   g) All Coursework and other assessments.

5. Departments running their own assessments must follow these regulations.
6. Where Departments use a different digital platform to AssessmentUCL, the Department is responsible for making equivalent and robust arrangements for timetabling, assessment preparation

and readiness for students, submissions and Technical Failures. The Department is also responsible for providing you with clear information about these local arrangements.

Intercollegiate assessments

7. These regulations apply if you are a student from another institution who is taking assessments at UCL.
8. If you are a UCL student taking assessments at another institution, you will be subject to that institution's regulations for those assessments.

3   Preparing for your assessments

3.1   Module verification

1. You must ensure that you are registered on the correct modules, otherwise you will not be able to access your assessments. Your module registrations are viewable in Portico under 'My Studies'.
2. You must verify your modules on Portico by the deadlines published by UCL Student Records each year.
3. Being registered on the wrong module will not be considered valid grounds for Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7).

3.2   Candidate numbers

1. Controlled Condition Exams, Take-Home Papers, Quizzes and In-Class Tests should be assessed by Candidate Number.
2. The Central Assessment Team will email you a new Candidate Number at the start of each academic year, and it is also viewable in Portico under 'My Studies'.

3.3   Assessment periods

1. UCL has two main Central Assessment Periods:

    ● The Main Summer Central Assessment Period in April/ May
    ● The Late Summer Central Assessment Period in August/ September

2. The exact dates are published by the Central Assessment Team each year. You are expected to be available to sit assessments during these periods.
3. All centrally-managed assessments take place during the Central Assessment Periods.
4. Departmentally-managed assessments may take place at any point in the year, including the Central Assessment Periods. The Department running the assessment is responsible for telling you the timetable and submission deadlines.

3.4   Assessment timetable

1. In order to protect the integrity of UCL's assessments, you must sit all assessments on the date and time scheduled in the timetable, and submit all work by the published deadlines.
2. You are responsible for ensuring that you are available to sit and submit all scheduled assessments.
3. The Central Assessment Timetable is published at the following points in the year:

    ● Main Summer Central Assessment Period: By week 8 of term 2
    ● Late Summer Central Assessment Period: By the end of July

4. Departments and non-UCL institutions who schedule their own assessments are responsible for notifying you of the local timetable. You must take careful note of any alternative arrangements that apply to you.
5. You must check your timetable carefully and notify the Central Assessment Team, or the Department managing the assessment, of any timetabling questions or issues at the earliest possible time.

6.   Mis-reading the timetable will not be considered valid grounds for Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7).

3.5 Venues

1.   You must sit in-person assessments at the venue designated in the timetable.
2.   Exceptionally, you may be permitted to sit an assessment at another UCL-approved, educational institution if:
     a. You are enrolled on a distance learning programme, or
     b. You are able to provide evidence that you cannot extend your Student Visa to take a Resit or Deferral in the Late Summer Assessment Period (or equivalent).
3.   The alternative venue must be approved by the UCL Central Assessment Team. The institution must be able to put in place appropriate and robust invigilation and examination procedures that will uphold the integrity of UCL's assessments.
4.   Applications to sit an assessment at another institution must be made to the UCL Central Assessment Team by the published deadlines.
5.   Where an application for an alternative venue is approved, a fee will be charged by UCL and by the host institution.
6.   It may not be possible to provide Exam Adjustments at alternative venues. Please speak to your Disability, Mental Health and Wellbeing Adviser about your SoRA options.

3.6 IT equipment and internet access

1.   You must sit digital assessments in the approved digital assessment platform. You must not submit your work via email or any other channel.
2.   You must ensure that you have a working computer or laptop with a good internet connection. UCL Libraries have a laptop loan scheme if you do not have your own equipment.
3.   You must ensure that you can sit the assessment in a quiet location where you will not be disturbed. UCL study spaces are available across campus.
4.   You must ensure that your UCL login details and password are up-to-date and not about to expire. Password expiry will not be considered valid grounds for Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7).

3.7 Practice assessments

Online assessments

1. If you are taking an assessment in AssessmentUCL, practice assessments are provided so that you can familiarise yourself with the platform.
2. Where Departments manage their own assessments in a different digital platform, they will provide measures to ensure that you will be prepared for your assessment, practice activity can take many forms and will not necessarily be a full practice exam.
3. You are strongly encouraged to make use of the practice assessment to avoid mistakes in a live assessment.
4. You will gain the most benefit from the practice assessment if you use the device and location that you intend to use for the live assessment.
5. Please note that the Central Assessment Team can see whether you have attempted a practice assessment and will take this into account when considering any claims for Technical Failure (Section 10.7).

In-person assessments

6. For In-Person Controlled Condition Exams your Department should provide guidance to help you prepare for exam hall conditions, they will provide measures to ensure that you will be prepared for your assessment, noting that practice activity can take many forms and will not necessarily be a full practice exam.

4 Reasonable Adjustments and Exam Adjustments

1. If you have a disability, medical condition or mental health condition, you may be eligible for additional support as part of your Summary of Reasonable Adjustments (SoRA).
2. Further details about the support available can be found in Chapter 2: Student Support Framework.
3. The Disability, Mental Health and Wellbeing team can talk you through the options and advise you on the support available for your particular circumstances, help you complete your application and advise you on gathering any documentary evidence that you might need.

Deadlines for Exam Adjustments

4. Exam Adjustments are a type of Reasonable Adjustment which apply to short-duration written assessments such as Online Controlled Condition Exams, In-Person Controlled Condition Exams, Take-Home Papers, Quizzes & In-Class Tests.
5. Please note: If you require Exam Adjustments in the Main Summer Assessment Period or the Late Summer Assessment Period, you must apply by the published deadlines so that the Central Assessment Team has time to set up your adjustments. The deadlines for each assessment period are published by the Disability, Mental Health and Wellbeing team each year. After the deadline UCL will not be able to make Exam Adjustments for In-Person Exams. However you may still be eligible for support via Extenuating Circumstances (Section 5).

5 Short-term illness and other Extenuating Circumstances

1. If you are ill or you experience something **sudden, unexpected, significantly disruptive and beyond your control** which will have a severe impact on your ability to sit or submit an assessment, you may be eligible for Extenuating Circumstances (often known as 'ECs').
2. Please refer to Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances for details on how to apply, including evidence requirements and the deadlines for applications.
3. EC claims submitted before the exam has started are eligible for Self-Certification.
4. Once the exam has started you will not be eligible for Self-Certification and your claim must be supported by a doctor's note or appropriate evidence.
5. You will not receive a response to an EC application during a live assessment.
6. Falsification of Extenuating Circumstances is an Academic Misconduct offence. This includes false Self-Certification claims and false evidence. If you make an EC claim which appears to be fraudulent, you will be investigated under UCL's Student Academic Misconduct Procedures.

Technical issues

7. If you experience technical issues please refer to Section 10.7: Technical Failures Policy. Technical problems **must not** be considered under the Extenuating Circumstances Procedure.

6 Durations and deadlines

6.1 Online Controlled Condition Exams

1. You must start the exam at the time indicated in the timetable.

Standard duration

2. The timetable will indicate the standard duration of your exam e.g. two or three hours.

Upload Window (for Online Controlled Condition Exams only)

3. **For Online Controlled Condition Exams only**, your exam will also have an additional, visible **Upload Window of 20 minutes** on top of the standard timetabled duration to complete all the necessary tasks and correct any minor mistakes that you might make. For example:

Standard Timetabled Duration	2 hours
Upload Window	20 minutes
Duration shown in AssessmentUCL	2 hours 20 minutes

4. **The Upload Window is not additional writing time**. You must use the full 20-minute Upload Window for uploading files, completing the Cover Sheet (if applicable) and correcting any minor mistakes such as uploading the wrong file or clicking the wrong button. **Do not assume that this will not happen to you**.

5. The amount of time required for uploading files will vary by assessment. For the majority of exams, 20 minutes will give you plenty of time to complete this activity. However, if your exam has particularly extensive upload requirements (e.g. you have to take and upload multiple large-format photos, or you have to convert hand-written answers into PDF) the Department setting the exam should add an additional collation time to the duration of the individual exam. **The collation time is not additional writing time.** You will also have the standard Upload Window applied to your individual duration. For example:

Equivalent In-Person Exam Duration	2 hours 30 minutes
Collation Time where applicable	10 minutes
Online Exam Duration	2 hours 40 minutes
Upload Window	20 minutes
Duration shown in AssessmentUCL	3 hours

Late Submissions (for Online Controlled Conditioned Exams Only)

6. In order to protect the integrity of UCL's Online Controlled Condition Exams any submissions that are up to 40 minutes late will be penalised. The late submission period will only allow submissions up to 40 minutes, after which no submissions will be accepted under any circumstances.

7. The following late submission penalties will apply unless you submit a valid claim for Technical Failures (Section 10):
   i. Up to 5 minutes late: A deduction of 5 percentage points (but no lower than the pass mark).
   ii. Up to 10 minutes late: A deduction of 10 percentage points (but no lower than the pass mark).
   iii. More than 10 minutes late but within the 40-minute late submission window: Work will be marked and capped at the pass mark.
   iv. More than 40 minutes late: Your work will not be accepted and will not be marked. A mark of 0 will be given.
   v. If you submit a Technical Failure claim for work that is submitted within the late submission window and your technical failure claim is approved your submission will not be penalised.
   vi. If you submit a Technical Failure Claim for work that is NOT submitted within the late submission window the only mitigation that can be provided is a Deferral to the next normal occasion.
   vii. The Late Submission window will not be visible to you but you will be able to submit your work.

Examples:

8. The examples below show the application of penalties to an Undergraduate programme using a 40% pass mark. Taught Postgraduate programmes have a pass mark of 50% and penalties will be applied as appropriate.

	Original Mark	Up to and including 5:00 minutes late	Between 5:01 and 10:00 minutes late	Between 10:01 and 40 minutes late	40:01 or more minutes late

No Technical Failure Approval	75	70	65	PASS	No work marked. 0% given
No Technical Failure Approval	49	44	PASS	PASS	No work marked. 0% given
Technical Failure Approval	75	75	75	75	Deferral to next normal occasion

SoRA extra time and/ or rest breaks

9. If you have SoRA extra time and/ or rest breaks your individual exam duration will be extended pro-rata (x minutes per hour, as indicated in your SoRA) and you will also have the 20-minute Upload Window added to your individual duration. For example:

Standard Timetabled Duration	2 hours
SoRA Extra Time/ Rest Breaks (example)	30 minutes
Upload Window	20 minutes
Duration shown in AssessmentUCL	2 hours 50 minutes

10. If you have a Controlled Conditioned Exam that requires additional collation time e.g. to convert handwritten notes into a PDF, SoRA extra time and/ or rest breaks will be applied pro-rata to both the standard timetabled duration and the additional collation time (x minutes per hour, as indicated in your SoRA). You will also have the 20-minute Upload Window added to your individual duration. For example:

Standard Timetabled Duration	2 hours
Additional Collation Time	10 minutes
SoRA Extra Time/ Rest Breaks (example)	33 minutes
Upload Window	20 minutes
Duration shown in AssessmentUCL	2 hours 53 minutes

Extenuating Circumstances

11. In order to protect the integrity of UCL's assessments, extra time and extensions on the grounds of Extenuating Circumstances are not possible in Online Controlled Condition Exams. However, you may be eligible for a suspension of the Late Submission penalties, a Deferral or another form of mitigation under the Extenuating Circumstances regulations (Section 5).

Late starts

12. If you start your exam late but within the timetabled duration, you will be allowed to sit the exam but will forfeit any time already elapsed. You will not be given extra time or be able to submit late.
13. If the late start is due to valid Extenuating Circumstances (Section 5), you may be eligible for a Deferral allowing you to sit the exam again at the next normal occasion and without penalty.

6.2 In-Person Controlled Condition Exams

1. The exam will start at the time indicated in the timetable.
2. You should arrive at the hall between 10 and 20 minutes before the start of the exam. Please see Section 9: Exam Hall Conditions for further information about arriving at the hall.

Standard duration

3. The timetable will indicate the standard duration of your exam.

a) Centrally-managed exams must be a minimum of two hours and a maximum of three hours duration.
b) Departmentally-managed exams may have a different duration.

SoRA extra time and/ or rest breaks

4. If you have SoRA extra time and/ or rest breaks your individual exam duration will be extended pro-rata (x minutes per hour, as indicated in your SoRA). For example:

Standard Timetabled Duration	2 hours
SoRA Extra Time/ Rest Breaks (example)	30 minutes
You individual exam duration	2 hours 30 minutes

5. If you have SoRA rest breaks you can take them at any point within your individual exam duration by alerting an invigilator.

Extenuating Circumstances

6. In order to protect the integrity of UCL's assessments, extra time and extensions on the grounds of Extenuating Circumstances are not possible for In-Person Controlled Condition Exams. However, you may be eligible for a Deferral or other form of mitigation under the Extenuating Circumstances regulations (Section 5).

Late starts

7. Please refer to Section 9: Exam Hall Conditions for further details on when you will be allowed to enter the exam hall. If you are permitted to enter late, you will be allowed to sit the exam but will forfeit any time already elapsed. You will not be given extra time or be able to submit late.

8. If the late start is due to valid Extenuating Circumstances (Section 5), you may be eligible for a Deferral allowing you to sit the exam again at the next normal occasion and without penalty.

6.3 Take-Home Papers

1. Your Department must notify you of the date and start time of your Take-Home Paper.
2. You are permitted to start your Take-Home Paper at any point in the timetabled duration but you must submit before the Take-Home Paper closes.

Standard duration

3. Your Department must notify you of the standard duration of your Take-Home Paper e.g. 24 hours, 48 hours, 72 hours or seven days.
4. **There is no additional 'Upload Window' for Take-Home Papers** because extra time is already built into the nature of the assessment.
5. Take-Home Papers are not exams. They are short assignments designed to replicate the types of real-world task that you might encounter after you graduate. You will be given a number of calendar days to complete your assignment but you are only expected to work on your paper for the equivalent of 'working days' i.e. six to eight hours in each 24-hour period.
6. It is essential that you set yourself a workplan which includes time for rest breaks, screen breaks, staying hydrated, exercising, getting some sleep and any other activities that are central to your wellbeing. **You must not work for excessive hours. This can be extremely detrimental to your physical and mental health and is unlikely to improve your final mark**.

SoRA extra time and/ or rest breaks

7. If you are eligible for SoRA extra time and/ or rest breaks these will be rolled into a single adjustment and your individual assessment duration will be extended as follows:

Standard Duration	Maximum Working Hours	Extra Time and/or Rest Breaks	Individual Assessment Duration
24 hours	8 hours	2 hours	26 hours

48 hours	16 hours	4 hours	52 hours
72 hours	24 hours	6 hours	78 hours
7 days	56 hours	14 hours	7 days and 14 hours

8.   The above adjustments are designed to support the majority of UCL students with additional needs, at a ratio of two hours per eight working hours (i.e. 15 minutes per working hour, in line with standard adjustments for Controlled Condition Exams). However if you have more complex needs which mean that the standard amount of extra time is not suitable, you can contact the <u>Disability, Mental Health and Wellbeing team</u> who can liaise with your Department about alternative arrangements as appropriate.

Extenuating Circumstances

9.   If you have been granted an extension via Extenuating Circumstances (<u>Section 5</u>), this will be based on a ratio of two hours per eight working hours (i.e. 15 minutes per working hour, in line with standard Reasonable Adjustments).

Standard Duration	Maximum Working Hours	EC Extension	Individual Assessment Duration
24 hours	8 hours	2 hours	26 hours
48 hours	16 hours	4 hours	52 hours
72 hours	24 hours	6 hours	78 hours
7 days	56 hours	14 hours	7 days and 14 hours

Alternatively, you may be eligible for a Deferral or other form of mitigation under the Extenuating Circumstances Regulations. Please refer to <u>Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances</u>.

Late starts

10.   If you start late you will forfeit any time already elapsed. You will not be given any extra time.

Late submission penalties

11.   It is possible to submit late on a Take-Home Paper. However late submissions will result in the following penalties unless you submit a valid claim for Extenuating Circumstances (<u>Section 5</u>):

Standard Duration	Late Submission Penalties
24 hours	Less than 1 hour late: Deduction of 10 percentage points, but no lower than the Pass Mark 1 to 2 hours late = Capped at the Pass Mark More than 2 hours late = Mark of 1.00%
48 hours	Less than 2 hours late: Deduction of 10 percentage points, but no lower than the Pass Mark 2 to 4 hours late: Capped at the Pass Mark More than 4 hours late: Mark of 1.00%
72 hours	Less than 3 hours late: Deduction of 10 percentage points, but no lower than the Pass Mark 3 to 6 hours late: Capped at the Pass Mark More than 6 hours late: Mark of 1.00%
7 days	Less than 7 hours late: Deduction of 10 percentage points, but no lower than the Pass Mark 7 to 14 hours late: Capped at the Pass Mark More than 14 hours late: Mark of 1.00%

12. The Late Submission window will close one week after the Take Home Paper closes. Late Submissions are not possible after this point.

6.4 Quizzes & In-Class Tests

1. Your Department must notify you of the date and start time of the quiz/ test.

Standard duration

2. Your Department must notify you of the standard duration of your quiz/ test e.g. one hour.
3. There is no additional Upload Window for online Quizzes and In-Class Tests as the assessment is taken within the digital platform itself.
4. If your quiz/ test requires document uploads, your Department must ensure that the quiz/ test duration allows for this.

SoRA extra time and/ or rest breaks

5. If you have SoRA extra time and/ or rest breaks your individual quiz/ test duration will be extended pro-rata by x minutes per hour, as indicated in your SoRA.
6. Please note that rest breaks are not usually available in Quizzes/ In-Class Tests of less than one hour's duration.

Extenuating Circumstances

7. In order to protect the integrity of UCL's assessments, extra time, extensions and late submissions on the grounds of Extenuating Circumstances are not possible in Quizzes/ In-Class Tests. However, you may be eligible for a Deferral or other form of mitigation under the Extenuating Circumstances regulations. Please refer to Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances.

Late starts

8. If you start your quiz/ test late but within the timetabled duration, you will be allowed to sit the quiz/ test but will forfeit any time already elapsed. You will not be given extra time or be able to submit late.
9. If the late start is due to valid Extenuating Circumstances (Section 5), you may be eligible for a Deferral allowing you to sit the quiz/test again at the next normal occasion and without penalty.

6.5 Practical Exams

1. These regulations apply to the Practical Exam itself. If you are required to submit artefacts or other documentation to support your Practical Exam, the regulations for Coursework (below) apply to that part of the assessment.

Start time

2. Your Department must notify you of the date and start time of your Practical Exam.

Standard duration

3. Your Department must notify you of the standard duration of your practical exam e.g. 15 minutes, one hour.

SoRA extra time and/ or rest breaks

4. If you have SoRA extra time and/ or rest breaks your individual practical exam will be extended pro-rata by x minutes per hour, as indicated in your SoRA.

Extenuating Circumstances

5. In order to protect the integrity of UCL's assessments, extra time and extensions on the grounds of Extenuating Circumstances are not possible in Practical Exams. However, you may be eligible for a Deferral or other form of mitigation under the Extenuating Circumstances procedures (Section 5).

Late starts

6. If you start your Practical Exam late but within the timetabled duration, you will be allowed to take the assessment but will forfeit any time already elapsed.
7. If the late start is due to valid Extenuating Circumstances, the examiners may use their discretion to allow you extra time in a live assessment. This may not always be possible, for example if it will have a negative impact on other students, or if access to laboratories and other specialist rooms and equipment is restricted. If a late start cannot be accommodated you will need to apply for Extenuating Circumstances (Section 5) to access a Deferral without Tuition to the next normal occasion.

6.6 Coursework, Dissertations/ Research Projects and other assessments

Submission deadline

1. Your Department must notify you of the standard submission deadline for your assessment.
2. There is no additional 'Upload Window' because extra time is already built into the nature of the assessment.

SoRA extensions

3. The standard SoRA extension for coursework is **one week**. The standard SoRA extension for Dissertations and Research Projects is **two weeks**. However, if you have more complex needs which mean that the standard amount of extra time is not suitable, the Disability, Mental Health and Wellbeing team may recommend alternative arrangements.
4. If you have SoRA extensions, your Department will automatically apply these to your submission due dates. You can choose whether to submit work by the original deadlines or the extended ones. We encourage you to consider your decision holistically, taking into account all deadlines you are working towards. Please refer to Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-term Conditions for further details.

Extenuating Circumstances extensions

5. If you are given an Extenuating Circumstances extension, your Department will apply this to your submission due date. However you may be eligible for a Deferral or other form of mitigation under the Extenuating Circumstances procedures. Please refer to Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances for further details.

Late submissions

6. Any late submissions will be subject to the regulations in Chapter 4, Part A, Section 3.12: Deadlines and Late Submissions.

7 Starting the assessment

7.1 Assessment instructions ("Rubric")

1. You must follow the instructions given to you, including:

   a) Which/ how many questions to answer
   b) Word counts or page counts
   c) Diagrams, tables and figures
   d) How to submit handwritten answers
   e) How to submit artefacts
   f) File format (the default is PDF unless otherwise specified)
   g) Upload requirements (if applicable)
   h) Presentation format
   i) Presentation duration
   j) Laboratory instructions

7.2 Queries about the question paper or instructions

1. If you have a query about the question paper, instructions or rubric, you should contact the assessment organisers, noting any assumptions you had to make to enable you to continue with the question.

   a) If your assessment is in AssessmentUCL, you should complete an AssessmentUCL Query Form.
   b) For In-Person Controlled Condition Exams you should alert an invigilator and complete an Exam Paper Query Form.
   c) If your assessment is in another digital assessment platform, your Department is responsible for letting you know how to submit an Exam Paper Query.

2. In all cases, your query will be passed to the markers for appropriate action.
3. Please note: You will not receive a response during your exam or assessment.

7.3 Anonymity

1. You must not include your name on your work. Anonymity is a core principle of the examination process which helps UCL ensure that all students are assessed fairly.

7.4 Illegible scripts

1. You must write clearly in English or the language specified for the assessment.
2. All work submitted for an assessment must be legible to the examiners. This means that all handwritten answers, typed answers, images, scans and any other documents that you submit must be clear and easy to read.
3. If the examiners are unable to read your work, they may refuse to mark your submission and award you a **mark of 0.00%/ Grade F for the assessment** (Section 12).

In-person assessments and handwritten online assessments

4. Where a script is illegible, you may be required to re-write or type out an exact copy of your answers under examination conditions in the Department.

7.5 Word count penalties

1. A minimum and/ or maximum word count may be specified as part of the assessment instructions or rubric. The instructions should tell you whether the word count includes footnotes, bibliographies, appendices, tables, figures etc.
2. Your Department may impose penalties for over- and/ or under-writing, such as a deduction in marks. Your Department is responsible for ensuring that you are aware of the local regulations.
3. UCL's regulations can be found in Chapter 4, Part A, Section 3.13: Word Counts.

8 Maintaining Academic Integrity

1. UCL requires high academic standards in order to maintain trust and confidence in our world-leading research and teaching, as well as the individuals who work and study here. UCL's Academic Integrity website explains how you can maintain the highest standards in your work.
2. By submitting your assessment, you are confirming that all the work is your own unless collaboration has been specifically authorised by the Module Convenor.
3. UCL reserves the right to run all assessment submissions through Turnitin®. This is a sophisticated detection system which scans work for evidence of copying and plagiarism against billions of sources worldwide including websites and journals, as well as work previously submitted to UCL and other universities.
4. UCL takes a zero-tolerance approach to contract cheating and any students found engaging with essay-writing or 'homework help' websites will be subject to the highest possible sanctions. **UCL will not consider exam stress or any other form of Extenuating Circumstances as mitigating**

factors for cheating. If you are experiencing difficulties you are expected to engage with UCL's Extenuating Circumstances (Section 5) procedures to apply for support to complete your assessment.

5. **All forms of Academic Misconduct are prohibited**. Academic Misconduct is defined as any action or attempted action that may result in a student obtaining an unfair academic advantage. Penalties for Academic Misconduct include, but are not limited to, a **mark of 0.00%/ Grade F** for the component or module concerned (Section 12) and, for the most serious offences, **exclusion from UCL**.

6. Online Assessment Offences include but are not limited to:

    i.   Any use of unauthorised material.
    ii. Any unauthorised communication or attempted communication with other students or third parties in relation to the assessment.
    iii. Discussion or sharing of assessment content with other students or third parties.
    iv. Unauthorised collaboration with other students or third parties.
    v.   Copying or attempting to copy from another student's work.
    vi. Any attempt to confer with or gain access to the script of any other candidate during the period of the assessment.

7. Examination Room Misconduct includes but is not limited to:

    a) The use or possession of unauthorised books, notes, software, electronic devices, paper, or other materials in an examination other than those permitted in Section 9: Exam Hall Conditions.
    b) The unauthorised marking or annotation of any materials authorised for use in an examination (such as the Candidate Card Printout), or writing notes on hands, or other parts of the body.
    c) Reading or writing before the start of the examination (with the exception of student information on the answer book front cover and examination envelope), or writing after the one minute allowance has passed.
    d) The unauthorised removal of an examination script or stationery in any state from the examination room except by a person with the designated authority.
    e) Any attempt to confer with or gain access to the script of any other candidate during the period of the examination.
    f) Any attempt to gain access to or tamper with examination envelopes, answer books, question papers or other examination stationery before or after submission.
    g) Removing oneself from the examination room during the period of an examination without permission from a member of staff.
    h) Causing a disturbance or disrupting the examination process.

8. Other applicable forms of Academic Misconduct include but are not limited to:

    a) Plagiarism: defined as the representation of other people's work or ideas as the student's own without appropriate referencing or acknowledgement.
    b) Self-Plagiarism: defined as the reproduction or resubmission of a student's own work which has been submitted for assessment at UCL or any other institution. This does not include earlier formative drafts of the particular assessment, or instances where the Department has explicitly permitted the re-use of formative assessments but does include all other formative work except where permitted.
    c) Collusion: defined as the unauthorised collaboration by two or more students on any assessment.
    d) Any attempt to gain access to the assessed coursework of any other candidate with or without the knowledge of the other candidate, unless authorisation to do so has been given by the module convenor.
    e) Falsification: defined as the fraudulent creation, alteration or misrepresentation of data, or any other information. This includes falsification of word count.
    f) Contract Cheating: defined as commissioning a piece of assessment to be carried out by a third party or knowingly using a commissioned piece of assessment.
    g) Falsification of Extenuating Circumstances.
    h) Any conduct that is likely to affect the security of assessments.
    i) Any attempt to tamper with coursework after submission.
    j) Impersonation (including attempted, solicited or attempts at soliciting impersonation) in any form of assessment.
    k) Any other conduct that would give an unfair academic advantage to a student.

9. UCL will investigate and penalise any conduct which is considered to breach UCL's assessment regulations under UCL's Student Academic Misconduct Procedures.

9 Exam Hall Conditions

9.1 Entry to the Exam Hall

1.   To enter the exam hall, you must present one of the following:

   a) UCL ID card
   b) Home college ID card (intercollegiate students)
   c) Passport
   d) Driving licence with photograph

2.   If you cannot produce an approved means of identification on the day, you must sign a declaration of identity form and a label will be included in the examination envelope to notify the examiner.
3.   You should arrive at the hall between 10 and 20 minutes before the start of the exam.
4.   You must observe any instructions given on the day by invigilation staff, examiners or other staff responsible for the conduct of exams.
5.   You must sit in your allocated seat. Seat numbers will be used to verify attendance and to ensure that marks are awarded to the correct candidate.
6.   You must not speak to other candidates once you have entered the hall.

9.2 What to bring to the exam hall

1.   You should leave all non-essential items at home as UCL cannot accept responsibility for the loss of property or guarantee its safety.
2.   Each exam desk will have a clear plastic wallet underneath where you are permitted to store small personal valuables such as wallets and travel cards.
3.   Bags, coats and all other items must be left at the back of the exam hall. Please follow the directions of the invigilation staff on the day.

Items permitted at your desk

4.   You are permitted to have the following items on your exam desk or about your person:

   a) ID card or other approved means of identification.
   b) Candidate number card.
   c) Question papers and examination stationery.
   d) Other materials approved by the Examiners/
   e) Calculators (approved models only – see below).
      o Casio FX83GT+
      o Casio FX83GTX
      o Casio FX83MS (battery operated)
      o Casio FX83ES (battery operated)
      o Casio FX83WA (battery operated)
      o Casio FX85GT+
      o Casio FX85GTX
      o Casio FX85MS (solar powered)
      o Casio FX85ES (solar powered)
      o Casio FX85WA (solar powered)
      o Casio FX85GTCW
   f) Mathematical instruments.
   g) Clear pencil cases containing pens, pencils (for MCQ examinations and diagrams only), highlighter pens, correction fluid/tape, erasers, and pencil sharpeners.
   h) Bottles of still (non-carbonated), non-alcoholic, cold drinks.

Items which are NOT permitted at your desk

5.   You must not have any of the following unauthorised items on your exam desk or about your person:

   a) Smartphones or electronic devices (other than approved calculators - see below).
   b) Print-outs of your exam timetable.
   c) Revision or course notes (except where approved by the Examiners).
   d) Books, statutes or dictionaries (except where approved by the Examiners – see below).

e) Paper for rough work.
f) Headphones, speakers or microphones (except on pre-approved medical grounds).
g) Opaque pencil cases.
h) Food or hot drinks (except on pre-approved medical grounds).
i) Alcoholic drinks or carbonated drinks.
j) E-cigarettes or vaping devices.
k) Hats or other headwear (unless worn on religious or pre-approved medical grounds.

6. If you require any of these items for medical reasons, please speak to your Student Support and Wellbeing Advisor when you discuss your Reasonable Adjustments (Section 4).

7. If you must bring unauthorised items with you on the day, they must be placed in your bag at the back of the hall, or in the small plastic wallet under your desk.

8. If you find that you have an unauthorised item on your desk or about your person you must inform a member of invigilation staff immediately.

9. If you do have any unauthorised items on your desk or about your person they will be confiscated for the duration of the exam.

Smartphones and other electronic devices

10. With the exception of approved calculators (see below), you must not use electronic devices during an exam. This includes smartphones, mobile phones, smart watches, smart wearables, laptops, tablets, e-readers, audio-players or any other communication or internet-enabled devices.

11. If you do have to bring electronic devices into the exam hall:

a) You must switch off all electronic devices before you enter the exam hall.
b) You must not have electronic devices on your desk or about your person. You must place electronic devices in your bag at the back of the hall or under your exam desk in the plastic wallet provided.
c) You must put all electronic devices on silent and not allow ringtones, pre-set alarms or other device sounds to cause a disturbance.
d) You must not send or receive calls, videos or messages during an exam.
e) You must not use calculator apps, dictionary apps, translation apps or any other software during an exam.

12. If you require a device for medical reasons, please speak to your Student Support and Wellbeing Advisor when you discuss your Reasonable Adjustments (Section 4).

Calculators

13. The Examiners will determine whether you are permitted to use a calculator in a particular exam.

14. At all other exams, the unauthorised use of electronic calculators, smartphone calculators, spreadsheet software or any other form of calculator is not permitted and will be treated as Academic Misconduct. Random checks will be made during exams to ensure that these regulations are complied with.

15. UCL has approved a standard calculator for use in exams. Use of the wrong model will be treated as Academic Misconduct.

16. Exceptionally, a Department may approve the use of non-standard calculators for one or more of its exams. In such circumstances, the Department will inform all students taking the exams concerned what type of calculators will be permitted in the exam hall. If you are in any doubt, you should consult your Department. You may still need a UCL-approved calculator if you are taking exams for modules taught by other Departments.

17. You must indicate the make and model of calculator used on the front of your exam envelope.

18. You must ensure that your calculator is in good working order. Spare calculators will not be available at the hall on the day, and you will not be able to share a calculator with another student.

19. Where credit may be given for using the correct method when a final answer is wrong, you must provide the examiner with sufficient information about the process of derivation. Further details are published each year on the Exams and Assessments website.

20. The use of material stored in the pre-programmable memory of a calculator will normally constitute Academic Misconduct.

Reference materials

21. For some exams, reference materials may be provided by the examiner. There may also be occasions when you are instructed, in advance of the exam, to bring specific documents with you to the hall. Such documents must be unmarked unless the examiner has indicated otherwise.

Dictionaries

22. The use of any form of dictionary is not permitted for the purpose of helping students overcome any deficiency in their command of the English language. Dictionaries will only be permitted for other purposes where the examiner has notified the Central Assessment Team in writing before the examination.

23. At all other exams, the unauthorised use of dictionaries is banned and will be treated as Academic Misconduct. Random checks will be made during exams to ensure that these regulations are complied with.

9.3 Candidate numbers

1. You must display both your candidate number card and your means of identification on the desk at each exam.
2. You must not mark or annotate your candidate number cards.
3. You must enter your candidate number in the space provided on all exam envelopes (with the exception of Multiple Choice Question [MCQ] papers, where your student number should be used) unless instructed otherwise on the day.

9.4 Question papers

1. You must not begin reading the question paper before the start of the exam. However, you should check that the exam code and title on the front cover of the question paper are correct and alert a member of invigilation staff immediately if you have been given the wrong paper.

9.5 Answer books and exam envelopes

1. Before the start of the exam, you may enter the following information on the front cover of the exam envelope:

   a) Candidate number
   b) Student number (MCQ cards only)
   c) Seat number
   d) The exam title and code
   e) The date and venue
   f) The make and model of your calculator (if applicable)

2. You must not write anything else on the exam envelope, answer book or question paper, or any other materials present on your desk, before the start of the exam unless told to do so by the supervisor (for computer users, this includes typing).
3. You must write only in blue or black ink (or in the case of MCQ exams and drawing diagrams/ charts/ graphs/ other, you can use pencil).
4. You should only request a supplementary answer book when your main answer book is full.
5. You should cross through any work which you do not wish to be marked and all rough work must be done in the answer book and crossed through; scrap paper must not be used.
6. You must enter the following information on the exam envelope in the boxes provided:

   a) The number of answer books used
   b) The question numbers answered in the order attempted

7. You must enter the following information on all used answer books:

   a) Candidate number
   b) Seat number

8. You must ensure that all answer books, supplementary books and any other materials to be submitted for marking (except MCQ cards) are secured in their examination envelope. MCQ cards should be handed in separately.
9. When the time permitted for the exam has passed, you will be given one extra minute to prepare your exam envelopes and answer books for collection. When the end of the one minute allowance is announced you must stop writing immediately. It is Academic Misconduct to continue writing after the one minute allowance has passed.
10. You should remain silent and in your seat until all exam envelopes have been collected.
11. You may take away your copy of the question paper unless specified on the paper. However you must not take out of the hall any used or unused exam envelopes, answer books, restricted question papers, or other items of exam stationery.
12. Removal of a completed exam envelope or answer book from the exam hall will constitute Academic Misconduct and the work will not be marked.

9.6 If you become ill during an exam

1. If you become ill during an exam you must alert the invigilators for help as soon as possible. Where appropriate, the invigilators will file a report of the your condition and the impact on the exam (e.g. lost time, terminated attempt) which can be used as evidence towards an Extenuating Circumstances claim (Section 5).

9.7 Late arrivals

1. If you arrive less than 45 minutes late, you will be allowed into the hall to sit the exam but will forfeit any time already elapsed. You must report to an invigilator so that your time of arrival can be recorded and any instructions provided.
2. If you arrive more than 45 minutes late, you will not be allowed into the exam hall.
3. If the late start is due to valid Extenuating Circumstances (Section 5), you may be eligible for a Deferral allowing you to sit the exam again at the next normal occasion and without penalty.
4. If there are no Extenuating Circumstances you will receive a **mark of 0.00%/ Grade F** and will be considered to have made an attempt (Section 12).

9.8 Leaving the hall during an exam

1. You must not leave the hall during the first 45 minutes or the last 15 minutes of the exam. Toilet visits are not normally permitted during these times.
2. At all other times, you must not leave your seat without first seeking permission, except in cases of illness or emergency. You must notify the invigilators by raising your hand if you have a query, feel unwell, need more stationery or the toilet, or want to leave the hall permanently after the first 45 minutes or before the last 15 minutes of the exam.
3. In case of illness or emergency, you must only leave your seat if accompanied by a member of invigilation staff.
4. All candidates will be accompanied on toilet visits and each visit will be recorded on the attendance sheet.
5. If you wish to leave the hall permanently after the first 45 minutes but before the designated finish time, you must raise your hand and remain in your seat until your exam envelope has been collected.

9.9 At the end of the exam

1. Each exam will include 15 and 5 minute warning announcements.
2. Once the final 15 minute warning has been announced, you must remain in your seat until the exam envelopes for all candidates have been collected and you are told you may leave.
3. You should leave the exam hall quickly and quietly when told to do so by the supervisor as there may be longer exams taking place in the same hall.
4. Remember to collect your valuables from the plastic wallet under your desk and place the empty wallet on the desk before leaving the hall.

9.10 Emergency evacuation procedure

1. In the event of an emergency, the hall supervisor will direct you to the nearest exit. Exam conditions will still apply and you must not speak to any other candidates on any topic.

10   Online assessments

10.1 Digital assessment platforms

1. The regulations in this section focus on the AssessmentUCL digital platform. If your assessment is in another digital assessment platform such as Moodle, Moodle Quizzes or Crowdmark, the Department setting the assessment is responsible for establishing equivalent and robust alternative arrangements, and for communicating these to all students taking the assessment.
2. If you need to submit artefacts or other physical items, your Department is responsible for letting you know about the requirements for submitting these.
3. You may also be asked to submit a hard-copy as well as a digital submission, e.g. for a Dissertation or Research Project. Your Department is responsible for letting you know about the requirements for submitting these.

10.2 Protecting the integrity of UCL's assessments

1. UCL requires high academic standards in order to maintain trust and confidence in our world-leading research and teaching, as well as the individuals who work and study here. Your assessments test many important academic skills that you will need after you graduate, whether you are going into employment, a research post or further study. This includes your ability to follow instructions and meet deadlines.
2. In order to protect the integrity of UCL's assessments:

    a) You must only submit via the approved assessment platform. If you try to submit via email or any other channel your work will not count as a submission and will not be marked.
    b) Your submission will not count as an Assessable Attempt unless it is fully downloaded to the UCL server i.e. you receive an email confirmation of your successful submission to your UCL email address.

3. **All forms of Academic Misconduct are prohibited**. Section 8: Maintaining Academic Integrity includes important information about avoiding Academic Misconduct in an online assessment.

10.3 Submission window

1. AssessmentUCL will show you the total available submission window for each individual assessment. Please read Section 6: Durations and Deadlines for detailed information about each type of assessment.
2. It is essential that you upload all documents, complete the submission process and receive a submission confirmation message before the Submission Window closes.
3. If you miss the deadline, you must not submit your work via email or any other channel. Any work submitted outside of the approved assessment platform will not be accepted as a submission and will not be marked.

10.4 Uploading files in AssessmentUCL

1. The assessment rubric (instructions) will explain whether you need to upload any files.
2. You may need to upload large files so you will need to make sure you have a reliable laptop and internet connection. If you do not have these at home, UCL Libraries have a laptop loan scheme and UCL study spaces are available across campus.
3. For uploaded assessments it is particularly important that you make use of the practice assessment (Section 3.7), as this will allow you to understand the full submission process and avoid mistakes.

4. All documents must be submitted as a PDF (Portable Document Format) unless you are instructed otherwise.
5. Some assessments require multiple and/ or large-format files. You may also be required to take photographs of handwritten answers and you will need to convert your files to PDF before you can upload them. In such instances your department will have provided an additional collation time for this activity.
6. **You must leave yourself the full collation and upload time to complete this activity and correct any mistakes. Do not leave this until the last few minutes.**
7. You should name your files clearly and store them in an easily accessible location.
8. You cannot change any files once the submission window has closed.
9. Uploading the wrong files will not be considered valid grounds for Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7).

If you upload but do not click "submit"

10. If you upload your files but do not press the "Submit" button' in time, or you do not receive the confirmation message, the Central Assessment Team should be able to submit your uploaded files on your behalf.
11. You will need to complete an AssessmentUCL Query Form. **Please note: You will not receive a reply during your assessment.**
12. If you have not uploaded any documents, the Central Assessment Team will **not** be able to submit on your behalf. You must not send your files to the Central Assessment Team or your Department via email or any other channel. Files submitted outside AssessmentUCL will not be accepted as a submission and will not be marked.

10.5 Submitting via FLOWassign in AssessmentUCL

1. If your assessment is in 'FLOWassign' you will need to log in to AssessmentUCL at the start of your assessment to access the question paper and instructions. You can then work offline but will need to log back into AssessmentUCL to upload your files and submit your work.
2. Once you have uploaded your files, you must complete the Cover Sheet before you will be able to submit your work. This typically includes:

   a) Which questions you have attempted
   b) Number of pages
   c) Number of words (if hand-written answers, enter 0)
   d) UCL Declaration of Integrity

3. Once you have uploaded your files and completed the Cover Sheet, you must press the 'Submit' button and receive a confirmation message before the submission window closes.
4. You must not submit via the Practice Assessment.
5. You must not click the 'Submit Blank' button.
6. In FLOWassign you can correct minor problems using the Multiple Submission Function. This allows you to submit multiple times before the submission window closes.
7. To submit again you will need to withdraw your submission. You will receive a notification to your UCL email address confirming your withdrawal.
8. You will then need to reupload your documents, complete the Cover Sheet again, and press the 'Submit' button again. You will receive a notification to your UCL email address confirming your new submission.
9. Any new version will overwrite all previous versions. AssessmentUCL does not retain any previous versions.
10. The markers will only have access to your assessment if you repeat all the upload and submission steps. If you do not resubmit, it will be recorded as a non-submission.

10.6 Submitting via FLOWmulti in AssessmentUCL

1. If your assessment is in 'FLOWmulti' you will answer questions directly on screen.

2. You may need to upload handwritten answers for some questions e.g. equations, drawings, figures, graphs etc. You will need to photograph your answers, convert files into PDF (Portable Document Format) and upload them into AssessmentUCL. See <u>Section 9.4 Uploading Files</u> for further details.

3. FLOWmulti assessments do not include a Cover Sheet.

4. You must not submit via the Practice Assessment.

5. You must not click the 'Submit Blank' button.

6. In FLOWmulti you can only submit once (you cannot withdraw your submission and resubmit) so please make sure that you check your answers thoroughly before you click 'Submit'.

7. You will need to click 'Submit' and receive the confirmation message before the submission window closes.

10.7 Technical failures policy

1. The majority of students have no difficulties using AssessmentUCL. You can significantly reduce the chances of a technical difficulty if:

   a) You make sure that you are registered on the correct modules (<u>Section 3.1</u>).
   b) You ensure that your UCL login details and password are up-to-date and not about to expire (<u>Section 3.6</u>).
   c) You sit your assessment on a reliable laptop in a location with a reliable Wi-Fi signal (<u>Section 3.6</u>).
   d) You do the practice assessment in advance (<u>Section 3.7</u>).
   e) You follow the assessment instructions/ rubric carefully (<u>Section 7.1</u>).
   f) You make sure that you leave yourself at least 20 minutes for uploading and submitting (<u>Section 10.3</u>).
   g) You do not leave submission until the last few minutes (<u>Section 10.3</u>).
   h) You take steps to ensure that you upload the correct files (<u>Section 10.4</u>).
   i) You do not submit via the Practice Assessment (<u>Section 10.5</u>).
   j) You do not click the 'Submit Blank' button (<u>Section 10.5</u>).

2. To meet the criteria for a 'Technical Failure' the problem must be both:

   a) **Substantial:** You are expected to resolve minor problems yourself.
   b) **Beyond your control:** You are expected to be well-prepared for your assessment, to follow these regulations and any instructions given to you, and to manage your time effectively.

3. Mitigation will **not** be granted for issues such as:

   a) Uploading the wrong file
   b) Forgetting to complete the Cover Sheet
   c) Submitting via the Practice Assessment
   d) Clicking the 'Submit Blank' button
   e) Password expiry
   f) Not being registered on the correct module
   g) Mis-reading the timetable
   h) Starting your exam at the wrong time
   i) Mis-understanding time zone differences
   j) Running out of time because you have not left yourself at least 20 minutes to upload and submit your work

If there is a known technical issue

4. If the Central Assessment Team is aware of a technical issue or outage affecting the platform itself, they will take immediate action to try to resolve the problem. A notice will be posted on the <u>support during your assessment</u> webpage. Students and departments with an impacted assessment will be contacted by email to explain what has happened and the steps being taken to mitigate the issue.

   a) An 'impacted assessment' is defined as an assessment that is either in progress during the outage, due to start during the outage or an assignment with a submission deadline during the outage.

How to report a technical failure

5.   If you do not receive notification of a more widespread issue, and you experience difficulties which meet the above criteria for a Technical Failure, you should contact the assessment organisers as soon as possible:

a) If your assessment is in AssessmentUCL, you should complete an <u>AssessmentUCL Query Form</u>.
b) If your assessment is another digital assessment platform such as Moodle, Moodle Quizzes or Crowdmark, the Department setting the assessment is responsible for establishing equivalent and robust alternative arrangements, and for communicating these to all students taking the assessment.

6.   You must submit your request as soon as possible and no more than one week after the assessment deadline/ end time.

7.   Please note: You will not receive a reply during your assessment. You should therefore do your best to finish and submit your work.

Consideration of claims

8.   UCL's Central Assessment Team will review all Technical Failures reported through AssessmentUCL.

9.   If your assessment is in another digital assessment platform such as Moodle, Moodle Quizzes or Crowdmark, the Department setting the assessment is responsible for assessing claims using the requirements and criteria set out in these regulations.

10. Technical Failures can only be considered through this procedure and must not be submitted or considered under the Extenuating Circumstances Procedure (<u>Section 5</u>).

Supporting evidence

11. All Technical Failure claims must be supported by evidence which clearly demonstrates that the problem is **substantial and beyond your control**:

a) UCL recognises that it can be difficult to provide evidence of Technical Failure, but you should still do your best to provide documentation that supports your application as this helps us to ensure that all claims are genuine.
b) UCL may exercise its discretion to suspend the need for formal evidence in exceptional circumstances, but you should not rely on this.
c) Suitable evidence might include screenshots or photos e.g. of error messages, internet connection problems, your AssessmentUCL activity, emails, text messages, notices from service providers etc. The following table gives examples of acceptable and unacceptable evidence:

Reason for Technical Failure Claim	Acceptable Evidence	Not Acceptable Evidence
Phone lost battery power and unable to take photos	Dated confirmation from repair shop	No evidence, evidence undated
Loss of internet	Screenshot with time stamp, video with time stamp of a whirring screen, error message, WiFi not working, error lights, signal on WiFi	No evidence, screenshot without time stamp, video without time stamp
Phone camera stopped working	Dated confirmation from repair shop	No evidence, evidence undated
Scanner stopped working	Dated confirmation from repair shop, screenshot of the scanner not working with time stamp, video of the scanner not working with time stamp	No evidence, evidence undated, screenshot without time stamp, video without timestamp

12. **Falsification is an Academic Misconduct offence**. If you submit a claim which appears to be fraudulent, you will be investigated under UCL's <u>Student Academic Misconduct Procedures</u>. If your assessment is in AssessmentUCL, the platform timestamps all of your activity. The Central Assessment Team will use the following information when looking at your claim:

a) Whether you have attempted a practice assessment
b) When you opened the assessment
c) When you started to upload files
d) When you pressed 'Submit'

Technical failure mitigations

13. In order to protect the integrity of UCL's assessments and to promote fairness for students across different departments and faculties, there are standard recommended mitigations for each type of assessment:

Online Controlled Condition Exam	• Where work has not been submitted within the 40 minutes late submission window: Deferral without Tuition to the next normal occasion (typically the Late Summer Assessment Period) or • Where work has been submitted within the 40 minute late submission window: Suspension of the Late Submission Penalties
Take-home paper	• Suspension of the Late Submission Penalties
Quizzes & In-class tests	• Deferral without Tuition (timing determined by the department) or • Exclude component from module calculation: Maximum 10% weighting
Practical exams	• The examiners may use their discretion to allow you extra time in a live assessment or to move the assessment by a few hours or days. This may not always be possible, for example if it will have a negative impact on other students, or if access to laboratories and other specialist rooms and equipment is restricted, or • If a late start cannot be accommodated, a Deferral without Tuition (timing determined by the Department).
Coursework, Dissertations, Research Projects and other assessments	• Planning, time-management and the meeting of deadlines are part of the personal and professional skills expected of all UCL graduates. As students have a number of weeks or months to complete coursework, technical issues will **not** be considered as valid grounds for missing the deadline

11 Deferring an assessment

1. If your Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7) claim is accepted, you may be offered a Deferral without Tuition allowing you to take the assessment as if for the first time and without penalty at the next normal occasion.
2. The 'next normal occasion' is usually the Late Summer Central Assessment Period, but your deferral may need to take place at a different time. For example:

a) If you are taking departmentally-managed assessments, they may take place at different times of the year to the standard Central Assessment Timetable. Your Department is responsible for informing you of any local variations.
b) If you are sitting an assessment in the Late Summer Central Assessment Period, any deferral of that assessment will normally have to take place in the next Main Summer Central Assessment Period. If you are expecting to progress to another year of study, your Board of Examiners may permit you to 'trail' such a deferral under the regulations for Provisional Progression. If this is not possible, you may have to take a year out to complete the deferred assessment.

    c) Deferrals for Taught Postgraduate Masters Dissertations and Research Projects will need to be submitted by 31 January (for September-start programmes) or by 30 April (for January-start programmes).

    d) For Practical Exams, it may be possible for the department to move your assessment by a few days, subject to local timetables. This may not always be possible, for example if it will have a negative impact on other students, or if access to laboratories and other specialist rooms and equipment is restricted.

3.   'Without penalty' means that:

    a) If you defer your first attempt at an assessment, your module mark will be 'uncapped' i.e. you will receive the full mark for your work.

    b) If you defer your second attempt at an assessment (i.e. you defer a Resit or Repeat), your module mark will continue to be 'capped' at the Pass Mark (i.e. the existing cap will not be removed but you will receive no further penalty).

4.   'Without Tuition' means that you will not attend any further classes or receive any further instruction; you will just retake the assessment. If you have particularly severe circumstances you may be offered the opportunity to take a Deferral with Tuition which means returning next year to re-attend classes.

5.   Full details of the regulations for Deferrals can be found in Chapter 4, Part A, Section 8: Deferred Assessment.

12 If you do not make an assessable attempt

1.   If you do not make an "Assessable Attempt", and you do not have valid grounds for making an Extenuating Circumstances (Section 5) or Technical Failure (Section 10.7) claim, **you will receive a mark of 0.00%/ Grade F for the assessment**. This includes:

    a) If you do not start the assessment.
    b) If you start the assessment but do not attempt the paper.
    c) If you start the assessment but attempt so little of the paper that it cannot be assessed.
    d) If you start the assessment but do not upload and submit in your work by the deadline.
    e) If your handwritten answers, typed answers, images, scans or any other documents that you upload are illegible.

2.   If you receive a mark of 0.00%/ Grade F for the exam:

    a) If your module includes multiple components, you may be eligible for Component-level Condonement.
    b) If your overall module mark is at least 1.00%/ Grade E, you may be eligible for Module-level Condonement.
    c) If you are not eligible for Condonement, and you have a remaining assessment attempt, you will be required to Resit or Repeat the assessment. The mark for any modules successfully completed at the second attempt will be capped at the Pass Mark.
    d) If you do not have a remaining assessment attempt you will be required to leave the programme.

UCL Assessment Operating Model 2022/23

Introduction

This Assessment Operating Model is part of the **UCL Teaching and Assessment Operating Model for 2022-23**. It is a staff-facing document which summarises the seven different assessment types which can be used for centrally-managed and departmentally-managed assessments.

The Operating Model is accompanied by detailed regulations for students for each different type of assessment. These aim to improve clarity by drawing together everything that students need to know about a particular method of assessment in a single location

Types of Assessment

For regulatory purposes, the Operating Model groups assessments into defined categories with discrete regulations. There is no intention to curb the breadth and innovation in assessment design that UCL values highly. It is recognised that departments may have their own terminology and definitions, but this shared terminology aims to promote operational clarity and consistency across UCL. The majority of assessments should fall into these groups, but there may be occasions where an assessment is difficult to categorise. Departments should contact academicregulations@ucl.ac.uk if they need assistance in this area.

Notes

In-person Controlled Condition Exams	In 2022/23, centrally-managed In-person Controlled Condition Exams will be held at the ExCel Centre as a paper based exam. There will also be separate, dedicated Exam Adjustments facilities with PCs for eligible SORA students. Departmentally-managed In-person Controlled Condition Exams will be held in departmental accommodation.
	Departments should do everything possible to avoid sending the students to the ExCel for short exams (i.e. 60 and 90 minutes) and the experience for all students in the hall will be enhanced if examinations are scheduled in whole hours (i.e. two or three hours).
Take-Home Papers	The use of 24-hour Take-Home Papers is strongly discouraged and should only be used in exceptional circumstances. There is evidence that 24 hours is an unsuitable duration in terms of student wellbeing and academic integrity. For this reason, 24-hour Take-Home Papers will not be centrally timetabled. The UCL Central Assessment Team is unable to guarantee that a student might not have a Controlled Condition Exam overlapping a departmental 24-hour Take-Home Paper period.
	There is no additional Upload Window for Take-Home Papers as extra time is already built in. The Student Regulations instruct students to leave themselves at least 20 minutes for uploading and submitting.
Online Exams	Online exam durations should be the same as in-person exam durations for an equivalent assessment. Online exams have an additional 20-minute Upload Window to give students extra time for the additional task of uploading and submitting their work. However, some exams may have particularly complex upload requirements and will therefore require additional collation time (e.g. multiple files, large-format files, taking photographs, converting handwritten notes into PDF) and 20 minutes may not be sufficient. In these cases, Departments are asked to extend the duration of the individual exam to allow students more time for uploading, and clearly state on the front of the Examination Paper what the writing time, collation time and upload window is. Departments can extend the individual exam duration to a maximum of four hours.
Extenuating Circumstances	The 'Recommended Self-Cert EC Mitigation' is designed to promote consistency across UCL and manage student expectations about the likely outcome of an EC claim. The other mitigations in the standard Extenuating Circumstances Procedures are also available to EC Panels, although we would normally expect students to provide evidence for these.
Derogations	BA English operate a finals system with 6-hour exams. These will continue to be allowed as a derogation. They will fall under the regulations for 'Controlled Condition Exams'. However, they will be departmentally timetabled and managed.
	Assessments in the MAPS Faculty may be set up in Crowdmark.

Assessment Operating Model 2022-23

Category	Includes	Managed by	In Central Assessment Timetable	Format	Venue	Digital Platform (if applicable)	Assessment UCL set up (if applicable)	Invigilation & Proctoring	Duration	Expected Working Hours (if applicable)	SORA Extra Time and/or Rest Breaks (other SORA arrangements still available)	Recommended Self-Cert EC Mitigation	Upload Window	Late Submissions
"Online Controlled Condition Exams"	Online exams which replicate, as far as possible, the strictly controlled conditions in an in-person exam hall. The exam duration accurately reflects the amount of time which a student should spend on the assessment.	Central Assessment Team	Yes	Online	Remote	AssessmentUCL	"Exam"	No	2 or 3 hours as standard. Can extend up to 4 hours max if exam has complex upload requirements.	2 or 3 hours as standard. Can extend up to 4 hours max if exam has complex upload requirements.	As per SORA: Typically 5/10/15/20 mins/hr	Deferral without Tuition to the next normal occasion (typically the Late Summer Assessment Period)	20-Minute Upload Window added to all exam durations in AssessmentUCL (Upload Window will not be visible in Central Assessment Timetable)	up to 5 mins late = 5pp deduction / capped at pass; 5:01 - 10 minutes late = 10pp deduction /capped at pass; 10:01- 40 mins late = capped at pass; > than 40 minutes late work not accepted = Mark of 0
		Department	No			AssessmentUCL or Moodle/other								
"In-person Controlled Condition Exams"	Time-limited, invigilated, in-person exams at a UCL examination venue.	Central Assessment Team	Yes	In-person	ExCel	n/a	n/a	Invigilated	2 or 3 hours	2 or 3 hours	As per SORA: Typically 5/10/15/20 mins/hr	Deferral without Tuition to the next normal occasion (typically the Late Summer Assessment Period)	n/a	Not accepted
		Department	No		Department				2 or 3 hours as standard. Maximum of 4 hours.	2 or 3 hours as standard. Maximum of 4 hours.				
"Take-Home Papers"	Open-book assignments with durations of 24 hours to 7 days. Students are expected to work on the assignment for a maximum of eight hours in any 24-hour period, before any SORA or EC adjustments are applied.	Department	No	Online	Remote	Moodle or can be on-boarded to AssessmentUCL	"Coursework"	No	24 hours	8 hours	Extension of 2 hours	Extension of 2 hours	n/a (built in)	<1 hour late = 10pp deduction; 1-2 hours late = capped at pass; >2 hours late = Mark of 1.00%
									48 hours	16 hours	Extension of 4 hours	Extension of 4 hours		<2 hours late = 10pp deduction; 2-4 hours late = capped at pass; >4 hours late = Mark of 1.00%
									72 hours	24 hours	Extension of 6 hours	Extension of 6 hours		<3 hours late = 10pp deduction; 3-6 hours late = capped at pass; >6 hours late = Mark of 1.00%
									7 days	56 hours	Extension of 14 hours	Extension of 14 hours		<7 hours late = 10pp deduction; 7-14 hours late = capped at pass; >14 hours late = Mark of 1.00%
"Quizzes & In-class tests"	Short tests and quizzes, which may be delivered in-person or via online platforms such as Moodle Quizzes, and which are typically worth no more than 10% of a module - but may make higher than 10%	Department	No	Online	Remote	Moodle or can be on-boarded to AssessmentUCL	"Exam"	No	eg 1 hour Longer durations are accepted	n/a	As per SORA: Typically 5/10/15/20 mins/hr. Rest breaks not applicable for assessments of 1 hour or less	Deferral without Tuition (timing determined by department)	n/a	Not accepted
				In-person	Department	n/a	n/a	Yes						
"Practical Exams"	Practical assessments with a short, fixed duration such as presentations, group presentations, vivas, clinical exams, OSCEs, lab tests etc.	Department	No	Online	Remote	Moodle or can be on-boarded to AssessmentUCL	Varies	No	Typically up to 1 day	Varies	As per SORA: Individual arrangements	Deferral without Tuition (timing determined by department)	n/a	Not accepted for the Practical Exam. If students are required to submit supporting documents: <2 working days late = 10pp deduction; 2-5 working days late = capped at pass; >5 working days late = Mark of 1.00%/ Grade E
				In-person	Department	n/a	n/a	Yes						
"Dissertations/ Research Projects"	Extended, in-depth coursework assignments involving research and independent study.	Department	No	Online	Remote	Moodle or can be on-boarded to AssessmentUCL	"Coursework"	No	Typically 3 months or more	Varies	As per SORA: Typically 2 week extension	Extension of up to 2 weeks	n/a	<2 working days late = 10pp deduction; 2-5 working days late = capped at pass; >5 working days late = Mark of 1.00%/ Grade E
"Coursework and other assessments"	Assignments where students are typically given a few weeks to complete the assessment. Includes essays, reports, portfolios, artefacts, exhibitions etc. Where an assessment does not fit into one of the other categories, it nominally falls under the 'coursework' regulations.	Department	No	Online	Remote	Moodle or can be on-boarded to AssessmentUCL	"Coursework"	No	More than 7 days	Varies	As per SORA: Typically 1 week extension	Extension of up to 1 week	n/a	<2 working days late = 10pp deduction; 2-5 working days late = capped at pass; >5 working days late = Mark of 1.00%/ Grade E

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part A: Research Degree Regulations

Covering MPhil/ PhD, EngD, MD(Res) and MRes programmes

EngD students should also refer to:
- Chapter 5, Part C: Doctor in Engineering Additional Regulations

MRes students should also refer to:
- Chapter 5, Part H: MRes Additional Regulations
- Chapter 3: Registration Framework for Taught Programmes
- Chapter 4: Assessment Framework for Taught Programmes

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1   Admissions

1.1   Standard Qualifications for Admission: MPhil/PhD Programmes

1. The normal minimum entrance qualification for registration for the MPhil degree or the PhD degree is:
   i) An upper second class honours degree of a UK university or an overseas qualification of an equivalent standard obtained after a programme of study extending over not less than three years in a university (or educational institution of university rank), in a subject appropriate to that of the programme to be followed; or
   ii) A registrable qualification appropriate to the programme to be followed awarded by a UK university in Medicine, Dentistry or Veterinary Studies; or a qualification of an equivalent standard appropriate to the programme to be followed awarded by a university (or educational institution of university rank) outside the UK; or
   iii) A Masters degree from a UK University in a subject appropriate to the programme to be followed; or
   iv) A professional or other qualification obtained by written examinations and approved by UCL as an appropriate entrance qualification for the MPhil or PhD degree in question.
2. Applicants should also consult the relevant departmental/divisional admission requirements (see the UCL Departments A-Z).

1.2   Standard Qualifications for Admission: EngD Programmes

1. Other qualifying criteria may also be required for applicants for the EngD, depending on the subject area of the individual programme.
2. The additional regulations for the Doctor in Engineering [EngD] (see Chapter 5, Part C) give details of specific criteria for the following programmes:
   - EngD in Biochemical Engineering and Bioprocess Leadership
   - EngD in Communications
   - EngD in Environmental Engineering Science (ENVES)
   - EngD in Virtual Environments Imaging and Visualisation (VEIV).

1.3   MRes Progression to an Associated Research Degree Programme

1. For automatic progression from MRes to PhD/EngD, students should achieve an average mark of not less than 60% in the *independent, original research components* of the programme, and not less than 50% in the taught elements.
   i) This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
   ii) However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.
2. 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.
3. MRes students who fail the taught components are subject to the regulations in Chapter 4, Part A, Section 9: Consequences of Failure. If a student has valid Extenuating Circumstances material to that failure, they will be subject to the regulations in Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.

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4. MRes students who fail the dissertation should not register on the EngD or MPhil/PhD programme in the following academic year but remain on the MRes and resubmit the dissertation by 31 January of the following academic year. The Board would then consider the award for these students in January, when they would be allowed to register on the EngD or MPhil/PhD if they passed. If, as a result, they missed taught components which formed part of the EngD or MPhil/PhD registration, these should be followed at the point when they are next available.

5. MRes students who are not awarded the degree after the first attempt and the resit attempt should not progress to the associated EngD or MPhil/PhD programme and would be required to leave UCL.

Further guidance

1. These regulations only apply to students on MRes programmes which form an integral part of an associated doctoral programme.
2. Applicants and students should also consult the relevant departmental/divisional admission and MRes progression requirements.
3. MRes programmes are subject to the regulations for Taught Postgraduate Programmes and to the additional regulations for Masters By Research Programmes in Chapter 5, Part H.

1.4 Standard Qualifications for Admission: MD (Res) Programmes

1. To be eligible for registration for the MD(Res) degree, a candidate must have obtained the MBBS degree or some other registrable primary qualification in Medicine, and be eligible for full registration or hold limited registration with the General Medical Council (GMC), or have obtained the BDS degree or hold an equivalent dental qualification.

1.5 English Language Requirements

1. Applicants are required to meet English Language Proficiency Requirements for Postgraduate Degrees.

1.6 Alternative Qualifications for Admission

1. Applicants possessing alternative qualifications may also be considered by UCL for registration.
   i) An applicant who possesses a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in Sections 1.1-1.4, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
   ii) Applicants who possesses a qualification obtained by written examination other than those covered above, if UCL is satisfied that the candidate's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the candidates who are able to satisfy the entrance requirements in one of the ways prescribed above.
2. UCL may prescribe a qualifying examination for such an applicant prior to admission.

Further guidance

1. Departments wishing to admit such an applicant, as described above, must obtain written authorisation from the Chair of the Research Degrees Committee via Admissions in Student & Registry Services. An applicant for registration may also be required to pass a qualifying

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examination. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.

2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 1: Student Recruitment and Admissions.

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2   Registration

2.1   Dual Registration

1. A student is not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

   Further guidance

1. Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they have completed their registration with another institution.

2.2   Application and Initial Registration

2.2.1   MPhil/ PhD Initial Registration

1. An applicant for a PhD degree will be registered initially for the MPhil degree.

   Further guidance

1. All successful applicants, with the exception of the EngD and other specialist doctorate programmes, are initially registered for an MPhil degree, except where the applicant is exceptionally well qualified and UCL has given special permission for initial registration for the PhD degree.
2. Every student must complete enrolment as instructed within two weeks of the start of their research programme and must undertake to comply with the conditions of enrolment.
3. An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration — i.e. the original diploma or certificate of the awarding body. An applicant for the MD (Res) degree will be registered at UCL in the names under which he/she has been registered with the GMC.

2.2.2   Proof of Identity

1. All students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment cannot occur.

2.2.3   UK/EU/EEA-Based Students

1. UK/EU/EEA Based Students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

   Further guidance

1. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
   a) A UK photo driving licence, a European National Identity Card or Armed Forces Identity Card; or
   b) An original birth certificate, adoption certificate or certificate of naturalisation.
2. No other forms of identification are acceptable.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.

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2.2.4   Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements, presentation of a valid passport is a mandatory requirement for students who require a visa to study in the UK, and no other forms of identification will suffice. Enrolment will not take place without presentation of a valid passport and visa.
2. For further details on UK immigration requirements see the UCL Immigration and Visa Information webpages.

2.3   Exemption from Part of a Programme of Study

1. UCL may exempt from part of the programme of study of the MPhil/PhD degree, research degree students who have commenced a programme of study for the MPhil or PhD degree (or equivalent degree) of another university in the United Kingdom, provided that the programme of study followed at UCL is not less than one calendar year, or its equivalent in part-time study.

Further guidance

1. Applications for exemption should be made at the point of admission and are considered on a case-by-case basis.
2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in the UCL Academic Manual, Chapter 1: Student Recruitment and Admissions.
3. Back-dated registration is not usually permitted by UCL. In exceptional circumstances however, requests for back-dating registration may be considered by the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk subject to the following conditions:
    i)   The statement from the supervisor and/or the Head of Department gives strong academic reasons for the request and confirms in writing that the student has been undertaking relevant research since this date.
    ii)   There is evidence that the student has been fully supervised.
    iii) There is a good reason provided explaining why the student was not formally registered from the requested start date.
4. If the back-dating is granted, regardless of the time period requested, the student should be aware that he or she is liable for tuition fees from the date of retrospective registration and that the date for submission of the thesis will be calculated from this date.

2.4   Course of Study: General

1. All research degree students are required to pursue a course of study prescribed by UCL.
2. A programme of study for the degree of MPhil, PhD or MD(Res) may require attendance at lectures and coursework as prescribed by UCL. A candidate's registration on a UCL programme will be dependent upon their continued satisfactory progress as determined by UCL.
3. All research students are required to use the Online Research Student Log.
4. For more information about the Research Student Log and other requirements see the Code of Practice for Graduate Research Degrees.

2.5   Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL. Students must be in a position to meet all the requirements determined for their studies.
    i)   With the exception of non-resident MPhil/PhD programmes (see Section 2.11) students, whether full-time or part-time, are expected to centre their academic studies on UCL. Students should ensure they are able to attend UCL in person for teaching and meetings as required by their supervisors.

ii) Students must obtain approval before they leave to collect or study material remote from UCL or work in remote facilities.

2.6   Annual Leave

1. Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.
2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.
3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.
4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.
5. Funded Students must ensure they continue to meet their funder Terms & Conditions.
6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

2.7   Length of Programme

1. The lengths of UCL research degree programmes are as follows:
   i) The length of an MPhil/PhD programme is normally three years' full time and five years' part time.
   ii) The length of the MD(Res) is normally two calendar years of full-time or part-time study.
2. Students may not interrupt their period of registration without prior permission from UCL.
3. Unless prior exemption from a part of the programme has been agreed, a student must be registered for at least two calendar years full time, or three calendar years part time, before he/she will be allowed to submit her/his thesis for examination for the PhD or the MPhil degree.
4. A student must be registered for at least two calendar years before he/she will be allowed to submit her/his thesis for examination for the MD(Res) degree.
5. In the case of registration for the PhD and the MPhil degree, unless prior exemption from a part of the programme has been agreed, students must be registered for at least three calendar years full time, or five calendar years part time, before they will be eligible to adopt Completing Research Status (see Section 4).
6. In the case of registration for the MD(Res) degree, students must be registered for at least two calendar years before they will be eligible to adopt Completing Research Status (see Section 4).

Further guidance

1. Requests to submit a thesis earlier than the minimum periods of registration specified in the regulation above may be considered by the Chair of the Research Degrees Committee. Requests should be made in writing via researchdegrees@ucl.ac.uk and should include a statement of support from the supervisor and/or Head of Department. The Research Degrees Committee will monitor the outcome of such requests by scrutiny of examiners' reports on the candidates' theses. Students and staff should note that early submission of a thesis will not be considered as an extenuating circumstance when deciding the outcome of the examination of a thesis.
2. Students who submit early would be liable for tuition fees up to the date of the submission of the thesis but would not be liable for tuition fees thereafter.

2.8   Interruption of Study

1. Interruption of study may be granted on the authorisation of the Director of Student Administration, on behalf of the Research Degrees Committee, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one

calendar year and any further period of interruption of study will be considered one year at a time. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not normally be considered grounds for interruption of studies.

2. Interruption of study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:

   i) The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts;

   ii) The date when the submission of the thesis falls due following resumption of study falls within ten years of the date of original registration;

   iii) Written assurances that the research will still be valid are provided by the supervisor and/or the Head of Department, with supporting documentation.

3. The Students website provides further detail on the Interruption of Study Procedure.

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2.9 Upgrade from MPhil to PhD

1. Upgrade from MPhil to PhD registration may be made not less than nine months after initial registration for the MPhil degree for full-time students, and not less than fifteen months after initial registration for the MPhil degree for part-time students. In the case of a student who has been granted an exemption of part of the programme of study, upgrade from MPhil degree to PhD registration may be made not less than eight months, or its part-time equivalent, after initial registration for the MPhil degree.
2. A student who fails to achieve upgrade to PhD status may, if all other conditions are met, enter for the MPhil examination.
3. Detailed information on the upgrade process can be found in the Upgrade Guidelines.

2.10 Transfer from PhD to MPhil

1. A student who has been upgraded from MPhil to PhD status may, with the permission of UCL, transfer back to MPhil status and enter for the MPhil examination provided he or she has not entered for the examination of a PhD.
2. The transferred registration may be dated from the date of original registration for the MPhil/PhD degree.

2.11 Transfer Between MPhil/PhD and MD(Res)

1. A student may, with the permission of UCL, transfer from the MD(Res) degree to the MPhil/PhD degree, provided they have not entered for the examination of an MD(Res) degree; or from the MPhil/PhD degree to the MD(Res) degree provided they have not entered for the examination of an MPhil or PhD degree.
2. Students wishing to transfer from an MPhil/PhD to an MD(Res) degree, or vice versa, should contact researchdegrees@ucl.ac.uk.

2.12 Non-Resident PhD: Registration and Attendance

1. Students registered on a non-resident MPhil/PhD programme shall attend UCL on at least one occasion. This must be the meeting at which their upgrade to PhD is decided.
2. In addition a student registered on a non-resident MPhil/PhD programme shall meet his or her supervisor(s) in person on at least two other occasions, one at the beginning and one at the end of the programme, but not necessarily in the UK.
3. Students and supervisors are required to be in regular communication during the whole period of the programme by, for example, telephone, email, Skype etc.
4. Students on the non-resident MPhil/PhD programme are required to use the Online Research Student Log.

Further guidance

1. Admission procedures for the non-resident MPhil/PhD programme do not differ from that of other research students who require special permission from UCL before starting their registration. A department/division wishing to make an offer to an applicant for a specially-approved non-resident MPhil/PhD programme is required to submit a statement of the case for acceptance, via Admissions in Student & Registry Services, to the Chair of the Research Degrees Committee [RDC]. The statement must include evidence that the overseas institution where the applicant intends to undertake research is of international standing and able to provide adequate facilities for the research. It must also include details of the arrangements for the supervision of the student at the overseas institution.
2. The department/division must also provide the Chair of the RDC with a statement showing that adequate arrangements for communication between the department and the student are in place and that these arrangements comply with UCL requirements for frequency of contact between supervisor and student as set out in the Code of Practice for Graduate Research Degrees. The use of the Online Research Student Log is an essential part of these

requirements. Such statements should be submitted in writing to the Chair of RDC via [Admissions in Student & Registry Services](#).

3. In cases where an approved research programme has been set up with a specific institution or institutions which have formal collaborative agreements with UCL, approval of individual applications, as described above, will not need to be submitted for approval by the Chair of the RDC.

4. Students on a non-resident MPhil/PhD programme will be registered as full-time students by UCL if they are carrying out their research on a full-time basis in their countries of residence. Otherwise, they will be registered as part-time students by UCL. A special fee rate applies to the non-resident MPhil/PhD programme.

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3   Supervisory Arrangements

3.1   Supervisors: General

1.   Each UCL student registered for the MPhil, PhD, EngD, MD(Res) or MRes degree shall have appointed one Principal and one Subsidiary Supervisor, who shall be members of staff of UCL or members of staff of an institution with an approved agreement with UCL. All supervisors must be approved by their Faculty Graduate Tutor before they undertake supervision of research students.

Further guidance

1.   Principal and Subsidiary Supervisors shall be appointed by the appropriate departmental/divisional Postgraduate Committee, or its equivalent body.
2.   Honorary members of staff may be appointed as either Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Faculty Graduate Tutor on behalf of the Research Degrees Committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research activity, including publications and grant income. Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 3.2 below.
3.   Retired members of staff shall not normally be appointed as supervisors except by the specific agreement of the Research Degrees Committee. In instances where a member of staff serving as Principal Supervisor retires, continued supervision by the staff member is only permissible if explicitly agreed by all parties (the student, the supervisor and department), and this decision is recorded by the department. In addition, the following arrangements must also be put in place and reviewed annually by all parties to confirm they are working effectively:
     i)   The existing Subsidiary Supervisor shall be appointed as joint Principal Supervisor with the retired member of staff;
     ii)   A third supervisor shall be appointed to the supervisory team as Subsidiary Supervisor.
4.   Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Such supervisors must have the status of honorary members of UCL staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees in the UCL Academic Manual.
5.   For more information on the role of the supervisor see the Code of Practice for Graduate Research Degrees.

3.2   Supervisors: Eligibility

1.   The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found in Eligible Staff Categories for Supervising Research Students on the Chapter 5 webpage of the UCL Academic Manual.
2.   UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3.   A Principal Supervisor should normally:
     i)   have satisfactorily completed any probationary period attached to his/her appointment;
     ii)   have expertise in the area of the proposed research;
     iii)   have had previous experience of at least one successful PhD, EngD, MD(Res) or MRes supervision, as appropriate, within a supervisory team (defined as having taken a student all the way through to a research degree award)
4.   A Subsidiary Supervisor should normally:
     i)   have expertise relevant to the area of proposed research;
     ii)   be familiar with the standards required for MPhil/PhD/EngD/MD(Res)/MRes research.

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5. In the case of EngD programmes, the Industrial Supervisor must also satisfy the requirements laid down above for the Subsidiary Supervisor.
6. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.
7. A Research Fellow (Grade 7) may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
   i) have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
   ii) be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.
8. Research Fellows on Grades 8 and above may be invited to act as Principal or Subsidiary Supervisors.

Further guidance

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.
2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of MPhil/PhD/EngD/MD(Res)/MRes supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

3.3   Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time research students at any one time.

Further guidance

1. The maximum number of students [head count], whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be nine, using the following formula:

For Principal Supervisors	
1 Part-Time student	0.5

For Subsidiary Supervisors	
1 Full-Time student	0.5
1 Part-Time student	0.25

2. Where a supervisor exceeds the maximum number of students under his/her supervision, the supervisor's department must be able to demonstrate that there are mechanisms in place to ensure adequate contact with the student and appropriate support for the supervisor, such as a large supervisory team and/or a reduction in other workloads.
3. For example, an individual may act as Principal Supervisor to four full-time students and one part-time student while acting as Subsidiary Supervisor for two part-time students. This is the equivalent of five full-time students and is within the head count of nine students. Consideration should be given to the other duties of the member of staff concerned. Departments/divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.
4. Part-time staff appointed as supervisors should supervise no more than six full-time research students on a pro-rata basis.

3.4 Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising, in accordance with the [UCL Personal Relationships Policy](#).

3.5 Transfer of Supervisor to another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor – if they choose to remain registered at UCL – normally by the Departmental/Divisional Graduate Tutor. Should a student wish to continue to work under the supervisor who has transferred, he or she may consider applying to transfer registration to the supervisor's new institution, providing he or she is not in the final year of the programme

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4 Completing Research Status

4.1 General

1. All research students who have completed their approved period of registration may register as CRS students while they write up their theses. Transfer to CRS status is only permitted with the approval of a student's supervisor or other departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full time) or two calendar years (part time). CRS registration cannot be interrupted; a student who is prevented from submitting a thesis for reasons beyond his or her control may apply for an extension, as detailed in 4.4 below.
3. An MPhil/PhD student must be registered for at least three calendar years full time or five calendar years part time before he or she will be eligible to take up CRS status. EngD students must be registered for four calendar years and MD(Res) students for a minimum of two calendar years before being eligible to take up CRS status. A student who changes from full to part time during the approved period of registration must have been registered for a minimum of one year part time before being entitled to two years of part-time CRS status.
4. In addition to completing the approved period of registration, a student must meet the following conditions before being permitted to take up CRS status:
   a) Have upgraded to PhD status (in the case of the MPhil/PhD programme) or confirmed entry to MPhil only;
   b) Be in a position to submit his or her thesis within 12 months (for full-time students) and 24 months (for part-time students);
   c) Have met any other departmental or divisional conditions.
5. MPhil candidates may also take up CRS under the same conditions as PhD candidates but will be required to confirm that they have not upgraded to PhD.
6. Further guidance is available from the Completing Research Status webpages.

4.2 CRS Student Entitlements

1. During the period of CRS registration, a student is entitled to have at least one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

Further guidance

1. Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
2. A CRS student in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a CRS student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's supervisor and Head of Department/Division.
3. The student's department/division may, at its discretion, give any other supervisory assistance during the writing up period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

4.3   Submission of Thesis

1. A student must submit a thesis for examination before the end of his or her CRS period. A student will remain registered after the submission of his or her thesis until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

4.4   Extensions to the Completing Research Period

1. A student who cannot submit a thesis for examination before the end of CRS due to circumstances outside his or her control may apply for an extension. The maximum period of extension is one year full time and two years part time.

Further guidance

1. Applications for extension to CRS must be made on Portico. Applications must be supported by a student's department and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the control of the student. Work commitments or any duties carried out for a department are not considered grounds for extension; submission of a thesis is expected to be a priority. Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments are expected to make arrangements for alternative supervision under such circumstances.

4.5   Submission of a Thesis after the end of CRS

1. A student who submits late will be liable for a Submission Extension Fee.
2. A student who does not submit a thesis before the end of his or her CRS registration will cease to be registered as a student at the end of this CRS period. He or she will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice. In addition, any student who wishes to submit after the end of his or her CRS registration will require permission to do so; this must be supported by a student's supervisor or other departmental authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department require this.

Further guidance

1. All students who submit after the end of their CRS registration will pay a fee equivalent to the part-time home fee current at the time (see Submission Extension Fees for Research Students). This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months. For submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission.

4.6   Resubmission of a Thesis

1. A student whose thesis is referred by his or her examiners for substantial revision within 18 months will remain registered as a submitted student on the basis of 4.3 above, provided the original submission was not after the expiry of a period of CRS status. He or she will have access to UCL facilities and will be entitled to have at least one draft of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before re-submission. If a student's revisions require more supervision or further access to UCL laboratories or other facilities, he or she may be required to re-register as a fee-paying student for the period of this supervision or access.

2. A student who is required to re-submit must re-enter for the examination by completing the Examination Entry Form available on Portico (see Research Degree Examination Entry webpages).

5 Final Examination

5.1 Requirements of a Thesis

5.1.1 Theses: General

1. The greater proportion of the work submitted in a thesis must have been undertaken after the registration of the student for the MPhil/PhD/EngD or MD(Res) degree.
2. The work in the thesis submitted by a student must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact.
3. A student will not be permitted to submit a thesis that has been submitted for examination for a degree, or comparable award, of this or any other university or institution. However, students may incorporate into a thesis previously examined fieldwork which they have already submitted for a degree or comparable award of this, or any other university or institution. In such a case this must be indicated on the Examination Entry Form and the incorporated fieldwork must be clearly identified as such in the thesis submitted for examination.
4. Students may submit the results of work done in conjunction with their supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated and the UCL Research Paper Declaration Form has been signed has been signed by the supervisor.
5. The decision of a student to submit a thesis should be made in consultation with the student's supervisor(s). The decision to submit a thesis in any particular form rests with the student alone.

Further guidance

1. An allowance may be made in the case of a student who has transferred from another institution (see Section 1: Admissions).
2. Students should also include in each copy of their thesis a signed declaration that the work presented is their own. This may be inserted between the title page and the contents page of the thesis in the following terms:

   'I, [Student's full name], confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.'

5.1.2 Requirements of a PhD/EngD Thesis

1. A thesis for the awards of EngD or PhD degree shall be examined in accordance with the criteria prescribed by UCL and the thesis shall demonstrate that it:
   a) is genuinely the work of the candidate;
   b) shows a student's capacity to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;
   c) embodies the results of a research programme which may reasonably be expected of a student after three years of full-time study or the part-time equivalent, formulated and carried out by the student in consultation with the supervisors;
   d) consists of a student's own account of their investigations, the greater proportion of which shall have been undertaken during the period of registration under supervision for the degree;
   e) represents a distinct and significant contribution to the subject, whether through the discovery of new knowledge, the connection of previously unrelated facts, the development of new theory, or the revision of older views;
   f) shows the exercise of critical judgement with regard to both a student's own work and that of other scholars in the field;
   g) is an integrated whole and presents a coherent argument;
   h) gives a critical assessment of the relevant literature, describes the method of research and its findings, includes discussion on those findings and indicates in what respects

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they appear to the student to advance the study of the subject; and, in so doing, demonstrates a deep and synoptic understanding of the field of study, (a student being able to place the thesis in a wider context), objectivity and the capacity for judgement in complex situations and autonomous work in that field.

   i)   is satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;
   j)   takes due account of previously published work on the subject;
   k)   makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;
   l)   contains an element which might, after any necessary revision, merit publication in a medium appropriate to the discipline (for example as a monograph or as a number of articles in learned journals);
   m)   shows a student's ability to design and implement an independent research project.
2. A series of papers, whether published or otherwise, is not acceptable for submission as a thesis. Research work already published, or submitted for publication, at the time of submission of a thesis, either by a student alone or jointly with others, may be included in the thesis. The PDFs of published papers themselves may not be included in the body of a thesis. Sections of published work could be included word-for-word providing a) the publication has been referenced; and b) the UCL Research Paper Declaration Form has been completed. However, it is expected that inclusion of any such material will: ensure the style matches that of the rest of the thesis, both in formatting and content; add additional information/context where beneficial, e.g. additional background/relevant literature, more detailed methods; offer additional data not included in the publication, e.g. preliminary data, null findings, anything included in supplementary materials. The PDF of the publication may be bound as supplementary material at the back of a thesis.

5.1.3   Requirements of an MPhil Thesis

1. A thesis for the award of an MPhil degree shall be examined in accordance with the criteria prescribed by UCL and the thesis shall demonstrate that it:
   a)   is genuinely the work of the candidate;
   b)   consists of the candidate's own account of their investigations and indicates in what respects they appear to them to advance the study of the subject;
   c)   represents a contribution to the subject, either through a record of the candidate's original work or a critical and ordered exposition of existing knowledge;
   d)   takes due account of previously published work on the subject;
   e)   makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;
   f)   is an integrated whole and presents a coherent argument;
   g)   is satisfactory as regards literary presentation;
   h)   has a full bibliography and reference.
2. A series of papers, whether published or otherwise, is not acceptable for submission as a thesis. Research work already published, or submitted for publication, at the time of submission of a thesis, either by a student alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of a thesis but may be adapted to form an integral part of a thesis and thereby make a relevant contribution to the main theme of a thesis. Publications derived from the work in a thesis may be bound as supplementary material at the back of a thesis.

5.1.4   Requirements of an MD(Res) Thesis

1. A thesis for the MD(Res) degree will deal with any branch of medicine, or surgery or medical or dental science. It is a condition of the award of the degree that the clinical research involved in the thesis shall conform to high ethical standards. If UCL is not satisfied on this point, the degree will not be awarded irrespective of the merit of the thesis in other respects.
2. The thesis shall:
   a)   demonstrate it is genuinely the work of the candidate;

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b)   consist of the candidate's own account of his/her investigations, the greater proportion of which shall have been undertaken during the period of registration under supervision for the degree;

c)   form a distinct contribution to the knowledge of the subject and afford evidence of originality by the discovery of new facts and/or by the exercise of independent critical power;

d)   be an integrated whole and present a coherent argument;

e)   give a critical assessment of the relevant literature, describe the method of research and its findings, include discussion on those findings and indicate in what respects they appear to the candidate to advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study (the candidate being able to place the thesis in a wider context), objectivity and the capacity for judgment in complex situations and autonomous work in that field;

f)   include a full bibliography and references;

g)   demonstrate research skills relevant to the thesis being presented;

h)   be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

3.   A series of papers, whether published or otherwise, is not acceptable for submission as a thesis. Research work already published, or submitted for publication, at the time of submission of a thesis, either by a student alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of a thesis but may be adapted to form an integral part of a thesis and thereby make a relevant contribution to the main theme of a thesis. Publications derived from the work in a thesis may be bound as supplementary material at the back of a thesis.

5.1.5   Language of a Thesis

1.   All theses must be written in English.

2.   For candidates in the field of foreign language and literature, the decision about which language the thesis should be written in would be made by the Faculty Graduate Tutor following consultation with the supervisor(s) and the School/ Departmental Graduate Tutor at the outset of research. The decision would be reviewed at six months.

3.   The English abstract is a compulsory additional submission and standard English Language skills are required.

4.   In all cases, the oral examination of a thesis would normally be conducted in English.

Further guidance

1.   Submission of a thesis in a language other than English applies only to theses in the field of foreign language or literature submitted by students in the following Departments of UCL: the School of European Languages, Culture and Society, Hebrew and Jewish Studies and the School of Eastern European and Slavonic Studies.

2.   The criteria for agreeing to another language would include linguistic reasons, the broader academic context, research impact, dissemination of research and the availability of examiners.

3.   The decision would take into account the feasibility of supervising and examining a PhD in a language other than English.

4.   A request to write the PhD in another language made after six months should be submitted by the department and faculty and should be referred to the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk.

5.   When a candidate has been granted approval for a thesis to be submitted in a language other than English researchdegrees@ucl.ac.uk must be informed.

5.1.6   Word Length of a Thesis

1.   The maximum word lengths for theses are:

- PhD/EngD degree: 100,000 words
- MPhil degree: 60,000 words
- MD(Res) degree: 50,000 words

- Documentary Track PhD: 60,000 - 70,000 words, accompanied by a film of 20-30 minutes

2. The maximum word lengths include footnotes, tables and figures but exclude bibliography, appendices and supporting data.

Further guidance

1. The above prescribes the maximum allowable length for MPhil/EngD/PhD/MD(Res) theses, not necessarily the preferred length. In many instances supervisors may wish to recommend a shorter length. Students should consult their supervisors on the usual length of theses in their subject area or topic.
2. The signature of the student and the Principal Supervisor on the Examination Entry Form to the MPhil, PhD, EngD or MD(Res) examinations (see the Research Degree Examination Entry webpages) shall be taken as confirmation that the thesis submitted is within the required word limit
3. 'Supporting data' refers largely to raw data which is not essential to the argument of the thesis. Appendices are not in the word count and should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish. Examiners are not required to read beyond the maximum word limits. Where the thesis itself is an edition of a text or texts, normally in the field of literature, the above word limits may not apply.
4. Students registered for Professional Doctorate awards should refer to the specific programme regulations for their thesis word lengths and other elements of their programmes that are examined as part of the doctorate.

5.1.7 Format of a Thesis

1. The thesis should be submitted in the format determined by UCL at the time of submission. Further information and guidance is available on the Thesis Formatting webpages and on the Research Degree Examination Entry webpages. Some exceptions are made for students in the fields of Fine Art, Design, Architecture and Town Planning as detailed on the Thesis Formatting webpages.

5.1.8 Approval of a Thesis Title

1. A student must have the title of his/her thesis approved by his/her Principal Supervisor.
2. The approved title is submitted to UCL on the Examination Entry Form submitted to researchdegrees@ucl.ac.uk.

5.1.9 Availability of a Thesis

1. After the examination has been completed and before the degree is awarded, successful students must submit one electronic copy to UCL, via the Research Publications Service (RPS), for lodging in the UCL library.
2. A soft-bound copy of the thesis may also be submitted to the UCL Library, if desired. This may include artefacts related to non-traditional formats of a thesis. Further information and guidance is available on the Thesis Formatting webpages.
3. The process of final thesis submission, both the electronic and optional hard copy, is managed by the Open Access Team.
4. A student may apply to UCL at the time of registration or thereafter, for restriction of access to their thesis and/or the abstract of their thesis on the grounds of commercial exploitation or patenting. In very exceptional circumstances, if the thesis includes material that is significant for national security, subject to approval of UCL, copies of the thesis placed in the public domain, with the agreement of the graduate concerned, may have certain parts excised from them. Applications to restrict access to a thesis should be made via the Library.

5.2 Examination Entry

5.2.1 Examination Entry Form: MPhil/PhD/EngD/MD(Res)

1. Before the thesis is submitted for examination, an Examination Entry Form must be submitted to UCL.
   i) The Examination Entry Form may not be submitted earlier than six months before the completion of the prescribed programme and must be submitted not later than four months before the submission of the thesis. For the entry form and more information, see the Research Degree Examination Entry webpages.
   ii) A student is required to submit to his/her supervisor a short description of the content of the thesis in about 300 words, the short description must be submitted to the Registry with the Examiner Nomination Forms, to assist in the appointment of suitable examiners (see Research Degree Examination Entry webpages for more details).

5.2.2 Thesis Submission: MPhil/PhD/EngD/MD(Res)

1. Prior to examination, candidates are required to submit their e-thesis to UCL for dispatch to their examiners. Further information and guidance is available on the Thesis Formatting webpages.
2. After the examination and before the award is made, candidates entering for a UCL award are required deposit one e-thesis in the UCL Institutional Repository.

   Further guidance

1. A candidate for the EngD, PhD, MPhil or MD(Res) degree is required to bring to the oral examination a copy of his/her thesis which is identical to the copies submitted to researchdegrees@ucl.ac.uk. Further information and forms are available on the Research Degree Examination Entry webpages and on the Thesis Formatting webpages.
2. Further information on the thesis submission for Practice-Led programmes is available from the Thesis Formatting webpages.

5.2.3 Dispatch of Theses to Examiners

1. A thesis will be sent, via researchdegrees@ucl.ac.uk, to both examiners at least four weeks in advance of an oral examination.
2. Examiners will normally use an electronic copy of the thesis, but an Examiner may request the student provide a hardcopy, if required. Further information and guidance is available on the Thesis Formatting webpages.
3. Direct submission of theses to examiners by students, supervisors or departments/ divisions is not permitted.

   Further guidance

1. All theses will be submitted to UCL via researchdegrees@ucl.ac.uk. Theses will be sent to both examiners by UCL Student Records. Supervisors and students should note that theses will only be sent to examiners who have been formally appointed by UCL and only after the Examination Entry Form has been submitted in accordance with the Examination Entry Guidelines on the Research Degree Examination Entry webpages.
2. Supervisors and students for examination should ensure that all examination entry requirements have been met in good time before a planned oral examination takes place.
3. Oral Examinations cannot proceed if the requirements for the examination entry, including the formal appointment of examiners, have not taken place in accordance with UCL regulations. The outcome of any examination conducted in such an instance would be void.

5.2.4 Reasonable Adjustments

1. Under the Equality Act 2010, UCL is required to make Reasonable Adjustments to learning, teaching and assessment to ensure that disabled students are not put at a substantial disadvantage. UCL can also provide Reasonable Adjustments for students who might not consider themselves to have a 'disability' but who nevertheless would benefit from additional support with their studies due to an ongoing medical or mental health condition. For further

information about Reasonable Adjustments, and how to apply, please see Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions.

5.3 Appointment of Examiners

The Appointment of Examiners for Research Degrees

1. Two examiners will be appointed for each candidate in accordance with the UCL Procedures for the Appointment of Examiners (see the Chapter 5 webpage for more details). One of the examiners shall be external to UCL; the other shall normally be a member of staff of UCL.

Further guidance

1. For each student, two examiners shall be appointed by the UCL Research Degrees Committee on the recommendation of the appropriate Departmental and Faculty Postgraduate Committees or equivalent bodies. Two external examiners may be appointed in lieu of an internal examiner if, on grounds of academic expertise or other reasons, a suitable individual within UCL cannot be nominated.
2. An examiner shall not have acted as either Principal or Subsidiary Supervisor of the thesis to be examined, nor have been involved in any way with the candidate or project to be examined, including the MPhil to PhD upgrade process.
3. In the case of a student who is a member of staff of UCL, no examiner may be appointed who is internal to UCL if they are from the same department as the student or supervisor(s). However, where nobody else is available with sufficient expertise an examiner from the same department may be appointed if a Viva chair is used.
4. It is desirable that no examiner, either internal or external, should be appointed on more than three consecutive occasions for the same supervisor. Generally, supervisors and departments are asked to avoid repeatedly nominating the same person as an examiner, or nominating each other to act for the other's student, within a short time frame.
   a) External Examiners:
   Normally, an individual external examiner should not be appointed more than once during a given year by members of the same UCL department[1].
   b) Internal Examiners:
   Normally, an individual internal examiner should not be appointed more than five times during a given three year period by members of the same UCL department.
5. N.B. The appointment criteria for examiners for the University of London MPhil/PhD are different to those for the UCL degree. Candidates for the University of London degree will normally have two examiners appointed, one of whom will be external to the University of London; the other will be internal to the University of London and preferably from a different College to that of the candidate and supervisor.
6. Further guidelines for the appointment of examiners and nomination forms are available on the Chapter 5 webpage.

5.3.1 The Appointment of Additional Examiners

1. Exceptionally a third examiner, who must be external to UCL, may be appointed with the approval of UCL.
   i) Exceptionally a third examiner may be appointed with the approval of the UCL Research Degrees Committee. A third examiner will be appointed in cases where, between them, the two examiners do not feel they have a sufficient level of expertise to examine the thesis.
   ii) A third examiner may also be appointed where there is a dispute between two examiners about the result of an examination which they cannot resolve between themselves.
   iii) In accordance with UCL regulations, the third examiner must be external to UCL.

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[1] 'Department' here refers to 'Research Department' in the case of the Faculty of Life Sciences and 'Division / Institute' in the case of the Faculty of Medical Sciences, Brain Sciences and Population Health Studies.

iv) In the case of the University of London MPhil/PhD, the third examiner must be external to the University of London.

v) The third examiner will, however, be nominated and appointed through usual UCL procedures and using the [Examiner Nomination Form on the Chapter 5 webpages](#).

5.4 Conduct of the Research Degree Examination

1. The examiners shall prepare independent preliminary reports on the thesis, conduct an oral examination and submit a final, joint report to UCL.
2. The candidate's supervisor shall be invited, unless the candidate indicates otherwise on his/her entry form, to attend the oral examination as an observer. The oral examination will otherwise be conducted in private.
3. The oral examination should be held at UCL or held remotely and the agreed configuration noted on the Examination Entry Form.
4. Where no configuration can be agreed the oral examination should be held at UCL by default.
5. Where the oral examination is held remotely it is recommended that the supervisor or other designated contact in the student's department is available at the time of, and after, the viva to provide technical and emotional support if needed.

Further guidance

1. The examiners shall prepare independent preliminary reports on the thesis to assist in conducting the oral examination. Copies of the preliminary reports for MPhil, PhD and EngD students should be submitted to researchdegrees@ucl.ac.uk together with the final, joint report. The preliminary and joint reports will be released to students.
2. Examiner report forms and procedural information are available from the [Chapter 5 webpages](#).
3. Each final, joint report by the examiners shall indicate whether the thesis meets the requirements specified in [Section 5.1](#) as appropriate and shall include a statement on the examiners' judgement of the student's performance. Examiners have the right to make comments in confidence to UCL in a separate report. Such comments should not be concerned with the performance of the student but may cover matters which they wish to draw to the attention of UCL.
4. All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of material contained in a student's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, have been removed.
5. The supervisor who attends the oral examination does not have the right to participate in the examination of the candidate but may contribute if invited to do so by the examiners. Otherwise the oral examination shall be held in private.
6. UCL may exceptionally agree that the examination be conducted outside London if there are circumstances which make this expedient. Applications to hold an oral examination outside of London should be made in writing to the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk.
7. For further guidance on the conduct of an oral examination, students and staff should also refer to the UCL Doctoral School's [Code of Practice for Graduate Research Degrees](#).

5.5 Outcomes of the Oral Examination

5.5.1 Outcomes of the Oral Examination: PhD/EngD Degrees

1. Students for a PhD/EngD degree must submit a thesis and be examined orally. The following options are open to examiners in determining the result of an examination for the PhD/EngD degrees:

a) If the thesis fulfils the criteria (set out in [5.1.2](#)) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student has satisfied them in the examination and the award of the PhD degree should be made or, in the case of the EngD, the student has passed the research component of the award.

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b) If the thesis otherwise satisfies the criteria (set out in 5.1.2) but requires minor amendments, and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within three months, amendments specified by them. The amended thesis shall be submitted to the examiners, or one of their numbers nominated by them, for confirmation that the amendments are satisfactory.

c) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present their thesis in a revised form within 18 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for the PhD degree for 18 months for re-submission in a revised form, on one occasion only.

d) If the thesis fulfils the criteria (set out in 5.1.2), but the student fails to satisfy the examiners at the oral examination, the examiners may determine that the student be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 18 months.

e) If, after completion of the examination for the PhD degree (but not in the case of the EngD, see below), the examiners determine that a student has not reached the standard required for the award of the degree nor for the re-presentation of the thesis in a revised form for that degree, they may determine that the student may submit the thesis, in a revised form for the award of the MPhil degree.

f) The examiners may determine that the student has not satisfied them in the examination and no award will be made.

g) The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

2. In the case of a thesis for the PhD that is referred for 18 months, examiners may determine that the re-examined thesis, if it still does not meet the necessary criteria for the PhD degree, may be re-submitted for the MPhil degree.

3. In the case of an examination for the EngD, the award of the degree is also conditional upon students passing all taught elements of their programme of study. EngD candidates who fail the thesis element may be awarded an MRes degree, based on the taught courses they have passed, at the discretion of the EngD Board of Examiners.

Further guidance

1. Staff and students should also refer to the Doctoral School's Code of Practice for Graduate Research Degrees for further guidance on the examination of research degree students.

5.5.2 Outcomes of the Oral Examination: MPhil Degree

1. Students for the MPhil degree must submit a thesis and be examined orally. There are five options open to examiners in determining the result of the examination as follows:

a) If the thesis fulfils the criteria (set out in 5.1.3) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student should be awarded the degree of MPhil.

b) If the thesis otherwise fulfils the criteria (set out in 5.1.3) but requires minor amendments, and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make within three months amendments specified by them. The amended thesis shall be submitted to the examiners, or one of their numbers nominated by them, for confirmation that the amendments are satisfactory.

c) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present his/her thesis in a revised form within 12 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for the MPhil degree for 12 months for re-submission in a revised form on one occasion only.

d) If the thesis fulfils the criteria (set out in 5.1.3) but the student fails to satisfy the examiners at the oral examination, the examiners may determine that the student be

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permitted to re-present the same thesis and submit to a further oral examination within a period specified by them and not exceeding 12 months.

e) The examiners may determine that the student has not satisfied them in the examination and no degree award will be made.

2. The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

Further guidance

1. Staff and students should also refer to the Code of Practice for Graduate Research Degrees for further guidance on the examination of research degree students.

5.5.3   Outcomes of the Oral Examination: MD(Res) Degree

1. Students for the MD(Res) degree must submit a thesis and be examined orally. There are five options open to examiners in determining the result of the examination as follows:

a) If the thesis fulfils the criteria (set out in 5.1.4), and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student should be awarded the degree of MD (Res).

b) If the thesis otherwise fulfils the criteria (set out in 5.1.4) but requires minor amendments, and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make within three months amendments specified by them. The amended thesis shall be submitted to the examiners, or one of their numbers nominated by them, for confirmation that the amendments are satisfactory.

c) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present his/her thesis in a revised form within 18 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for the MPhil degree for 18 months for re-submission in a revised form on one occasion only.

d) If the thesis fulfils the criteria (set out in 5.1.4), but the student fails to satisfy the examiners at the oral examination, the examiners may determine that the student is permitted to re-present the same thesis and submit to a further oral examination within a period specified by them and not exceeding 18 months.

e) The examiners may determine that the student has not satisfied them in the examination and no degree award will be made.

2. The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

Further guidance

1. Staff and students should also refer to the Code of Practice for Graduate Research Degrees for further guidance on the examination of research degree students.

5.6   Research Misconduct

5.6.1   Research Misconduct: Initiation of Proceedings

1. Cases of suspected research misconduct, including plagiarism, shall be investigated in accordance with the UCL Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research. Exceptions to this requirement are set out below.

5.6.2   Extent of Misconduct: Action Open to a Department/Division

1. The following instances of research misconduct may be dealt with by the department/division concerned:

i) A first instance of plagiarism in the early stages of the programme of study.

ii) A first instance of misrepresentation of results in the early stages of the programme of study.

Further guidance

1. The following instances of research misconduct may be dealt with by the department/ division concerned:
   a) A first instance of plagiarism in the early stages of the programme of study (i.e. prior to upgrading to MPhil/PhD on the PhD programme, or at the end of the first year of study on the MPhil programme), including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent.
   b) A first instance of plagiarism (including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent) in the later stages of the programme of study (after upgrade to MPhil/PhD on the PhD programme) in which (a) no more than 30% of the work in question can be demonstrated to have been plagiarised, or (b) in the case of plagiarised data, statistics etc., it can be demonstrated that they are not the main findings or among the main findings on which the argument of the thesis rests.
   c) A first instance of misrepresentation of results in the early stages of the programme of study (prior to upgrading to MPhil/PhD).
   d) A first instance of misrepresentation of results in the later stages of the programme of study (after upgrading to PhD on the PhD programme, or after the first year of study on the MPhil programme) which is judged to have been owing to error, misunderstanding or other extenuating circumstances.

5.6.3 Extent of Misconduct: Action Open to UCL

1. The following instances of research misconduct shall be referred to the Registrar:
   i) any instance of plagiarism, except those covered in Section 5.6.2 above;
   ii) any repeated instance of plagiarism;
   iii) any instance of misrepresentation;
   iv) any instance of piracy or fraud;
   v) any instance of any kind of research misconduct which appears in published work;
   vi) submission of a thesis for examination by a student when an allegation of research misconduct has been made.

Further guidance

1. The following instances of research misconduct must be referred for action by UCL:
   a) Any instance of plagiarism (including suspected collusion [2]) other than a first instance falling under Section 5.6.2 above in which more than 30% of the work can be demonstrated to have been plagiarised or, in the case of plagiarised data, statistics etc. it can be demonstrated that they are the main findings or among the main findings on which the argument of the thesis rests.
   b) Any repeated instance of plagiarism after a warning has been given, whether or not it exceeds 30%, or involves data, statistics etc. which are not among the main findings on which the argument of the thesis rests.
   c) Suspected use of another student's or person's work without that student's knowledge and consent.
   d) Any instance of misrepresentation other than a first instance falling under Section 5.6.2.
   e) Any instance of piracy or fraud, as defined in the UCL Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research.
   f) Any instance of any kind of research misconduct which appears in published work, whether or not the work appears before or after the examination for MPhil/PhD.
   g) Submission of a thesis after the student has been warned not to submit it because of an allegation of research misconduct.
2. Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research are available from the Research Governance website.

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[2] Where collusion between two or more students is established, all students concerned will be penalised.

5.6.4 Research Misconduct Discovered after Successful Completion of an Examination

1. UCL has the right to rescind an award if research misconduct is discovered after the examination of a thesis.

5.7 Appeals

1. Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of and Upgrade Panel or Examiners is not valid grounds for an appeal.

5.8 Graduation Ceremonies

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications (see the UCL Graduation Ceremonies website).
2. 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. For further information see the Graduation: Academic Robes web pages.

6   Visiting Research Students

1. Visiting Research Students may register for between 3 and 12 months at UCL to undertake research which is complementary to the Doctoral/PhD project they are undertaking at the university in which they are enrolled. Applications for longer periods of registration can be considered, but require special permission from UCL before students start their registration. A department/division wishing to make an offer to an applicant for a period in excess of 12 months is required to submit a statement of the case for acceptance, via researchdegrees@ucl.ac.uk, to the Chair of the Research Degrees Committee [RDC].
2. Requests for extensions to the agreed registration period can be considered but require the support of both the UCL host department and the student's home institution. Departments seeking an extension to a student's Visiting Research Student status should contact researchdegrees@ucl.ac.uk confirming their support and including a statement of support from the home institution.

Arrangements for Supervision

1. Each Visiting Research Student will work under the guidance of a suitably qualified and approved UCL research supervisor during their time at UCL (see Section 3 for Supervisor Eligibility Criteria) and the supervisor must be recorded against their Portico record in the normal way. Visiting Research Students are not required to have both a Principal and Subsidiary Supervisor as is the case for UCL students; they typically have one supervisor allocated to oversee their work.
2. Visiting Research Students are not required to use the Online Research Student Log.
3. Further information for UCL supervisors is available in the Guidelines for Supervising Visiting Research Students on the Chapter 5 webpage.

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UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part B: Professional Doctorate Regulations

Covering DCCS, DClinPsy, DDent, DEdPsy (Brain Sciences), DOrth and DPsychotherapy programmes

1   Admissions

1.1   Standard Qualifications for Admission

1. The normal minimum entrance qualification for registration for professional doctorate programmes is:
    i)   An upper second class honours degree of a UK university or an overseas qualification of an equivalent standard obtained after a programme of study extending over not less than three years in a university (or educational institution of university rank), in a subject appropriate to that of the programme to be followed; or
    ii)   A registrable qualification appropriate to the programme to be followed awarded by a UK university, or a qualification of an equivalent standard appropriate to the programme to be followed awarded by a university (or educational institution of university rank) outside the UK; or
    iii)   A Masters degree from a UK university in a subject appropriate to the programme to be followed; or
    iv)   A professional or other qualification obtained by written examination and approved by UCL as an appropriate entrance qualification for the degree in question.

    Further guidance

1. Specific qualifying criteria and additional requirements (such as relevant work experience) may also be required for applicants to individual programmes.
2. Students applying for entry to professional doctorate programmes should refer to relevant literature provided by individual programmes.
3. For programmes where students may potentially come into unsupervised contact with children and/or vulnerable adults, the programme will seek an enhanced disclosure certificate from the Disclosure and Barring Service.
4. In addition to an enhanced disclosure certificate, some programmes require further checks under the provisions of relevant legislation covering individuals who work with vulnerable individuals (e.g. the Protection of Children Act and Protection of Vulnerable Adults Act). UCL reserves the right to bar applicants or de-register students who are given an unsatisfactory review by the Disclosure and Barring Service.
5. Applicants who have a disability should inform the programme of this on their application. This will ensure that any special requirements can be put in place.
6. Applicants with disabilities should contact UCL's the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) if they have any general queries about facilities at UCL before submitting their application.

1.2   English Language Requirements

1. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.

1.3   Programme-specific Entry Criteria

1. **DClinPsy Clinical Psychology:** The minimum entrance qualification for registration for the degree of Doctor in Clinical Psychology is an upper second class honours degree with Psychology as the main field of study, or an appropriate Masters Degree or Diploma, qualifying the applicant for Graduate Basis for Chartered Membership (GBC) registration with the British Psychological Society (or an equivalent overseas qualification). Applicants should also have at least one year's relevant clinical experience. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such clinical experience.
2. **DDent Paediatric Dentistry:** The entrance requirements are an approved dental qualification plus a minimum of two years' clinical experience prior to the commencement of studies.

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3. **DEdPsy Educational and Child Psychology:** The minimum entrance qualification for registration for the degree of DEdPsy is an upper second class honours degree with Psychology as the main field of study, or an appropriate Masters degree or Diploma of a United Kingdom university (or an equivalent overseas qualification), qualifying the applicant for graduate basis for chartered membership (GBC) with the British Psychological Society. Candidates will normally be required to have gained at least one year's experience of working with children within educational, childcare or community settings. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such relevant work experience.

4. **DEdPsy Educational Psychology:** The entrance qualification for registration for the degree of DEdPsy for holders of the MSc Educational Psychology is:
   - A Masters (or equivalent level) qualification in Educational Psychology; and
   - An appropriate proposal for training which identifies a topic for the thesis, linked to the candidates current occupational responsibilities as an applied psychologist.

5. **DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy:** The minimum entrance qualification for registration for the degree is a Masters degree in psychoanalytic developmental psychology or an equivalent postgraduate qualification. Candidates will normally be required to have gained at least one year's experience of working with children within educational, mental health or community settings. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such relevant work experience.

6. **Doctorate in Orthopaedics Trauma and Orthopaedics:** The entrance requirements for the Doctorate in Orthopaedics Trauma and Orthopaedics is a medical degree (either MBBS or equivalent) with General Medical Council registration, or Membership of the Royal College of Surgeons (MRCS), or Higher Surgical Training number in Trauma and Orthopaedics.

1.4   Alternative Qualifications for Admission

1. Applicants possessing alternative qualifications may also be considered by UCL for registration.
   i) Applicants who possess a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in Sections 1.1 and 1.2, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
   ii) Applicants who possess a qualification obtained by written examination other than those covered above, if UCL is satisfied that the student's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the students who are able to satisfy the entrance requirements in one of the ways prescribed above.
2. UCL may prescribe a qualifying examination for such an applicant prior to admission.

Further guidance

1. Departments/divisions wishing to admit such an applicant, as described above, must obtain written authorisation from the appropriate Faculty Graduate Tutor via Admissions in Student & Registry Services. An applicant for registration may also be required to pass a qualifying examination.
2. Applicants are required to meet UCL's English Language proficiency requirements. Information about English Language proficiency requirements is available from the Prospectus.
3. Where the English Language proficiency requirements of relevant professional or regulatory bodies are more stringent, these will apply. Students should refer to literature provided by individual programmes for further information.
4. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 1: Student Recruitment and Admissions.

2   Registration

2.1   Application and Initial Registration

1. An applicant will be registered initially at the level of degree specified by the professional doctorate programme.
    i)   Applicants should consult relevant literature provided by individual programmes for information about application procedures.
    ii) An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration i.e. the original diploma or certificate of the awarding body.

2.2   Course of Study – General

1. All students undertaking professional doctorates are required to pursue a course of study prescribed by UCL.
2. Programmes of study will require the completion of a specified number of taught components and (where applicable) practicum assignments, in addition to a research thesis, and may require attendance at lectures.
3. A student's registration on a programme will be dependent upon their continued satisfactory progress as determined by UCL.

Further guidance

1. Students should refer to individual programme regulations for details of course of study and the requirements for progression between each year of the programme.
2. Where an appropriate Masters level exit award is specified in individual programme regulations, a student who has passed the taught (and where applicable) practicum elements in any academic year, but is deemed unable to progress to the subsequent year, may be eligible for the award of the Masters qualification. This could apply both to students who have not met the criteria for progression, and to those who have met the progression criteria but who are unable to continue for financial or any other reasons.
3. It will be the responsibility of the Board of Examiners to decide on eligibility for the award of the Masters qualification.

2.3   Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL.
2. Students must be in a position to meet all the requirements determined for their studies.

Further guidance

1. Students, whether full-time or part-time, are expected to centre their academic studies on UCL.
2. Students should reside within a distance that enables them to attend personally for studies and meetings as required by their supervisors.
3. Students must obtain approval before they leave to collect or study material remote from UCL or work in remote facilities.

2.4   Duration of a Programme of Study

1. The length of full-time professional doctorate programmes is normally three years' full time.
2. Students may not interrupt their period of registration without prior permission from UCL.
3. Unless prior exemption from a part of the programme has been agreed, students must be registered for the duration of the programme before they will be eligible to adopt Completing Research Status (see Section 5).

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Further guidance

1. Students should refer to individual programme regulations for details of the duration of study and of any arrangements for part-time study.
2. The minimum registration period for Professional Research Doctorates or Continuing Professional Development (CPD) Doctorates for holders of Masters professional qualifications in the same area of professional practice is two years full time or four years part time.

2.5   Annual Leave

1. Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.
2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.
3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.
4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.
5. Funded Students must ensure they continue to meet their funder Terms & Conditions.
6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

2.6   Interruption of Study

1. Interruption of study may be granted on the authorisation of the Director of Student Administration, on behalf of the Research Degrees Committee, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar year and any further period of interruption of study will be considered one year at a time. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not normally be considered grounds for interruption of studies.
2. Interruption of study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:
i)   The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts;
ii)   The date when the submission of the thesis falls due following resumption of study falls within ten years of the date of original registration;
iii)   Written assurances that the research will still be valid are provided by the supervisor and/or the Head of Department, with supporting documentation.
3. The Students website provides further detail on the Interruption of Study Procedure.

2.7   Change of Degree Programme

1. For professional doctorate students, transfers between degree programmes are not normally permitted, except where procedures for transfer are explicitly described in individual programme regulations.

2.8   Proof of Identity

1. All students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment cannot occur.

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2.9   UK/EU/EEA-Based Students

1. UK/EU/EEA Based Students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

    Further guidance

1. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
    a) A UK photo driving licence, a European National Identity Card or Armed Forces Identity Card; or
    b) An original birth certificate, adoption certificate or certificate of naturalisation.
2. No other forms of identification are acceptable.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.

2.10   Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements, presentation of a valid passport is a mandatory requirement for students who require a visa to study in the UK, and no other forms of identification will suffice. Enrolment will not take place without presentation of a valid passport and visa.
2. For further details on UK immigration requirements see the UCL Immigration and Visa Information webpages.

2.11   Dual Registration

1. Students are not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

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3   Structure of a Professional Doctorate

1. The structure of a professional doctorate will normally contain the following programme components:
   - A taught component
   - A research component
   - Practicum assignments and assessments
2. Each element of the programme will be assessed separately and the student will be expected to build a satisfactory portfolio of passed assessments which will be examined both during the programme and at its conclusion.
3. In order to be awarded a professional doctorate, students must demonstrate satisfactory attendance and performance in each component.

Further guidance

1. Satisfactory performance in each component of the professional doctorate is described in the regulations provided by each department/division which specifies the minimum requirements to qualify for the award associated with each programme of study.
2. In all cases assessment will include a thesis describing an original piece of research completed to doctoral standards.
3. Individual programmes will specify the range of further assessments which may include unseen examinations, observed performance in practicum assignments and coursework related to the assessment of the practicum.
4. Oral examinations will consider the student portfolio, including the outcomes of practicum assignments and assessments and related coursework, and the research dissertation.

4 Supervisory Arrangements for the Research Thesis

4.1 Supervisors: General

1. Each UCL student registered for a professional doctorate shall have appointed a Principal Supervisor who shall be a member of staff of UCL or an appropriately qualified member of staff of an institution with an approved agreement with UCL.
    i) Principal Supervisors shall be appointed by the departmental/divisional postgraduate committee specific to the doctoral programme, and their appointment approved by the Faculty Graduate Tutor on behalf of the Faculty Postgraduate Teaching Committee.
    ii) Individual programmes will appoint a Subsidiary Supervisor to each student whose role will be to keep acquainted with the progress of the student's work, to be present at, at least, annual supervisory meetings, to provide for continuity of supervision in the event of the absence or departure of the Principal Supervisor and (where the Principal Supervisor considers it desirable) to contribute a second opinion or additional areas of expertise. Their appointment will be approved by the departmental/divisional Graduate Tutor.
    iii) The oversight associated with the role of Subsidiary Supervisor can be carried out by a named individual acting on behalf of the programme, whose function will be to monitor the quality of supervision and the consistency and continuity of supervision offered by the Principal Supervisor, and to take action to remedy any concerns in these areas. This person should satisfy the eligibility requirements for the Principal Supervisor, but will not be subject to any limits in the number of students to whom they are allocated. This arrangement will be approved by the departmental/divisional Graduate Tutor.
    iv) Students should refer to individual programme documentation for details of supervisory arrangements.
    v) Honorary members of academic staff may be appointed as Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate departmental/divisional postgraduate committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research expertise (e.g. publications, grant income and professional experience). Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 4.2 below.
    vi) Retired members of staff shall not be appointed as supervisors except by the specific agreement of the Faculty Graduate Tutor. Supervisors who retire from UCL after appointment shall be permitted to act as supervisors to their current research students until such students submit their theses for examination.
    vii) Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Principal and Subsidiary Supervisors must have the status of honorary members of UCL academic staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees.

4.2 Supervisors: Eligibility

1. The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found in Eligible Staff Categories for Supervising Research Students on the Chapter 5 webpage of the UCL Academic Manual.
2. UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3. A Principal Supervisor should normally:
    i) Have satisfactorily completed any probationary period attached to his/her appointment;
    ii) Have expertise in the area of the proposed research;

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iii) Have had previous experience of at least one successful doctoral supervision, as appropriate, within a supervisory team (defined as having taken a student all the way through to a research degree award);
4. A Subsidiary Supervisor should normally:
i) Have expertise relevant to the area of proposed research;
ii) Be familiar with the standards required for doctoral research.
5. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.
6. A Research Fellow (Grade 7) may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
i) Have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
ii) Be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.
7. Research Fellows on Grades 8 and above may be invited to act as Principal or Subsidiary Supervisors.

Further guidance

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.
2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of doctoral supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

4.3 Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time doctoral students at any one time.
2. Calculating the number of full-time supervisees is based on the formula that each professional doctorate student is equivalent to 0.75 of an MPhil/PhD student.
i) The maximum number of supervisees, whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be six, using the following formula:

For Principal Supervisors:	
1 full-time professional doctorate student	0.75
1 part-time professional doctorate student	0.4
1 full-time MPhil/PhD student	1.0
1 part-time MPhil/PhD student	0.5

For Subsidiary Supervisors:	
1 full-time professional doctorate student	0.4
1 part-time professional doctorate student	0.2
1 full-time MPhil/PhD student	0.5
1 part-time MPhil/PhD student	0.25

3. For example, an individual may act as Principal Supervisor to four full-time professional doctorate students (equivalent to three full-time MPhil/PhD students) and one full-time MPhil/PhD student, while also acting as Subsidiary Supervisor for two full-time MPhil/PhD students (equivalent to 1.0 full-time MPhil/PhD student). This is the equivalent of supervising five full-time MPhil/PhD students and is within the overall limit of six doctoral students at any one time.

4. Departments/divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.

4.4   Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising, in accordance with the UCL Personal Relationships Policy.

4.5   Transfer of Supervisor to another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor.

5 Completing Research Status

5.1 General

1. Where permitted by individual programmes all students who have completed their approved period of registration may register as CRS students while they write up their theses or complete outstanding practicum requirements. Transfer to CRS status is only permitted with the approval of the programme or appropriate departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full-time) or two calendar years (part-time). CRS registration cannot be interrupted; a student who is prevented from completing the programme for reasons beyond his or her control may apply for an extension, as detailed in Section 5.3 below.
3. A student must be registered for the full duration of the programme of study before he or she will be eligible to take up CRS status. A student who changes from full- to part-time during the approved period of registration must have been registered for a minimum of one year part time before being entitled to two years of part-time CRS status.
4. In addition to completing their approved programme of study, students must meet the following conditions before they will be allowed Completing Research Status:
   a) They are in a position to submit their thesis and/or outstanding assignments within 12 months (full-time students) or 24 months (part-time students);
   b) They have met any other conditions set by the programme, Department or Division.
5. Completing research status is permitted for the following programmes:
   i) DClinPsy Clinical Psychology
   ii) DEdPsy Educational Psychology
   iii) DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy
6. Completing research status is not permitted for the following programmes:
   i) DDent Paediatric Dentistry
   ii) DEdPsy Educational and Child Psychology
   iii) Doctorate in Orthopaedics Trauma and Orthopaedics
7. Further guidance is available from the Completing Research Status webpages.

5.2 CRS Student Entitlements

1. During the period of CRS students are entitled to have at least one draft of all or any part of his/her thesis read and commented upon by his/her Principal Supervisor and/or Subsidiary Supervisor before submission, with a similar level of oversight in relation to the practicum assignment.
   i) CRS status for students undertaking professional doctorates refers both to completion of research and outstanding practicum assignments.
   ii) Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
   iii) CRS students in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a Completing Research Student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's supervisor and Head of Department/Division.
   iv) The student's department/division may, at its discretion, give any other supervisory assistance during the completion period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

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5.3 Submission of Thesis and/or Evidence of Completion of Outstanding Practicum Assignments

1. Students must submit their thesis and/or submit documentation evidencing completion of practicum assignments for examination before the end of his/her CRS period.
2. Students will remain registered after the submission of his or her thesis and/or documentation evidencing completion of practicum assignments until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

5.4 Extensions to the Completing Research Period

1. Students who cannot submit a thesis for examination and/or complete outstanding practicum assignments before the end of CRS, due to circumstances outside the student's control, may apply for an extension. The maximum period of extension is one year full time and two years part time.
   i) Applications must be supported by a student's department/division and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the student's control.
   ii) Work commitments or any duties carried out for a department/division are not considered grounds for extension; submission of a thesis is expected to be a priority.
   iii) Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments/divisions are expected to make arrangements for alternative supervision under such circumstances.
   iv) Applications for extension to CRS must be made on Portico.

5.5 Submission of Thesis and/or Documentation Relating to Outstanding Assignments after the End of CRS

1. Students who submit after the end of their CRS registration will require permission to do so. This must be supported by a student's supervisor or other departmental/divisional authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department/division require this.
2. Students who submit the thesis and/or documentation relating to outstanding assignments after the end of their CRS period will be liable for a Submission Extension Fee (see Submission Extension Fees for Research Students).
3. Students who do not submit before the end of their CRS registration will cease to be registered as a student at the end of this CRS period. They will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice.

Further guidance

1. Students who submit after the end of their CRS registration will pay a fee equivalent to the part-time home fee current at the time.
2. This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months.
3. For submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission (see Submission Extension Fees for Research Students).

5.6 Resubmission of a Thesis

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1. Students whose thesis is referred by their examiners for substantial revision within 12 months will remain registered as a submitted student on the basis of 5.3 above, provided the original submission was not after the expiry of a period of CRS status.
2. Under these circumstances students will have access to UCL facilities and will be entitled to have at least one draft of their thesis read and commented on by their Principal Supervisor and/or Subsidiary Supervisor before re-submission.
3. When a student's revisions require more supervision or further access to UCL laboratories or other facilities, they may be required to re-register as a fee-paying student for the period of this supervision or access.

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6 Assessment

6.1 Taught Element

6.1.1 Successful Completion of a Professional Doctorate Programme

1. In order to complete successfully a professional doctorate programme at UCL, students must complete all specified taught components of their degree programme, as follows:
   a) For the coursework and/or practicum components, a threshold for completion will be set by the programme and be clearly publicised to students.
   b) In the event that any threshold set is not reached, the result for the component will be "incomplete" regardless of the mark obtained.

6.1.2 Unseen Examinations

1. 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 student makes little or no attempt at the examination, this will be deemed "incomplete".
2. A taught component is complete when a student has been declared complete on all relevant assessments for that component using the criteria specified in the relevant programme regulations.

6.2 Academic Assessment

1. For the purposes of these regulations, 'examination' refers to the assessment of taught and practicum assignments other than research, whether by written examination and/or by coursework, or other means of academic assessment.
2. The assessment of the research thesis is discussed under Section 2.3 below.
3. These regulations should be read together with Chapter 4: Assessment Framework for Taught Programmes and the *Examination Guide for Candidates* on the Examinations and Awards website.

6.2.1 Anonymity of Assessed Work

1. With the exception of the circumstances set out in item 4 below, unseen summative written examinations must be assessed anonymously against an anonymous identifier such as candidate numbers or SRN.
2. A summative coursework element that constitutes more than 40% of a module must be submitted and assessed on an anonymous basis where possible.
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/ research theses and group work etc.
5. Anonymity is not required for an element of summative assessment that constitutes 40% or less 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. In this context a coursework element is either part of or the entire coursework component for a taught module. For example, one essay weighed at 40% of a taught module is one element and therefore makes up the entire 40% coursework component for that module, the remainder being other component(s) weighted at 60%. However, as another example, 10 individual weekly problem sheets weighted at 40% of a taught module are 10 elements of the

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40% coursework component of that module the remainder being other component(s) weighted at 60%.

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 taught module.
5. Anonymity is required when a coursework element constitutes 40% or more of a taught 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.

6.2.2   Examination Entry Criteria

1. UCL's attendance requirements are defined in Annex 3.2: UCL Student Attendance Policy.
2. Minimum attendance requirements are set at Faculty level and must be published in the Student Handbook or equivalent.
3. Students whose attendance falls below their faculty's minimum attendance requirement may be subject to the regulations in Chapter 6, Section 3: Academic Insufficiency Procedure, subject to faculty policy.

6.2.3   Authorised Absence from Assessment

1. A student, who is prevented owing to illness or the death of a near relative or other cause judged sufficient by UCL from completing an examination at the normal time, may at the discretion of the examiners either:
   i)   Enter the examination in those elements in which they were not examined on the next occasion when the examination is held in order to complete the examination; or:
   ii) Be set a special examination in those elements of the examinations missed as soon as possible and/or be permitted to submit any work prescribed (e.g. report) at a date specified by the Board of Examiners concerned.

   Further guidance

1. The special examination shall be in the same format as specified in the programme regulations for the elements missed.

6.2.4   Unauthorised Absence from Assessment and Non-Submission of Assessed Work

1. Students who are absent without permission from other forms of assessment or who do not submit work for assessment will be awarded a mark of zero.
2. If a student is absent from an examination 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, the normal procedure should be that the student is awarded a mark of zero for the missed/non-attempted examination (i.e. 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 as absent or incomplete, as appropriate).

6.2.5   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 academically un-assessable, will be awarded a mark of zero.

6.2.6   Re-Entry to Assessment

1. Students who obtain a mark below the condoned mark range will be required to re-enter that examination at the next normal occasion.
2. The mark achieved will apply even if this is lower than the original mark.

6.2.7 Number of Permitted Attempts

1. Students who, at their first entry, do not successfully complete an examination may re-enter for the examination or other forms of assessment on one more occasion.
2. This does not apply if a student has been awarded a degree, or been excluded from UCL on the grounds of academic insufficiency or as a result of examination misconduct or professional misconduct.

6.2.8 Programme Regulations and Syllabus for Re-entered Examinations

1. Students who re-enter for any part of an examination shall be subject to the programme regulations and syllabus current at their first attempt. This is providing that:
   i) Appropriate examiners for the course are available.
   ii) For students wishing to enter or re-enter examinations after satisfactory completion of the programme of study, such entry or re-entry is made within two calendar years of the completion of the programme of study.
   iii) For students wishing to enter or re-enter examinations following a period of interruption of study, such entry or re-entry is made within two calendar years of the completion of attendance on the course unit.
   iv) Examination according to the method(s) of assessment operating at the time of the original registration for that course does not disadvantage the student.
2. Where one or more of the conditions set out at i)-iv) above cannot be met, the following will apply:
   i) The student will be notified in writing of any changes to the method(s) of assessment since the time of their original registration for the course.
   ii) The student must signify in writing that they understand that the method(s) of assessment have changed as notified.

6.2.9 Format of the Reassessment

1. Students will only re-take failed assessment components unless the regulations for their programme require students to re-take all assessed components of a module.
2. Students will be automatically re-entered for assessment components that they have failed to pass or complete, unless they have been granted permission not to re-enter by UCL 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, unless specific programme regulations require otherwise. 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 researchdegrees@ucl.ac.uk.

6.2.10 Late Submission of Coursework

1. Deadlines for submission of coursework will be set by individual programmes, and are absolute.
   1. Coursework submitted after the deadline will be deemed to have failed, and a new piece of work will need to be submitted in place of the original.
   2. Where there are extenuating circumstances that have been recognised by the Board of Examiners or its representative, these penalties will not apply until the agreed extension period has been exceeded.
   3. For further information see Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.

6.2.11 Over-length Coursework, including Research Projects, Dissertations and Final Reports

1. Prescribed word counts for each piece of work will be set by individual programmes, and are absolute.

i) Coursework with a stated word count above the maximum will not be accepted for submission (i.e. it will not be date-stamped or otherwise recorded as formally submitted), but will be immediately returned to the student with instructions to reduce the word length.
ii) If submitted work is subsequently found to have an inaccurately stated word count it will be failed. At the discretion of individual programmes the student may be permitted to re-present the coursework in a revised form that meets the prescribed word count.

6.2.12   Approved Format for Examinations

Assessment – General

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 course units and modules. In addition, innovative formative assessment methodologies make an important contribution to the overall development of student skills and transferable knowledge.

Examination of a Programme

1. Students entering an examination must be examined in all parts of the examination prescribed for the programme. Therefore (unless prevented by illness or other adequate cause for which certification must be provided) students must register for each prescribed assessment and submit sufficient work to enable them to be examined. For components examined either in full or in part by coursework, students may be regarded as having been examined in all parts of the examination, that is having completed the assessment of the component, provided that:
   a) All parts of the assessment have been completed at the time that the component is assessed.
   b) Individual departments/divisions may prescribe the proportion of unseen written examination and coursework. In every case, the percentage of coursework which must be completed shall be clearly specified in appropriate documentation and clearly indicated to the students concerned.

Examination of Coursework

1. Criteria for the assessment of coursework will be published by individual programmes.
2. The coursework component will examine both the taught and practicum components of the programme.
3. Coursework has to be passed independent of the examinations of other course components.
4. The examiners may specify changes to a piece of coursework and require these to be carried out before these are accepted as part of the student's portfolio.

Further guidance

1. Where coursework is required to be resubmitted students should be given clear feedback indicating the revision required.
2. Students whose performance falls below the required standard will normally be allowed one resubmission.
3. External examiners should be involved in the examination process and where failure is indicated their advice should be sought.

Examination of Practicum Assignment and Practicum Assessments

1. The practicum assignment will be assessed by criteria published by the department/division at least once a year, and must be passed according to written criteria published by the programme.
2. Attendance requirements for professional doctorate programmes must be met in order to allow entry into the examination.
3. The evaluation is based on observation of the performance of the student on the practicum assignment by either a member of the programme staff and/or a member of the profession formally recognised and designated by the programme as possessing the appropriate qualifications for examining the student.
4. Failure of the practicum assignment will normally lead to failure of the course, but at its discretion the Board can permit students to re-take the relevant assignment. There will only be one opportunity to retake an assignment.
5. If students are deemed not to be meeting criteria, they need to be informed that this is the case. If their performance continues to be unsatisfactory they may be required to attend an oral examination.
6. Students may appeal against failure of the practicum component.

Further guidance

1. The frequency of assessment of the practicum assignment will be specified in the regulations of individual programmes.
2. The person examining the practicum component will normally be specified before the student is sent on the practicum assignment.
3. The criteria for satisfactory performance in a practicum assignment will be specified by the programme and made available both to students and assessors of the practicum.
4. Reports of the student's progress and the oral examination (if conducted) will be considered by the Board of Examiners of the programme.

6.2.13   Examination Conduct

1. The conduct of examinations will follow UCL norms as set out in Chapter 4, Part A: Assessment Framework for Taught Programmes.

6.2.14   Reasonable Adjustments

1. Under the Equality Act 2010, UCL is required to make Reasonable Adjustments to learning, teaching and assessment to ensure that disabled students are not put at a substantial disadvantage. UCL can also provide Reasonable Adjustments for students who might not consider themselves to have a 'disability' but who nevertheless would benefit from additional support with their studies due to an ongoing medical or mental health condition. For further information about Reasonable Adjustments, and how to apply, please see Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions.

6.2.15   Publication of Examination Results

1. The Publication of Examination Results will follow UCL norms as set out in Chapter 4, Section 12: Award of Degrees.

6.2.16   Prescribed Scheme of Award

1. Every professional doctorate will have an associated prescribed Scheme of Award that is a statement of the means by which the degree is awarded. The Scheme of Award will be published in the student information handbook for the programme.
2. Students will be considered for an award according to the Scheme for Award in place at the time of their registration on the programme.

Further guidance

1. The Scheme of Award is the method by which the award of the degree is calculated. Teaching departments/divisions are required to publish their local award scheme rules in the Student Handbook for each programme, and students are expected to familiarise themselves with these local rules.

6.2.17 Changes to a Prescribed Scheme of Award

1. Students will have signified in writing that they have understood that changes have been made to the Scheme for Award as notified.

6.2.18 Date of a Degree Award

1. The date of award for professional doctorates will be no longer than one month after the Board of Examiners has recommended to UCL Student Records that a student be passed.

6.2.19 Provision of Degree Certificate

1. A UCL degree certificate will be sent to each successful student who is awarded a degree.
2. Students should ensure that their contact address is kept up to date, via Portico, as this address will be used for the despatch of certificates. For students gaining a UCL award, certificates are despatched by UCL Student Records, within approximately three months of the date of award.

6.2.20 Students with an Outstanding 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.
   i) 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.
   ii) 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.
   iii) 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.

6.2.21 Award of Degrees

1. The Academic Committee of UCL is authorised to award research degrees.

6.2.22 Revocation of Degrees

1. UCL may revoke any degree, diploma or certificate awarded, if discovered at any time and proved to the satisfaction of UCL, that:
   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 that was unavailable at the time its decision was made, determines that a student's or students' classification should be altered.

6.3 Requirements of the Research Thesis

6.3.1 Theses: General

1. The greater proportion of the work submitted in a thesis must have been undertaken after the registration of the student for the professional doctorate.
2. The work in the thesis submitted by students must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact.
3. Students will not be permitted to submit a thesis that has been submitted for examination for a degree, or comparable award, of this or any other university or institution.

4. Students may submit the results of work done in conjunction with their supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated and a statement of confirmation is certified by the supervisor.
5. Students should include in the thesis submission form a signed declaration that the work presented is their own. This may be inserted between the title page and the contents page of the thesis in the following terms:

    'I, [student's full name], confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.'

6.3.2   Requirements of the Research Thesis

1. A thesis for the award of a professional doctorate shall be examined in accordance with the criteria prescribed by UCL and the thesis shall demonstrate that it:
    i)   is genuinely the work of the student;
    ii)   shows a student's capacity to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;
    iii) embodies the results of research which may reasonably be expected of a student after the period under research supervision, formulated and carried out by the student in consultation with the supervisors;
    iv)   consists of a student's own account of their investigations, the greater proportion of which shall have been undertaken during the period under research supervision for the degree;
    v)   represents a distinct and significant contribution to the subject, whether through the discovery of new knowledge, the connection of previously unrelated facts, the development of new theory, or the revision of older views;
    vi)   shows the exercise of critical judgment with regard to both a student's own work and that of other scholars in the field;
    vii) includes a critical assessment of relevant literature, including a description of the method of research and its findings, discussion of those findings and indicates in what respects they appear to the student to advance the study of the subject and, in so doing, demonstrates a deep and synoptic understanding of a field of study, objectivity and the capacity for judgment in complex situations and autonomous work in that field;
    viii) is satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;
    ix)   the report of research takes due account of previously published work on the subject;
    x)   makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;
    xi)   contains an element which might, after any necessary revision, merit publication in a medium appropriate to the discipline (for example as a monograph or as a number of articles in learned journals);
    xii) shows a student's ability to design and implement an independent research project.

    Further guidance

1. Supervision of the research component of a professional doctorate normally starts after students have undertaken other elements of the programme, and hence the period of registration is usually longer than the period during which the student is under research supervision. Students and staff should consult individual programme regulations for details of the period of research supervision.

6.3.3   Language of a Thesis

1. All these must be written in English and the oral examination must be conducted in English.

6.3.4   Word Length of a Thesis

1. The maximum word length of professional doctorate theses is 100,000 words, including all component parts, footnotes, tables and figures but excluding bibliography, appendices and supporting data.
   i) The above prescribes the maximum allowable length for the thesis, not necessarily the preferred length. Individual programmes may recommend a shorter length and give specific advice on partitioning the submitted thesis. Students should refer to the regulations for individual programmes for advice on the usual length and specified components of theses in their subject area.
   ii) The signature of the student on the Examination Entry Form to the examination for the specialist doctorate shall be taken as confirmation that the thesis submitted is within the required word limit.
   iii) "Supporting data" refers largely to raw data which is not essential to the argument of the thesis. Appendices are not in the word count and should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish. Examiners are not required to read beyond the maximum word limit.
   iv) Students should refer to the specific programme regulations for their thesis word lengths and other elements of their programmes that are examined as part of the doctorate.

6.3.5   Format of a Thesis

1. The thesis should be submitted in the format determined by the home department/division of the programme at the time of submission.
2. Further information and guidance on the format and presentation of theses is available from the individual programme literature.

6.3.6   Availability of a Thesis

1. After the examination has been completed and before the degree is awarded, successful students must submit one electronic copy to UCL, via the Research Publications Service (RPS), for lodging in the UCL library.
2. A soft-bound copy of the thesis may also be submitted to the UCL Library, if desired. This may include artefacts related to non-traditional formats of a thesis. Further information and guidance is available on the Thesis Formatting webpages.
3. The process of final thesis submission, both the electronic and optional hard copy, is managed by the Open Access Team.
4. A student may apply to UCL at the time of registration or thereafter, for restriction of access to their thesis and/or the abstract of their thesis on the grounds of commercial exploitation or patenting. In very exceptional circumstances, if the thesis includes material that is significant for national security, subject to approval of UCL, copies of the thesis placed in the public domain, with the agreement of the graduate concerned, may have certain parts excised from them. Applications to restrict access to a thesis should be made via the Library.

6.4   Examination Entry

6.4.1   Thesis Submission Form

1. Prior to the time of submission of a thesis for examination, a thesis submission form must be submitted to the home department.
   i) Information about the submission of the form, and when submission is required, should be available from the home department/division.
   ii) The form, which requires a short description of the content of the thesis in about 300 words, must be submitted to the Departmental/Divisional Postgraduate Committee to assist in the nomination of suitable examiners.

6.4.2   Thesis Submission

1. Prior to examination, candidates are required to submit their e-thesis to UCL for dispatch to their examiners. Further information and guidance is available on the [Thesis Formatting webpages](#).
2. After the examination and before the award is made, candidates entering for a UCL award are required deposit one e-thesis in the UCL Institutional Repository.
3. Students are required to bring to the oral examination a copy of their thesis which is identical to the copies submitted to UCL.

6.4.3 Dispatch of Theses to Examiners

1. A thesis will be sent to both examiners at least four weeks in advance of an oral examination.
2. Examiners will normally use an electronic copy of the thesis, but an Examiner may request the student provide a hardcopy, if required. Further information and guidance is available on the [Thesis Formatting webpages](#).
2. Direct submission of theses to examiners by students or supervisors is not permitted.

Further guidance

1. All theses will be submitted to UCL using the procedures identified by the programme. Supervisors and students should note that theses will only be sent to examiners who have been formally appointed by UCL and only after the thesis submission form has been submitted in accordance with the examination entry guidelines. Further information is available from individual programmes.
2. The Departmental/Divisional Postgraduate Committee and the student should ensure that all examination entry requirements have been met in good time before a planned oral examination takes place.
3. Oral examinations cannot proceed if the requirements for the examination entry, including the formal appointment of examiners, have not taken place in accordance with UCL regulations. The outcome of any examination conducted in such an instance would be void.

6.5 Appointment of Examiners

6.5.1 The Appointment of Examiners for Professional Doctorates

1. The Chair of the Board of Examiners for the professional doctorate will nominate external examiners for the taught and practicum components of the programme.
2. In making a nomination, the Chair will take account of the appointment criteria specified by UCL Research Degrees Committee including confirmation of approval of the nomination from UCL Research Degrees Committee and the Faculty Graduate Tutor on behalf of the Faculty Postgraduate Teaching committee.

Further guidance

1. Upon receipt of the confirmation of appointment of the nominated examiner by UCL, the Chair of the Board of Examiners should ensure that the newly-appointed examiner receives the following, together with any additional information required:
   i)   Name of departmental/divisional board contact (e.g. Examinations Liaison Officer);
   ii)   Departmental booklet such as a Student Handbook or syllabus information;
   iii) Composition of the Board of Examiners (e.g. number of internal examiners and any interdepartmental involvement);
   iv)   Number and subject area of other external examiners appointed to the Board;
   v)   Scheme of award;
   vi)   Marking scheme for papers (when known);
   vii) Criteria for practicum requirements (where appropriate);
   viii) Criteria for the research component;
   ix)   Date(s) of meetings of Board of Examiners to which the external examiner is invited (when known);
   x)   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).

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6.5.2   Confirmation of External Examiner Continuing Appointment

1. Chairs of Boards of Examiners will confirm that external examiners are continuing in their role on an annual basis for a total period of four years.
2. The task of the annual review and confirmation of external examiners continuing appointment is conducted via Portico (the Student Record Management Database).
3. Chairs or their nominees should use the functionality found in the "Examiners" header of their staff home page.

6.5.3   The Appointment of External Examiners

1. An external examiner must be from outside UCL and must not be involved in regular teaching on the programme they examine.
2. A member of the academic staff of a college of the University of London other than UCL, or any other external institution with which UCL has service teaching arrangements, may be appointed as an external examiner, providing that no students from the appointee's college, so far as can be anticipated, are being examined by the Board of Examiners at UCL on which the appointee will serve and the appointee is not involved in teaching on the programme examined by the Board to which they will be appointed.

Further guidance

1. Departments/divisions should avoid, where possible, appointing an external examiner where there is a risk that students from their home institution will register on modules examined by the Board of Examiners at UCL on which they will serve.
2. This risk is high in the case of external examiners from other colleges of the University of London. If such a situation occurs, however, and is known only after the external examiner is appointed, any assessed work by these external students cannot be referred to an external examiner from the same institution.

6.5.4   The Criteria for the Appointment of External Examiners

1. An external examiner is normally expected to be a member of staff in the same discipline as the professional doctorate in another UK university. Where they are not current members of the academic staff they should have experience of professional training and be senior members of the profession. They should also be competent in assessing students' knowledge and skills at higher education level, expert in the field of study concerned and have appropriate academic or professional experience and authority.
2. In order to have sufficient time for the proper performance of their function, external examiners are normally not expected to hold more than the equivalent of two substantive external examinerships at the same time.
3. An external examiner shall not normally be appointed from a department/division in which a member of UCL staff is serving as an examiner, although exceptions may on occasions be unavoidable, for example, in the case of subjects taught only in a very small number of institutions or subjects with an unusually high number of specialisms.
4. External examiners shall be asked at the time of appointment or continuation in appointment to declare 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. If such an interest or connection exists, the examiner in question should not normally be appointed.
5. After serving for a period of four consecutive years (or five years if an extension to service was approved), an examiner is not eligible for re-appointment for a period of two further years. The period of service is defined as the period of service as an external examiner at UCL and not as the period of service as external examiner to a particular Board of Examiners.
6. After serving for a period of not more than four normally consecutive years, or, in exceptional circumstances, for such limited extension of this period as UCL Research Degrees Committee may determine, the examiner shall not be eligible for re-appointment to any external examiner appointment for a professional doctorate at UCL (including an external examiner appointment at UCL in a related subject area) until after a lapse of two further

years. The period of service shall be defined as the period of service as an external examiner at UCL, not as the period of service as external examiner to a particular Board of Examiners.

6.5.5 Additional Criteria for the Appointment of Examiners for the Thesis Component

1. The thesis submitted as part of the professional doctorate will be examined by at least two examiners. One of these will be an external examiner appointed in accordance with the procedure identified at Sections 6.5.1 to 6.5.4, and the other shall be a member of staff of UCL.

Further guidance

1. For each student, two faculty-approved examiners shall be appointed by the appropriate Postgraduate Departmental/Divisional Committee.
2. In the case of a student who is a member of staff of UCL, no examiner may be appointed who is internal to UCL if they are from the same department as the student or supervisor(s). However, where nobody else is available with sufficient expertise an examiner from the same department may be appointed if a Viva chair is used.
3. It is expected that external examiners for each thesis will normally be selected for their specialist knowledge of the field rather than knowledge of the precise area of research study.
4. Nominated examiners should not have acted as either a Principal or Subsidiary Supervisor of the thesis to be examined, nor have been involved in any collaborative academic or professional work with the student on the project to be examined. In addition, examiners should not be nominated if there is a close personal relationship between themselves and either the student or supervisors, or if there is an apparent conflict of interest of any kind.
5. Reciprocal examination arrangements are not permitted: staff from equivalent programmes should not be appointed as external examiners if a member of staff in the home department/division is currently serving as an external examiner in that programme. However exceptions may on occasion be unavoidable, for example, in the case of subjects taught only in a very small number of institutions or subjects with an unusually high number of specialisms.
6. Examiners will not normally examine more than five theses in a single cohort.

6.6 Conduct of the Oral Examination

6.6.1 Format of the Oral Examination

1. The oral examination will usually consider the student portfolio, including the outcomes of practicum assignments and assessments, related coursework and the research dissertation.
2. All oral examinations shall be conducted in the English Language.
3. If an oral examination is prescribed for the assessment of an element, all students enrolled on the element are expected to be examined accordingly.
4. Decisions relating to failed performance in the practicum assignment can be informed by an additional oral examination. This possibility should be clearly indicated to students as part of programme documentation. The outcome from the oral examination should inform the decisions of the Board of Examiners, alongside other assessments relevant to that assignment.
5. Where individual programmes examine only specific elements of the portfolio in the oral examination, this will be specified in their regulations.

6.6.2 Conduct of the Research Degree Examination

1. The examiners shall prepare independent preliminary reports on the thesis, conduct an oral examination and submit a final, joint report to UCL.
2. The candidate's supervisor shall be invited, unless the candidate indicates otherwise on his/her entry form, to attend the oral examination as an observer. The oral examination will otherwise be conducted in private.

2. The oral examination should be held at UCL or held remotely and the agreed configuration noted on the Examination Entry Form.
3. Where no configuration can be agreed the oral examination should be held at UCL by default.
4. Where the oral examination is held remotely it is recommended that the supervisor or other designated contact in the student's department is available at the time of, and after, the viva to provide technical and emotional support if needed.

Further guidance

1. The examiners shall prepare independent preliminary reports on the thesis to assist in conducting the oral examination. After the examination copies of the preliminary reports together with the final, joint report should be submitted to researchdegrees@ucl.ac.uk in UCL Student and Registry Services. The final report will be released to students. Examiner report forms and procedural information are available from the individual programme.
2. Each final, joint report by the examiners shall indicate whether the thesis meets the requirements specified in Section 6.3, and shall include a statement on the examiners' judgment of the student's performance. Examiners have the right to make comments in confidence to UCL in a separate report. Such comments should not be concerned with the performance of the student but may cover matters which they wish to draw to the attention of UCL.
3. All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of material contained in a student's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, have been removed.
4. The supervisor does not have the right to participate in discussion of students at the Board of Examiners but may contribute if invited to do so by the examiners.

6.6.3   Outcomes of the Oral Examination

1. Students must submit a thesis and any other aspects of the portfolio requested by the examiners and be examined orally.
2. The following options are open to examiners in determining the result of an examination:
    a) If the thesis fulfils the criteria (set out in Section 5.3) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student has passed the research component of the award.
    b) If the thesis otherwise satisfies the criteria (set out in Section 5.3) but requires minor amendments and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within a maximum of one month, amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.
    c) If the thesis otherwise satisfies the criteria set out above, but requires stipulated amendments and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within a maximum of three months, amendments specified by them. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.
    d) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present their thesis in a revised form within a maximum of 12 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for a maximum of 12 months for re-submission in a revised form, on one occasion only.
    e) The examiners may determine that the student has not satisfied them in the examination and hence has not passed the research component of the award, and is not therefore eligible for the award of a professional doctorate.
    f) The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

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g) The award of a professional doctorate is conditional upon students passing all specified elements of their programme of study.

Further guidance

1. Students should refer to individual programme regulations for guidance on deadlines for resubmission of the thesis, which may be shorter than the maximum periods identified here.
2. Some professional doctorate programmes have an exit award other than a professional doctorate. Where this is the case, and examiners consider that a student has not met the requirements of a professional doctorate, they may recommend that the Board of Examiners confers this alternative exit award.

6.7   Research Misconduct

1. Cases of suspected research misconduct, including plagiarism, shall be investigated in accordance with the UCL Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research. Exceptions to this requirement are set out below.

6.7.1   Extent of Misconduct: Action Open to a Department/Division

1. The following instances of research misconduct may be dealt with by the department/division concerned:
    a) A first instance of plagiarism in the early stages of the programme of study;
    b) A first instance of misrepresentation of results in the early stages of the programme of study;
    c) A first instance of plagiarism in the early stages of the programme of study (prior to the end of the first year of study), including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent;
    d) A first instance of plagiarism (including suspected collusion but not including suspected use of a fellow student's or other person's work without that student's knowledge and consent) in the later stages of the programme of study in which (a) no more than 30% of the work in question can be demonstrated to have been plagiarised or, (b) in the case of plagiarised data, statistics etc., it can be demonstrated that they are not the main findings or among the main findings on which the argument of the thesis rests;
    e) A first instance of misrepresentation of results in the early stages of the programme of study (in the first year of study);
    f) A first instance of misrepresentation of results in the later stages of the programme of study which is judged to have been owing to error, misunderstanding or other extenuating circumstances.

6.7.2   Extent of Misconduct: Action Open to UCL

1. The following instances of research misconduct shall be referred to the Registrar:
    a) Any instance of plagiarism, except those covered in 6.7.1;
    b) Any repeated instance of plagiarism;
    c) Any instance of misrepresentation;
    d) Any instance of piracy or fraud;
    e) Any instance of any kind of research misconduct which appears in published work;
    f) Submission of a thesis for examination by a student when an allegation of research misconduct has been made.

Further Guidance

1. The following instances of research misconduct must be referred for action by UCL:

a) Any instance of plagiarism (including suspected collusion[1]) other than a first instance falling under 6.7.1 above in which more than 30% of the work can be demonstrated to have been plagiarised or, in the case of plagiarised data, statistics etc. it can be demonstrated that they are the main findings or among the main findings on which the argument of the thesis rests;

b) Any repeated instance of plagiarism after a warning has been given, whether or not it exceeds 30%, or involves data, statistics etc. which are not among the main findings on which the argument of the thesis rests;

c) Suspected use of another student's or person's work without that student's knowledge and consent;

d) Any instance of misrepresentation other than a first instance falling under 6.7.1;

e) Any instance of piracy or fraud, as defined in UCL's procedures;

f) Any instance of any kind of research misconduct which appears in published work, whether or not the work appears before or after the examination for the doctorate;

g) Submission of a thesis after the student has been warned not to submit it because of an allegation of research misconduct;

6.7.3 Research Misconduct Discovered after Successful Completion of Thesis Examination

1. UCL has the right to rescind an award if research misconduct is discovered after the examination of a thesis.

6.7.4 Appeal against the Action Taken in the Event of Research Misconduct

1. Students cannot contest a decision on academic grounds. Students can only contest a decision on specific grounds as set out in Chapter 6, Section 10: Student Complaints Procedure.

6.8 Appeals

1. Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

6.9 Graduation Ceremonies

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications (see the UCL Graduation Ceremonies website).
2. 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 (see the Graduation: Academic Robes web pages).

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[1] Where collusion between two or more students is established, all students concerned will be penalised.

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part C: Doctor in Engineering (EngD) Additional Regulations

These are additional regulations for EngD programmes. EngD students should also refer to:
- Chapter 5, Part A: Research Degree Regulations

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1 EngD in Biochemical Engineering and Bioprocess Leadership

1.1 Standard Entrance Qualifications

1. The normal minimum entrance qualifications for registration for the degree of Doctor in Engineering in the field of Biochemical Engineering and Bioprocess Leadership is the award of a first or an upper second class Honours degree or equivalent overseas qualification in biological sciences, chemistry, chemical engineering, biochemical engineering, biotechnology, mechanical engineering, electronics and electrical engineering or any related discipline.
2. Relevant postgraduate or industrial experience (especially as gained in the Bioprocessing industry) may be acceptable where the first degree is a lower second-class Honours degree or equivalent overseas qualification.

MRes Progression to the EngD

3. Students holding the MRes in Bioprocessing from UCL will be exempted from the first year of the EngD programme. Students holding an MRes or an equivalent qualification from an external institute may be admitted up to a year after the commencement of the taught element of the EngD programme and be exempted from part or the entire taught element of the MRes programme with the permission of the Programme Director.
4. A student holding an MRes or an equivalent qualification from an external institute, who has been exempted from part or the entire taught element of the MRes programme, cannot then be awarded the MRes if they withdraw from or fail the EngD.

Further guidance

1. For automatic progression from MRes to PhD/EngD, students should achieve an average mark of not less than 60% in the independent, original research components of the programme, and not less than 50% in the taught elements.
   i)   This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
   ii) However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.
2. 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.
3. MRes students who fail the taught components examined in and before June should be offered their resit opportunity before or in August of the same year.
4. MRes students who are not awarded the degree after the first attempt and the resit attempt should not progress to the associated EngD programme and would be required to leave UCL.
5. MRes students who fail the dissertation should not register on the EngD programme in the following academic year but remain on the MRes and resubmit the dissertation by the end of the first term in the following academic year. The Board would then consider the award for these students in January, when they would be allowed to register on the EngD if they passed. If, as a result, they missed taught components which formed part of the EngD registration, these should be followed at the point when they are next available.

1.2 Duration of Programme of Study

1. Full-time: four calendar years or three calendar years for students holding the MRes (Chapter 5, Part A, Section 1.3: MRes Progression to the EngD).

1.3 Curriculum

1. The programme of study for the degree of Doctor in Engineering in the field of Biochemical Engineering and Bioprocess Leadership includes formally taught elements which provide academic underpinning for the research undertaken. Candidates are required to complete modules from each of three main elements and undertake substantial research work resulting in a thesis and will be given an oral examination in accordance with Chapter 5, Part A, Section 5: Final Examination.

Further guidance

i) Students who have progressed from an MRes to the EngD are not required to take the year one formally taught elements.

Formally Taught Elements (four-year EngD students)

2. The formal taught part of the EngD programme is comprised of four elements which provide (i) the underlying fundamental skills for research studies in bioprocessing and biochemical engineering (ii) the methodology for the translation of such skills into real engineering outcomes (iii) skills underlying the management and delivery of a research programme and (iv) evidence of original research via submission of research thesis. They must have passed modules to a minimum value of 120 credits in order to quality for submission of the thesis. The modules passed in order to qualify for submission of the thesis must include modules to prescribed credit values taken from each of the three elements (i)-(iii). Normally, students registered on the EngD will have satisfied the requirements for the MRes in the first year of the EngD programme. However, there may be instances where the full requirements are not satisfied until later in the programme. Provided that all the requirements are satisfied by the time they exit the programme, such students may be awarded the MRes if they should then fail to meet the requirements of the EngD.

Thesis

3. The thesis shall be submitted in accordance with Chapter 5, Part A, Section 5: Final Examination.

1.4 Assessment and Final Examination

1. Assessments qualifying a candidate for submission of a thesis shall take place within the period of the overall programme and shall be by written examination or coursework, as prescribed for each individual module.
2. All assessments will be overseen by an examiner external to UCL. A candidate failing any assessment (whether by written paper or by coursework) will be permitted to re-enter the examination for the module in question on one occasion only.
3. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme as detailed above, and the oral examination. The thesis must meet the same requirements as those prescribed in Chapter 5, Part A, Section 5: Final Examination.
4. The oral examination shall be conducted by at least two examiners, at least one of whom shall be external to UCL. The examination will be designed to test the thesis against the criteria above and will further examine the candidate's conception and understanding of the integration of all elements of the programme and their related assessment.
5. Students who register as MRes students and subsequently decide to continue to EngD may do so at the end of the first year, provided that they have satisfied the requirements for the MRes degree (as stated above).

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6. Students who register on the EngD and are unable to fulfil the requirements of the EngD will be awarded the MRes degree provided that they have satisfied the requirements of the MRes degree.
7. An EngD student who fails the thesis and fails on resubmission may still be awarded an MRes subject to the requirements for MRes as stated (above) being met. Such an award would be at the recommendation of the EngD Board of Examiners. The award would be made by the whole Board of Examiners and would not be something recommended by the examiners of the thesis in any way.

1.5   Dates of Assessment and Final Examination

1. Modules for the taught part of the programme for four year EngD students will be assessed by the methods and at the dates indicated for the module in question.
2. Submission of the thesis shall be by the end of the final year of the programme or normally within a calendar year of the date of completion of the programme of study.

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2 EngD in Communications

2.1 Standard Entrance Qualifications

1. The normal minimum entrance qualifications for registration for the degree of Doctor in Engineering in the field of Communications is the award of a first or an upper second class Honours degree or equivalent overseas qualification in a relevant discipline, e.g. electronic engineering, electrical engineering, communications engineering, computer science, physics, mathematics. Industrial or postgraduate experience may be taken into consideration where the first degree is a lower second class Honours degree or equivalent overseas qualification.

MRes Progression to the EngD

2. Students holding the MRes in Telecommunications or with equivalent qualification/experience may be admitted up to a year after the commencement of the taught programme and be exempted from part or all of the taught programme with the permission of the Programme Director.

Further guidance

1. For automatic progression from MRes to PhD/EngD, students should achieve an average mark of not less than 60% in the independent, original research components of the programme, and not less than 50% in the taught elements.
   i) This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
   ii) However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.
2. 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.
3. MRes students who fail the taught components examined in and before June should be offered their resit opportunity before or in August of the same year.
4. MRes students who are not awarded the degree after the first attempt and the resit attempt should not progress to the associated EngD programme and would be required to leave UCL.
5. MRes students who fail the dissertation should not register on the EngD programme in the following academic year but remain on the MRes and resubmit the dissertation by the end of the first term in the following academic year. The Board would then consider the award for these students in January, when they would be allowed to register on the EngD if they passed. If, as a result, they missed taught components which formed part of the EngD registration, these should be followed at the point when they are next available.

2.2 Duration of Programme of Study

1. Full-time: four calendar years or three calendar years for students holding the MRes (see Chapter 5, Part A, Section 1.3: MRes Progression to the EngD).

2.3 Curriculum

1. The programme of study for the degree of Doctor in Engineering in the field of Communications includes formally taught elements which provide academic underpinning for the research undertaken. Candidates are required in the first year normally to complete taught elements and to complete a written report on research work. In the three subsequent years they complete three taught/training modules per year. They must undertake substantial

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research work resulting in a thesis and will be given an oral examination in accordance with [Chapter 5, Part A, Section 5: Final Examination](#).

Further guidance

i) Students who have progressed from an MRes to the EngD are not required to take the year one formally taught elements.

First-Year Elements (four-year students)

2. Candidates are normally required in the first year to follow a programme of taught courses and research appropriate to the MRes in Telecommunications. There are three elements: (i) technical taught course components, (ii) generic and transferable skills elements and (iii) research work. Students must have completed all three elements to the satisfaction of the examiners in order to progress beyond the first year of the programme.

Taught/Training Elements

3. Candidates are normally required to complete three taught/training modules per year covering technical and more general professional development according to individual development needs' assessment of IEE Training Accreditation arrangements. Of these at least one module each year must normally be technical in nature and one concerned with personal/business skills.

4. Students must have completed and attained a suitable standard in the taught/training elements and have demonstrated that they have achieved a satisfactory standard in the research part of the programme in order to qualify for submission of the thesis.

Thesis

5. The thesis shall be submitted in accordance with [Chapter 5, Part A, Section 5: Final Examination](#).

2.4 Assessment and Final Examination

1. Assessments for year one (for four year students) shall normally be identical with those for the MRes in Telecommunications and shall include a research report and oral examination. Assessments for the taught/training modules in years 2 to 4 shall take place within the period of the overall programme and shall be by written examination or coursework, as prescribed for each individual module.

2. All assessments will be overseen by an examiner external to UCL. A candidate failing any assessment (whether by written paper or by coursework) will be permitted to re-enter the examination for the module in question on one occasion only.

3. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme as detailed above, and the oral examination. The thesis must meet the same requirements as those prescribed in [Chapter 5, Part A, Section 5: Final Examination](#).

4. The oral examination shall be conducted by at least two examiners, one of whom shall be external to UCL. The examination will be designed to test the thesis against the criteria above and will further examine the candidate's conception and understanding of the integration of all elements of the programme and their related assessment.

2.5 Dates of Assessment and Final Examination

1. Modules for the taught part of the programme for four year students will be assessed by the methods and at the dates indicated for the module in question.

2. Submission of the thesis shall be by the end of the final year of the programme or within a calendar year of the date of completion of the programme of study.

3 EngD in Environmental Engineering Science (ENVES)

3.1 Entry Requirements

1. A relevant BSc, BEng, BA, MEng, at upper second class or above or MSc in science or engineering, as appropriate for research topics. Relevant postgraduate or industrial experience may be taken into consideration when the first degree is a lower second class honours degree or equivalent overseas qualification. An exit award at MRes level is not offered on this programme.

3.2 Duration of the Programme

1. 4 calendar years full time.

3.3 Curriculum

1. The specific taught courses to be taken by each of the Research Engineers will be decided in consultation with the industrial sponsors. The aim is to equip the research engineers with management, technical, design and problem solving skills.
   i) Admission to the programme may be at any time during the academic year which may mean that some compulsory courses will not be taken until the 2nd year, depending on start date.
   ii) Candidates are required in the first year normally to complete taught elements, a research and transferable skills programme, a group project, and to complete a written report on research work. In the second year, candidates must complete a further research report and, in the second and subsequent years candidates must complete additional taught courses. To complete the EngD, candidates must undertake substantial research work resulting in a thesis, and undergo a final oral examination. All research carried out during any period of study for the Environmental Engineering Science Doctorate may be included in the thesis provided it has not been presented for award of any other degree.

   Technical Courses

2. Compulsory technical taught course:
   - Either CIVLR002 Environmental Integrated Design
   - Or CIVLG001 Integrated Design
   - Plus CIVLR002 Environmental Impact and Resource Management
   - Optional technical courses from a range across UCL.

3. Transferable skills taught courses include:
   - Compulsory course provided by the CALT:
     - Personal and professional skills in research practice (PPSRP)
   - At least one of the following courses provided by the Management Studies Centre:
     - MASTC01/GC01 Project Management
     - MASTD03/GD03 Product Innovation in Organisations
     - MASTD05/GD05 The Business Plan
     - MASTD02/GD02 New Ventures Business

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First-Year Elements

4. Candidates are normally required in the first year to follow a programme of taught courses, professional and research training, group project work, and research, structured as three components:
   a) the underlying technical knowledge and skills needed for research in the field of study;
   b) the generic research, professional and transferable skills required for the translation of such skills into scientific and engineering outcomes and for the management and delivery of a research programme, and
   c) research work. In order to progress beyond the first year of the EngD programme, normally candidates must successfully complete respectively: (i) an environmental integrated design project and (ii) professional and transferable skills course (iii), a research report of not less than 10,000 and not more than 25, 000 words and presentation.

Second-Year Elements

5. Candidates are normally required to complete one or two additional 10 credit taught postgraduate courses or equivalent modules, to complete a second research report of not less than 10,000 and not more than 25,000 words and presentation, "based on their industrial activity" and to undergo a preliminary oral examination on their research work.

Taught Courses and Training Elements

6. In subsequent years, candidates must normally complete further approved postgraduate courses or modules so that at least 120 credits or equivalent modules are completed during the four years of the EngD programme. They should normally, in the second and third years of the programme, also follow an appropriate scheme of continuing professional development to supplement the research, professional and transferable skills programme taken in the first year. Candidates must have achieved a satisfactory standard in the research part of the programme in order to qualify for submission of the thesis.

Thesis

7. The thesis shall be submitted in accordance Chapter 5, Part A, Section 5: Final Examination.

3.4 Assessments and Final Examinations

1. Assessments qualifying a candidate for submission of a thesis shall take place within the period of the overall programme and shall be by written examinations or coursework, as prescribed for each individual postgraduate course or module.
2. All assessments will be overseen by an examiner external to UCL. A candidate failing any assessments (whether by written paper or by coursework) will be permitted to re-enter the examinations for the course or module in question on one occasion only.
3. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme as detailed above, and dependent on the final oral examination. The thesis must meet the same requirements as those prescribed in Chapter 5, Part A, Section 5: Final Examination.
4. The final oral examination shall be conducted by at least two examiners, at least one of whom shall be external to UCL. The examination will be designed to test the thesis against the criteria above and will further examine the candidate's conception and understanding of the integration of all elements of the programme and their related assessment.

3.5 Dates of Assessment and Final Examination

1. Modules for the taught part of the programme will be assessed by the methods and at the dates indicated for the module in question.
2. Submission of the thesis shall be by the end of the final year of the programme or within a calendar year of the date of completion of the programme of study.

4   EngD in Virtual Environments Imaging and Visualisation (VEIV)

4.1   Standard Entrance Qualifications

1. The normal minimum entrance qualification for registration for the degree of Doctor in Engineering in the field of Virtual Environments, Imaging and Visualisation is the award of a first or upper second class Honours degree or equivalent overseas qualification in a relevant discipline such as: computer science, architecture, engineering (electronic, electrical, mechanical, civil, etc.), physical sciences (physics, chemistry, astronomy, etc.), mathematics or any related discipline. Overseas candidates must also hold an appropriate qualification in English for speakers of other languages. Relevant postgraduate or industrial experience may be taken into consideration where the first degree is a lower second-class Honours degree or equivalent overseas qualification.

MRes Progression to the EngD

2. Candidates holding the MRes in Computer Vision, Image Processing, Graphics and Simulation or with equivalent qualifications/experience may, in exceptional circumstances, for example where an appropriate Masters Research project has been carried out, be admitted up to a year after commencement of the taught programme and can be exempted from part or all of the EngD taught programme with permission of the EngD programme Director.

Further guidance

1. For automatic progression from MRes to PhD/EngD, students should achieve an average mark of not less than 60% in the independent, original research components of the programme, and not less than 50% in the taught elements.
   i) This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
   ii) However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.
2. 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.
3. MRes students who fail the taught components examined in and before June should be offered their resit opportunity before or in August of the same year.
4. MRes students who fail the dissertation should not register on the EngD programme in the following academic year but remain on the MRes and resubmit the dissertation by the end of the first term in the following academic year. The Board would then consider the award for these students in January, when they would be allowed to register on the EngD if they passed. If, as a result, they missed taught components which formed part of the EngD registration, these should be followed at the point when they are next available.

4.2   Duration of Programme of Study

1. Full-time: four calendar years or three calendar years for students holding the MRes (see [Chapter 1, Section 2.3: MRes Progression to the EngD](#)).

4.3   Curriculum

1. The programme of study for the degree of Doctor in Engineering in the field of Virtual Environments, Imaging and Visualisation includes formally taught elements which provide

academic underpinning for the research undertaken. Candidates are required in the first year normally to complete taught elements, a research and transferable skills programme, a group project, and to complete a written report on research work. In the second year, candidates must complete a further research report and, in the second and subsequent years candidates must complete additional taught courses. To complete the EngD, candidates must undertake substantial research work resulting in a thesis, and undergo a final oral examination in accordance with Chapter 5, Part A, Section 5: Final Examination. All research carried out during any period of study for the VEIV Engineering Doctorate may be included in the thesis provided it has not been presented for award of any other degree.

Further guidance

i) Students who have progressed from an MRes to the EngD are not required to take the year one formally taught elements.

First-Year Elements (four-year students)

2. Candidates are normally required in the first year to follow a programme of taught courses, professional and research training, group project work, and research, structured as three components: (i) the underlying technical knowledge and skills needed for research in the field of study, (ii) the generic research, professional and transferable skills required for the translation of such skills into scientific and engineering outcomes and for the management and delivery of a research programme, and (iii) research work. In order to progress beyond the first year of the EngD programme, candidates must successfully complete respectively: (i) seven half-unit taught postgraduate courses or equivalent modules, including compulsory core courses and modules; (ii), professional and transferable skills courses and group project work; and, (iii), a research report of not less than 10,000 and not more than 25,000 words and presentation.

Second-Year Elements

3. Candidates are normally required to complete one or two additional half-unit taught postgraduate courses or equivalent modules, to complete a second research report of not less than 10,000 and not more than 25,000 words and presentation, and to undergo a preliminary oral examination on their research work.

Taught Courses and Training Elements

4. In subsequent years, candidates must normally complete further approved postgraduate courses or modules so that at least ten such half-unit courses or equivalent modules are completed during the four-years of the EngD programme. They should normally, in the second and third years of the programme, also follow an appropriate scheme of continuing professional development to supplement the research, professional and transferable skills programme taken in the first year. Candidates must have achieved a satisfactory standard in the research part of the programme in order to qualify for submission of the thesis.

Thesis

5. The thesis shall be submitted in accordance with Chapter 5, Part A, Section 5: Final Examination.

4.4   Assessments and Final Examinations

1. Assessments qualifying a candidate for submission of a thesis shall take place within the period of the overall programme and shall be by written examinations or coursework, as prescribed for each individual postgraduate course or module.
2. All assessments will be overseen by an examiner external to UCL. A candidate failing any assessments (whether by written paper or by coursework) will be permitted to re-enter the examinations for the course or module in question on one occasion only.
3. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme as detailed above, and dependent on the final oral examination. The thesis must meet the same

requirements as those prescribed in Chapter 5: Assessment Framework for Research Programmes.

4. The final oral examination shall be conducted by at least two examiners, at least one of whom shall be external to the University. The examination will be designed to test the thesis against the criteria above and will further examine the candidate's conception and understanding of the integration of all elements of the programme and their related assessment.

5. Candidates who are unable to fulfil the requirements of the EngD will, on the recommendation of the VEIV Board of Examiners, be awarded either a VEIV MSc or a VEIV MRes degree provided that they have satisfied the requirements of these degrees. Candidates may not hold both awards.

6. Candidates, other than those holding the MRes in Computer Vision, Image Processing, Graphics and Simulation, who fail the thesis or final oral examination for the EngD and fail on resubmission or re-examination of the final oral, may be awarded an MRes subject to the requirements for the VEIV MRes being met. Such an award would be at the recommendation of the VEIV Board of Examiners, not of the examiners of the thesis.

4.5   Dates of Assessment and Final Examination

1. Modules for the taught part of the programme (for four year students) will be assessed by the methods and at the dates indicated for the module in question.

2. Submission of the thesis shall be by the end of the final year of the programme or normally within a calendar year of the date of completion of the programme of study.

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LONDON'S GLOBAL UNIVERSITY

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part D: Doctor of Public Administration (DPA) Regulations

1   Admissions

1.1   Standard Qualifications for Admission

1. The normal minimum entrance qualifications for registration for the degree of Doctor of Public Administration is the award of a first or upper second class Honours degree, or equivalent overseas qualification, in an appropriate discipline.
2. Relevant postgraduate or policy experience may be acceptable where the first degree is a lower second-class Honours degree or equivalent overseas qualification.

1.2   Alternative Qualifications for Admission

1. Applicants possessing alternative qualifications may also be considered by UCL for registration.
   i)   An applicant who possesses a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in Section 1.1, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
   ii) An applicant who possesses a qualification obtained by written examination other than those covered above, if UCL is satisfied that the candidate's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the candidates who are able to satisfy the entrance requirements in one of the ways prescribed above.
2. UCL may prescribe a qualifying examination for such an applicant prior to admission.

Further guidance

1. Departments wishing to admit such an applicant, as described in 1.2 above, must obtain written authorisation from the Chair of the Research Degrees Committee via Admissions in Student and Registry Services. An applicant for registration may also be required to pass a qualifying examination. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.
2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 1: Student Recruitment and Admissions.

2 Registration

2.1 Dual Registration

1. A student is not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

Further guidance

1. Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they have completed their registration with another institution.

2.2 Initial Registration

1. Every student must complete enrolment as instructed within two weeks of the start of their research programme and must undertake to comply with the conditions of enrolment.
2. An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration — i.e. the original diploma or certificate of the awarding body.

2.3 Exemption from Part of a Programme of Study

1. UCL may exempt from part of the programme of study of the DPA degree, research degree students who have commenced a programme of study for the DPA degree (or equivalent degree) of another university in the United Kingdom, provided that the programme of study followed at UCL is not less than one calendar year, or its equivalent in part-time study.

Further guidance

1. Applications for exemption should be made at the point of admission and are considered on a case-by-case basis.
2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 1: Student Recruitment and Admissions.
3. Back-dated registration is not usually permitted by UCL. In exceptional circumstances however, requests for back-dating registration may be considered by the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk subject to the following conditions:
   i) The statement from the supervisor and/or the Head of Department gives strong academic reasons for the request and confirms in writing that the student has been undertaking relevant research since this date.
   ii) There is evidence that the student has been fully supervised.
   iii) There is a good reason provided explaining why the student was not formally registered from the requested start date.
4. If the back-dating is granted, regardless of the time period requested, the student should be aware that he or she is liable for tuition fees from the date of retrospective registration and that the date for submission of the thesis will be calculated from this date.

2.4 Course of Study

2.4.1 General

1. All research degree students are required to pursue a course of study prescribed by UCL.
2. A programme of study may require attendance at lectures and coursework as prescribed by UCL. A candidate's registration on a UCL programme will be dependent upon their continued satisfactory progress as determined by UCL.
3. All research students are required to use the Online Research Student Log.
4. For more information about the Research Student Log and other requirements see the Code of Practice for Graduate Research Degrees.

2.4.2 Doctor of Public Administration

1. The formal taught part of the DPA is comprised of the following elements:
   i) 6 core modules (90 credits).
   ii) 2 specialisation modules (30 credits before submission).
   iii) Pilot study with 120 credits awarded upon successful completion of the MRes component (a research report of not less than 15,000 and no more than 25,000 words with oral examination).
      - Full-time candidates are expected to complete this project within 12-18 months, and in all circumstances must complete within 24 months.
      - Part-time candidates are expected to complete this project within 18-24 months, and in all circumstances must complete within 36 months.
   iv) Candidates are also expected to undertake professional and transferable skills courses and research ethics training. Training for teaching (either in the form of a Prof Cert or similar) is optional.
2. Students must have passed modules to a minimum value of 240 credits in order to qualify for submission of the thesis.

2.5 Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL. Students must be in a position to meet all the requirements determined for their studies.
2. Students, whether full-time or part-time, are expected to centre their academic studies on UCL and their policy-oriented partner organisation. Students should ensure they are able to attend UCL in person for teaching and meetings as required by their supervisors.

2.6 Length of Programme

1. The length of the DPA is normally four calendar years of full-time study or six calendar years of part-time study.
2. Unless prior exemption from a part of the programme has been agreed, a student must be registered for at least two calendar years full time, or three calendar years part time before they will be allowed to submit their thesis for examination for the DPA degree.
3. Unless prior exemption from a part of the programme has been agreed, a student must be registered for at least four calendar years full time, or six calendar years part time, before they will be eligible to adopt Completing Research Status (see Section 4).
4. Students may not interrupt their period of registration without prior permission from UCL.

Further guidance

1. Requests to submit a thesis earlier than the minimum periods of registration specified in the regulation above may be considered by the Chair of the Research Degrees Committee. Requests should be made in writing via researchdegrees@ucl.ac.uk and should include a statement of support from the supervisor and/or Head of Department. The Research Degrees Committee will monitor the outcome of such requests by scrutiny of examiners' reports on the candidates' theses. Students and staff should note that early submission of a thesis will not be considered as an extenuating circumstance when deciding the outcome of the examination of a thesis.

2. Students who submit early would be liable for tuition fees up to the date of the submission of the thesis but would not be liable for tuition fees thereafter.

2.7 Annual Leave

1. Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.

2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.

3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.

4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.

5. Funded Students must ensure they continue to meet their funder Terms & Conditions.

6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

2.8 Interruption of Study

1. Interruption of study may be granted on the authorisation of the Director of Student Administration, on behalf of the Research Degrees Committee, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar year and any further period of interruption of study will be considered one year at a time. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not normally be considered grounds for interruption of studies.

2. Interruption of study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:
   i)   The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts;
   ii) The date when the submission of the thesis falls due following resumption of study falls within ten years of the date of original registration;
   iii) Written assurances that the research will still be valid are provided by the supervisor and/or the Head of Department, with supporting documentation.

3. The Students website provides further detail on the Interruption of Study Procedure.

2.9 DPA Progression Point

1. Progression from the initial stage of the DPA degree to the final stage involves fulfilling academic requirements and a progression viva. This progression may be made not less than twelve months after initial registration for the DPA degree for full-time students, and not less than eighteen months after initial registration for the DPA degree for part-time students. A student who fails to achieve progression to the final DPA stage may, if all other conditions are met, be awarded an MRes degree as exit award.

2.10 Transfer Between DPA and MPhil/PhD

1. A student may, with the permission of UCL, transfer from the DPA degree to the MPhil/PhD degree, provided they have not entered for the examination of the DPA degree; or from the MPhil/PhD degree to the DPA degree provided they have not entered for the examination of an MPhil or PhD degree.
2. Students wishing to transfer from an MPhil/PhD to a DPA degree, or vice versa, should contact researchdegrees@ucl.ac.uk.

3 Supervisory Arrangements

3.1 Supervisors: General

1. Each UCL student registered for the DPA degree shall have appointed one Principal and one Subsidiary Supervisor, who shall be members of staff of UCL or members of staff of an institution with an approved agreement with UCL. All supervisors must be approved by their Faculty Graduate Tutor before they undertake supervision of research students.
2. In the case of DPA programmes, each student will have a Policy Supervisor who will act as contact person with UCL on behalf of the policy-oriented partner organisation and who provides advice on policy relevance, but who does not formally make part of the supervisory team.

Further guidance

1. Principal and Subsidiary Supervisors shall be appointed by the appropriate departmental/divisional Postgraduate Committee, or its equivalent body.
2. Honorary members of staff may be appointed as either Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Faculty Graduate Tutor on behalf of the Research Degrees Committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research activity, including publications and grant income. Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 3.2 below.
3. Retired members of staff shall not normally be appointed as supervisors except by the specific agreement of the Research Degrees Committee. In instances where a member of staff serving as Principal Supervisor retires, continued supervision by the staff member is only permissible if explicitly agreed by all parties (the student, the supervisor and department), and this decision is recorded by the department. In addition, the following arrangements must also be put in place and reviewed annually by all parties to confirm they are working effectively:
   - The existing Subsidiary Supervisor shall be appointed as joint Principal Supervisor with the retired member of staff;

- A third supervisor shall be appointed to the supervisory team as Subsidiary Supervisor.
4. Supervisors can be appointed from institutions with an approved agreement with UCL. Such supervisors must have the status of honorary members of UCL staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees in the UCL Academic Manual.
5. For more information on the role of the supervisor see the Code of Practice for Graduate Research Degrees.

3.2 Supervisors: Eligibility

1. The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found in Eligible Staff Categories for Supervising Research Students on the Chapter 5 webpage of the UCL Academic Manual.
2. UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3. A Principal Supervisor for a DPA should normally:
   a) have satisfactorily completed any probationary period attached to his/her appointment;
   b) have expertise in the area of the proposed research;
   c) have had previous experience of at least one successful DPA, MPhil/PhD or EngD supervision within a supervisory team (defined as having taken a student all the way through to a research degree award).
4. A Subsidiary Supervisor for a DPA should normally:
   a) have expertise relevant to the area of proposed research;
   b) be familiar with the standards required for DPA, MPhil/PhD or EngD research.
5. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.
6. A Research Associate may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
   a) have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
   b) be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.

Further guidance

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.
2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of DPA, MPhil/PhD or EngD supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

3.3 Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time research students at any one time.

Further guidance

1. The maximum number of students [head count], whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be nine, using the following formula:

1 Part-Time student	0.5 for a Principal Supervisor
1 Full-Time student	0.5 for a Subsidiary Supervisor
1 Part-Time student	0.25 for a Subsidiary Supervisor

2. Where a supervisor exceeds the maximum number of students under his/her supervision, the supervisor's department must be able to demonstrate that there are mechanisms in place to ensure adequate contact with the student and appropriate support for the supervisor, such as a large supervisory team and/or a reduction in other workloads.
3. For example, an individual may act as Principal Supervisor to four full-time students and one part-time student while acting as Subsidiary Supervisor for two part-time students. This is the equivalent of five full-time students and is within the head count of nine students. Consideration should be given to the other duties of the member of staff concerned. Departments/divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.
4. Part-time staff appointed as supervisors should supervise no more than six full-time research students on a pro-rata basis.

3.4 Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising, in accordance with the UCL Personal Relationships Policy.

3.5 Transfer of Supervisor to another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor – if they choose to remain registered at UCL – normally by the Departmental/Divisional Graduate Tutor. Should a student wish to continue to work under the supervisor who has transferred, he or she may consider applying to transfer registration to the supervisor's new institution, providing he or she is not in the final year of the programme.

4 Completing Research Status

4.1 General

1. All research students who have completed their approved period of registration may register as CRS students while they write up their theses. Transfer to CRS status is only permitted with the approval of a student's supervisor or other departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full time) or two calendar years (part time). CRS registration cannot be interrupted; a student who is prevented from submitting a thesis for reasons beyond his or her control may apply for an extension, as detailed in 4.4 below.
3. A DPA student must be registered for at least four calendar years full time or six calendar years part time before he or she will be eligible to take up CRS status. A student who changes from full to part time during the approved period of registration must have been registered for a minimum of one year part time before being entitled to two years of part-time CRS status.
4. In addition to completing the approved period of registration, a student must meet the following conditions before being permitted to take up CRS status:
   a) Have passed modules to a minimum value of 240 credits;
   b) Be in a position to submit his or her thesis within 12 months (for full-time students) and 24 months (for part-time students);
   c) Have met any other departmental or divisional conditions.
5. Further guidance is available from the Completing Research Status webpages.

4.2 Completing Research Student Status (CRS): Entitlements

1. During the period of CRS registration, a student is entitled to have at least one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

Further guidance

1. Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
2. A CRS student in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a CRS student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's supervisor and Head of Department/Division.
3. The student's department/division may, at its discretion, give any other supervisory assistance during the writing up period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

4.3   Submission of Thesis

1. A student must submit a thesis for examination before the end of his or her CRS period. A student will remain registered after the submission of his or her thesis until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

4.4   Extensions to the Completing Research Period

1. A student who cannot submit a thesis for examination before the end of CRS due to circumstances outside his or her control may apply for an extension. The maximum period of extension is one year full time and two years part time.

Further guidance

1. Applications for extension to CRS must be made on Portico. Applications must be supported by a student's department and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the control of the student. Work commitments or any duties carried out for a department are not considered grounds for extension; submission of a thesis is expected to be a priority. Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments are expected to make arrangements for alternative supervision under such circumstances.

4.5   Submission of a Thesis after the end of CRS

1. A student who submits late will be liable for a Submission Extension Fee.
2. A student who does not submit a thesis before the end of his or her CRS registration will cease to be registered as a student at the end of this CRS period. He or she will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice. In addition, any student who wishes to submit after the end of his or her CRS registration will require permission to do so; this must be supported by a student's supervisor or other departmental authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department require this.

Further guidance

1. All students who submit after the end of their CRS registration will pay a fee equivalent to the part-time home fee current at the time (see Submission Extension Fees for Research Students). This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months. For submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission.

4.6   Resubmission of a Thesis

1. A student whose thesis is referred by his or her examiners for substantial revision within 18 months will remain registered as a submitted student on the basis of 4.3 above, provided the original submission was not after the expiry of a period of CRS status. He or she will have access to UCL facilities and will be entitled to have at least one draft of his or her

thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before re-submission. If a student's revisions require more supervision or further access to UCL laboratories or other facilities, he or she may be required to re-register as a fee-paying student for the period of this supervision or access.

2. A student who is required to re-submit must re-enter for the examination by completing the Examination Entry Form available on Portico (see Research Degree Examination Entry webpages).

5 Assessment

5.1 Assessment of Taught Elements

1. Assessments qualifying a candidate for submission of a thesis shall take place within the period of the overall programme and shall be by written examinations or coursework, as prescribed for each individual course or module.
2. All such assessments will be overseen by an examiner external to UCL.
3. A candidate failing any assessments (whether by written examinations or coursework) will be permitted to re-enter the examinations for the course or module in question on one occasion only.
4. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme, and on the final oral examination.
5. Modules for the taught part of the programme will be assessed by the methods and at the dates indicated for the module in question.

5.2 Requirements of a Thesis

5.2.1 Theses: General

1. The greater proportion of the work submitted in a thesis must have been undertaken after the registration of the student for the DPA degree.
2. The work in the thesis submitted by a student must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact.
3. A student will not be permitted to submit a thesis that has been submitted for examination for a degree, or comparable award, of this or any other university or institution. However, students may incorporate into a thesis previously examined fieldwork which they have already submitted for a degree or comparable award of this, or any other university or institution. In such a case this must be indicated on the Examination Entry Form and the incorporated fieldwork must be clearly identified as such in the thesis submitted for examination.
4. Students may submit the results of work done in conjunction with their supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated and a statement of confirmation is certified by the supervisor.
5. The decision of a student to submit a thesis should be made in consultation with the student's supervisor(s). The decision to submit a thesis in any particular form rests with the student alone.

Further guidance

1. An allowance may be made in the case of a student who has transferred from another institution (see Section 2.3 Exemption from Part of a Programme of Study).
2. Students should also include in each copy of their thesis a signed declaration that the work presented is their own. This may be inserted between the title page and the contents page of the thesis in the following terms:

'I, [Student's full name], confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.'

5.2.2   Requirements of a DPA Thesis

1. A thesis for the award of a DPA degree shall be examined in accordance with the criteria prescribed by UCL and the thesis shall demonstrate that it:
   a) is genuinely the work of the candidate;
   b) shows a student's capacity to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;
   c) embodies the results of a research programme which may reasonably be expected of a student after four years of full-time study or six years of part-time study, formulated and carried out by the student in consultation with the supervisors;
   d) consists of a student's own account of their investigations, the greater proportion of which shall have been undertaken during the period of registration under supervision for the degree;
   e) represents a distinct and significant contribution to the subject, whether through the discovery of new knowledge, the connection of previously unrelated facts, the development of new theory, or the revision of older views;
   f) shows the exercise of critical judgement with regard to both a student's own work and that of other scholars in the field;
   g) is an integrated whole and presents a coherent argument;
   h) gives a critical assessment of the relevant literature, describes the method of research and its findings, includes discussion on those findings and indicates in what respects they appear to the student to advance the study of the subject; and, in so doing, demonstrates a deep and synoptic understanding of the field of study, (a student being able to place the thesis in a wider context), objectivity and the capacity for judgement in complex situations and autonomous work in that field.
   i) is satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;
   j) takes due account of previously published work on the subject;
   k) makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;
   l) contains an element which might, after any necessary revision, merit publication in a medium appropriate to the discipline (for example as a monograph or as a number of articles in learned journals);
   m) shows a student's ability to design and implement an independent research project.
2. A series of papers, whether published or otherwise, is not acceptable for submission as a thesis. Research work already published, or submitted for publication, at the time of submission of a thesis, either by a student alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of a thesis but may be adapted to form an integral part of a thesis and thereby make a relevant contribution to the main theme of a thesis. Publications derived from the work in a thesis may be bound as supplementary material at the back of a thesis.

5.2.3   Language of a Thesis

1. All theses must be written in English.
2. In all cases, the oral examination of a thesis would normally be conducted in English.

5.2.4   Word Length of a Thesis

1. The required word length for a DPA thesis is 60,000 – 100,000 words, comprising an overarching analysis component of 40,000 - 60,000 words and a portfolio of policy problems tackled in a policy placement of 20,000 - 40,000 words.
2. The maximum word length includes footnotes, tables and figures but excludes bibliography, appendices and supporting data.

Further guidance

1. Where the above prescribes the maximum allowable length for DPA theses, this is not necessarily the preferred length. In many instances supervisors may wish to recommend a shorter length. Students should consult their supervisors on the usual length of theses in their subject area or topic.
2. The signature of the student and the Principal Supervisor on the Examination Entry Form to the DPA examinations (see the Research Degree Examination Entry webpages) shall be taken as confirmation that the thesis submitted is within the required word limit
3. 'Supporting data' refers largely to raw data which is not essential to the argument of the thesis. Appendices are not in the word count and should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish. Examiners are not required to read beyond the maximum word limits. Where the thesis itself is an edition of a text or texts, normally in the field of literature, the above word limits may not apply.

5.2.5   Format of a Thesis

1. The thesis should be submitted in the format determined by UCL at the time of submission. Further information and guidance is available on the Thesis Formatting webpages and on the Research Degree Examination Entry webpages.

5.2.6   Approval of a Thesis Title

1. A student must have the title of his/her thesis approved by his/her Principal Supervisor.
2. The approved title is submitted to UCL on the Examination Entry Form submitted to researchdegrees@ucl.ac.uk.

5.2.7   Availability of a Thesis

1. After the examination has been completed and before the degree is awarded, successful students must submit one electronic copy to UCL, via the Research Publications Service (RPS), for lodging in the UCL library.
2. A soft-bound copy of the thesis may also be submitted to the UCL Library, if desired. This may include artefacts related to non-traditional formats of a thesis. Further information and guidance is available on the Thesis Formatting webpages.
3. The process of final thesis submission, both the electronic and optional hard copy, is managed by the Open Access Team.
4. A student may apply to UCL at the time of registration or thereafter, for restriction of access to their thesis and/or the abstract of their thesis on the grounds of commercial exploitation or patenting. In very exceptional circumstances, if the thesis includes material that is significant for national security, subject to approval of UCL, copies of the thesis placed in the public domain, with the agreement of the graduate concerned, may have certain parts excised from them. Applications to restrict access to a thesis should be made via the Library.

5.3 Examination Entry

5.3.1 Examination Entry Form

1. Before the thesis is submitted for examination, an Examination Entry Form must be submitted to UCL.
   i) The Examination Entry Form may not be submitted earlier than six months before the completion of the prescribed programme and must be submitted not later than four months before the submission of the thesis. For the entry form and more information, see the Research Degree Examination Entry webpages.
   ii) A student is required to submit to his/her supervisor a short description of the content of the thesis in about 300 words, the short description must be submitted to the Registry with the Examiner Nomination Forms, to assist in the appointment of suitable examiners (see the Chapter 5 webpage for more details).

5.3.2 Thesis Submission

1. Prior to examination, candidates are required to submit their e-thesis to UCL for dispatch to their examiners. Further information and guidance is available on the Thesis Formatting webpages.
2. After the examination and before the award is made, candidates entering for a UCL award are required deposit one e-thesis in the UCL Institutional Repository.

Further guidance

1. A candidate for the DPA degree is required to bring to the oral examination a copy of his/her thesis which is identical to the copies submitted to researchdegrees@ucl.ac.uk. Further information and forms are available on the Research Degree Examination Entry webpages and on the Thesis Formatting webpages.

5.3.3 Dispatch of Theses to Examiners

1. A thesis will be sent, via researchdegrees@ucl.ac.uk, to both examiners at least four weeks in advance of an oral examination.
2. Examiners will normally use an electronic copy of the thesis, but an Examiner may request the student provide a hardcopy, if required. Further information and guidance is available on the Thesis Formatting webpages.
3. Direct submission of theses to examiners by students, supervisors or departments/ divisions is not permitted.

Further guidance

1. All theses will be submitted to UCL via researchdegrees@ucl.ac.uk. Theses will be sent to both examiners by UCL Student Records. Supervisors and students should note that theses will only be sent to examiners who have been formally appointed by UCL and only after the Examination Entry Form has been submitted in accordance with the Examination Entry Guidelines on the Research Degree Examination Entry webpages.
2. Supervisors and students for examination should ensure that all examination entry requirements have been met in good time before a planned oral examination takes place.
3. Oral Examinations cannot proceed if the requirements for the examination entry, including the formal appointment of examiners, have not taken place in accordance with UCL regulations. The outcome of any examination conducted in such an instance would be void.

5.3.4   Reasonable Adjustments

1. Under the Equality Act 2010, UCL is required to make Reasonable Adjustments to learning, teaching and assessment to ensure that disabled students are not put at a substantial disadvantage. UCL can also provide Reasonable Adjustments for students who might not consider themselves to have a 'disability' but who nevertheless would benefit from additional support with their studies due to an ongoing medical or mental health condition. For further information about Reasonable Adjustments, and how to apply, please see Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions.

5.4   Appointment of Examiners

5.4.1   The Appointment of Examiners for Research Degrees

1. Two examiners will be appointed for each candidate in accordance with the UCL Procedures for the Appointment of Examiners (see the Chapter 5 webpage for more details). One of the examiners shall be external to UCL; the other shall normally be a member of staff of UCL.

Further guidance

1. For each student, two examiners shall be appointed by the UCL Research Degrees Committee on the recommendation of the appropriate Departmental and Faculty Postgraduate Committees or equivalent bodies. Two external examiners may be appointed in lieu of an internal examiner if, on grounds of academic expertise or other reasons, a suitable individual within UCL cannot be nominated.
2. An examiner shall not have acted as either Principal or Subsidiary Supervisor of the thesis to be examined, nor have been involved in any way with the candidate or project to be examined, including the DPA progression point.
3. In the case of a student who is a member of staff of UCL, no examiner may be appointed who is internal to UCL if they are from the same department as the student or supervisor(s). However, where nobody else is available with sufficient expertise an examiner from the same department may be appointed if a Viva chair is used.
4. It is desirable that no examiner, either internal or external, should be appointed on more than three consecutive occasions for the same supervisor. Generally, supervisors and departments are asked to avoid repeatedly nominating the same person as an examiner, or nominating each other to act for the other's student, within a short time frame.
   a) External Examiners:
      Normally, an individual external examiner should not be appointed more than once during a given year by members of the same UCL department.
   b) Internal Examiners:
      Normally, an individual internal examiner should not be appointed more than five times during a given three year period by members of the same UCL department.
5. Further guidelines on the appointment of examiners and nomination forms are available on the Chapter 5 webpage.

5.4.2   The Appointment of Additional Examiners

1. Exceptionally a third examiner, who must be external to UCL, may be appointed with the approval of UCL.

i) Exceptionally a third examiner may be appointed with the approval of the UCL Research Degrees Committee. A third examiner will be appointed in cases where, between them, the two examiners do not feel they have a sufficient level of expertise to examine the thesis.

ii) A third examiner may also be appointed where there is a dispute between two examiners about the result of an examination which they cannot resolve between themselves.

iii) In accordance with UCL regulations, the third examiner must be external to UCL.

iv) The third examiner will, however, be nominated and appointed through usual UCL procedures and using the Examiner Nomination Form on the Chapter 5 webpage.

5.5 Conduct of the Research Degree Examination

1. The examiners shall prepare independent preliminary reports on the thesis, conduct an oral examination and submit a final, joint report to UCL.

2. The candidate's supervisor shall be invited, unless the candidate indicates otherwise on his/her entry form, to attend the oral examination as an observer. The oral examination will otherwise be conducted in private.

3. The oral examination should be held at UCL or held remotely and the agreed configuration noted on the Examination Entry Form.

4. Where no configuration can be agreed the oral examination should be held at UCL by default.

5. Where the oral examination is held remotely it is recommended that the supervisor or other designated contact in the student's department is available at the time of, and after, the viva to provide technical and emotional support if needed.

Further guidance

1. The examiners shall prepare independent preliminary reports on the thesis to assist in conducting the oral examination. Copies of the preliminary reports for DPA students should be submitted to researchdegrees@ucl.ac.uk together with the final, joint report. The preliminary and joint reports will be released to students.

2. Examiner report forms and procedural information are available from the Chapter 5 webpage.

3. Each final, joint report by the examiners shall indicate whether the thesis meets the requirements specified in Section 5.1 as appropriate and shall include a statement on the examiners' judgement of the student's performance. Examiners have the right to make comments in confidence to UCL in a separate report. Such comments should not be concerned with the performance of the student but may cover matters which they wish to draw to the attention of UCL.

4. All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of material contained in a student's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, have been removed.

5. The supervisor who attends the oral examination does not have the right to participate in the examination of the candidate but may contribute if invited to do so by the examiners. Otherwise the oral examination shall be held in private.

6. UCL may exceptionally agree that the examination be conducted outside London if there are circumstances which make this expedient. Applications to hold an oral examination outside of London should be made in writing to the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk.

7. For further guidance on the conduct of an oral examination, students and staff should also refer to the UCL Doctoral School's [Code of Practice for Graduate Research Degrees](#).

5.6 Outcomes of the Oral Examination

1. Students for a DPA degree must submit a thesis and be examined orally. The following options are open to examiners in determining the result of an examination for the DPA degree:

   a) If the thesis fulfils the criteria (set out in 5.1) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student has satisfied them in the examination and the student has passed the research component of the award.

   b) If the thesis otherwise satisfies the criteria (set out in 5.1) but requires minor amendments, and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within three months, amendments specified by them. The amended thesis shall be submitted to the examiners, or one of their numbers nominated by them, for confirmation that the amendments are satisfactory.

   c) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present their thesis in a revised form within 18 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for the DPA degree for 18 months for re-submission in a revised form, on one occasion only.

   d)

   e) If the thesis fulfils the criteria (set out in 5.1), but the student fails to satisfy the examiners at the oral examination, the examiners may determine that the student be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 18 months.

   f) If, after completion of the examination for the DPA degree, the examiners determine that a student has not reached the standard required for the award of the degree nor for the re-presentation of the thesis in a revised form for that degree, DPA candidates may be awarded an MRes degree, based on the completed MRes component, at the discretion of the DPA Board of Examiners.

   g) The examiners may determine that the student has not satisfied them in the examination and no award will be made.

   h) The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

2. In the case of a thesis for the DPA that is referred for 18 months, if the examiners determine that a student has not reached the standard required for the award of the degree, DPA candidates may be awarded an MRes degree, based on the completed MRes component, at the discretion of the DPA Board of Examiners.

Further guidance

1. Staff and students should also refer to the Doctoral School's [Code of Practice for Graduate Research Degrees](#) for further guidance on the examination of research degree students.

5.7 Research Misconduct

1. All cases of suspected research misconduct, including plagiarism, shall be investigated in accordance with the regulations set out in the [Chapter 5, Part A, Section 5.6: Research Misconduct](#) and with the [UCL Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research](#).

5.8 Appeals

1. Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

5.9 Graduation Ceremonies

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications (see the [UCL Graduation Ceremonies](#) website).
2. 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. For further information see the [Graduation: Academic Robes web pages](#).

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part E: IOE Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) (DEdPsy PECAP) Regulations

Covering DEdPsy students at the UCL Institute of Education.

IOE students are also subject to the *UCL Code of Practice for Research Degrees* and to the *UCL Research Governance and Ethics Policies and Procedures*.

1 Regulations for Students Entering after September 2015

1. Introduction

1.1 These regulations govern the conduct and award of the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) (DEdPsy PECAP), the Master of Science (MSc) in Theoretical Educational Psychology and the Postgraduate Diploma in Educational Psychology.

1.2 The regulations are made subject to the *UCL Academic Manual*, and all other relevant regulations, policies and procedures as well as any statutory requirements administered by the British Psychological Society and the Department for Business Innovation and Skills.

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *UCL Academic Manual* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *UCL Academic Manual, Chapter 5, Part B, Section 1: Professional Doctorate Admissions*.

3.2 The normal minimum entrance qualification for registration for the degree of DEdPsy in Professional Educational, Child and Adolescent Psychology is:

3.2.1 a second class honours degree of a United Kingdom university or an educational institution of university rank, or an overseas qualification of obtained after a course of study extending over not less than three years which confers eligibility for Graduate Basis for Registration with the British Psychological Society; plus

3.2.2 evidence of at least one year's satisfactory experience of work with children within an educational, childcare or community setting; and

3.2.3 evidence of an acceptable Enhanced Disclosure from Disclosure and Barring Service obtained immediately prior to the start of the programme.

3.3 Candidates for admission may in addition be required to pass an approved English language test (details can be found on the UCL website at: http://www.ucl.ac.uk/prospective-students/graduate/life/international) and other tests prescribed by UCL as a condition of registration.

3.4 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission as determined by the Institute.

3.5 At the discretion of the Programme Leader, a candidate who fails to pass a qualifying examination prescribed for him/her will not be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

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3.6 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by UCL is required.

3.7 Every candidate must make application to UCL in accordance with the *UCL Academic Manual, Chapter 5, Part B, Section 1: Professional Doctorate Admissions* and any other procedures prescribed by UCL.

4. Registration

4.1 Students registered for a course of study at UCL shall not normally be permitted to register concurrently for another course at UCL or at any other higher education institution.

4.2 A student must register for a course of study in accordance with the procedures issued annually by the Registrar and the *UCL Academic Manual, Chapter 5, Part B, Section 2: Professional Doctorate Registration.*

4.3 A student who withdraws before completing the programme of study may be required to re-start the whole programme or to repeat elements of the programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 The course of study for the DEdPsy (PECAP) shall consist of formally taught and practical elements which provide academic and professional underpinning for the research undertaken. The course shall comprise:

5.1.1 taught elements, the content of which will be determined by the Institute in relation to the requirements of the British Psychological Society and Health and Care Professions Council and shall vary from time to time, but shall always include a theoretical and practical training in educational psychology and courses on research strategies and methodologies;

5.1.2 supervised professional experience;

5.1.3 a professional development portfolio of not more than 25,000 words reflecting the student's placement activity and how this has enhanced the student's professional development;

5.1.4 a thesis of not less than 30,000, and normally no more than 35,000, words, the subject and method of enquiry of which are to be approved by the supervisor and the appropriate Institute authority.

5.2 The overall research submission (5.1.3 and 5.1.4) shall illustrate the candidate's ability to apply scientific psychological principles at various levels of application of knowledge of educational psychology.

5.4 Assessment criteria specific to each element of the programme are set out in the examination guidance issued annually.

5.5 A candidate must pursue an approved course of study extending over not less than three years of full-time study. For a student granted credit under regulation 6.1, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student.

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5.6 The duration of the course of study shall not normally exceed four years of full-time study.

5.7 A student accepted under regulation 6.1 may be exempted by UCL from part of a course of study for the degree provided that the course of study followed at UCL is not less than two calendar years of full-time registration.

5.8 Students shall normally be required to pursue their course of study continuously, except where permission is granted for an interruption by the Faculty Tutor.

5.9 IOE shall appoint a supervisor and an advisory panel for each of its students registered for the degree in accordance with the *IOE Code of Practice for Research Degrees*.

5.10 A student's progress shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.11 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.12 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.13 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part B, Section 6.7*) will be used to deal with any allegation that any part of a candidate's work has been plagiarised or that there has been any infringement of the declaration in regulation 9.2 below.

5.14 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *UCL Academic Manual, Chapter 6, Section 3: Academic Insufficiency Procedure.*

6. Annual Leave

6.1 Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.

6.2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.

6.3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.

6.4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.

6.5. Funded Students must ensure they continue to meet their funder Terms & Conditions.

6.6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

7. Credit Exemption

7.1 Candidates may, at the discretion of UCL, be given exemption from up to two taught courses for work successfully completed (ie taught and examined) from a comparable professional

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DEdPsy(PECAP) degree programme offered at another approved higher education institution. UCL shall be responsible for ensuring exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's programme at UCL.

8. Examinations

8.1 Candidates for entry to assessment for the DEdPsy(PECAP) degree must satisfy the requirements as laid down in these and the programme handbook.

8.2 All assessments will be undertaken by appointed internal examiners and overseen by examiners external to the UCL. The taught and professional elements of the programme shall be examined by the DEdPsy(PECAP) Board of Examiners, which shall include an external examiner who is an appropriately qualified Educational Psychologist and registered as such with the Health and Care Professions Council (HCPC), unless alternative arrangements are agreed with the HCPC. The examination of the thesis shall be by oral examination conducted by at least two examiners, one of whom shall be external to UCL and one of whom must be appropriately qualified as an Educational Psychologist and registered as such with the HCPC: this examination will be designed to test the thesis against the criteria stated at 8.1 below.

8.3 The timing of the assessment of the taught element of the course, the professional development portfolio, and the thesis shall be in accordance with a schedule to be published by the Faculty Tutor.

8.4 A candidate who fails any assessment in the first or second year will be required to re-take and pass the assessment in August or September of the same year as a condition of continuation on the degree programme.

8.5 Professional competence shall be monitored throughout the placements, with a formal review being held each term, and shall be formally assessed in the third term of each year by the DEdPsy(PECAP) Board of Examiners who shall further examine the candidate's conceptual understanding of the integration of all elements of his/her studies.

8.6 If a candidate fails to satisfy the requirements of a professional placement, an oral examination shall be conducted by at least two examiners, one of whom will be external to UCL. The examination shall cover professional work undertaken in the placement and shall be designed to test the candidate's ability to integrate theory, research and practice at a level appropriate to their year of training. The possible outcomes of the oral examination are:

8.6.1 Placement passed;

8.6.2 Placement passed conditional on demonstration of specific competencies in an additional placement;

8.6.3 Placement failed: candidate permitted to demonstrate the required competencies in an additional placement. More than two placement failures over the course of the programme will result in failure and the candidate may not continue on the degree (see 9.5 below);

8.6.4 Placement failed and candidate not permitted to continue on the degree (see 9.9 below).

8.7 In exceptional circumstances students may be granted permission to extend the deadline for assessment or to defer their assessment. Such requests must normally be made in accordance with the taught regulations in the *UCL Academic Manual, Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.*

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8.8 Students who wish to withdraw their entry for formal assessment in relation to any element of their programme of study must inform the Programme Leader. Such notification shall be provided in writing at least ten days before either the date of the written paper(s) or the last date for submission of coursework assignments, reports or dissertations.

8.9 Students who do not have permission for an extension, deferment or notice of withdrawal and who do not submit to assessment at the proper time will normally be recorded as absent from it and this will count as an attempt.

8.10 A candidate who is prevented by illness or by the serious illness or death of a near relative or by any other cause judged sufficient by the Faculty Tutor from completing an assessment or part of an assessment at the normal time may normally enter for formal assessment in relation to those elements on the next occasion when the assessment is held. At the discretion of the DEdPsy(PECAP) Board of Examiners, such a candidate may instead undertake a special assessment in those elements missed and/or be permitted to submit any prescribed assignment at a date specified by the Board. The special assessment shall be undertaken in the same mode of assessment as the assessment that was missed.

8.11 A candidate who does not at his or her first entry satisfy the examiners in the formal assessment or part of the formal assessment for which he or she has entered may be re-assessed in that element of his or her programme of study on one further occasion only. Deadlines for the resubmission of work for formal assessment or of re-examination shall be specified by the Programme Leader.

8.11 A student who on two occasions fails or is absent from the assessment associated with a course required for the award for which he or she is registered may not continue with the programme of study.

8.12 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

9. Award

9.1 In order to qualify for admission to the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology), a candidate must satisfy the examiners:

9.1.1 that he/she has attained a satisfactory standard in the taught elements of the degree by successfully completing the coursework assignments that assess developing knowledge, skills and competencies in the first two years of the programme;

9.1.2 that the professional development portfolio has shown how the DEdPsy(PECAP) studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

9.1.3 that the candidate has demonstrated a satisfactory level of professional competence in the practical elements of the degree and the formal assessment related to such activity undertaken each year.

9.1.4 that the thesis makes a distinct and significant contribution to the knowledge of the field of study and affords evidence of originality and capacity for autonomous research (see paragraph 10); and

9.1.5 that he/she possesses a conceptual understanding of the integration of all elements of his/her studies.

9.2 Candidates must normally submit their thesis for examination within four calendar years of the date of the initial registration for the degree. The appropriate authorities of UCL may grant permission for a longer period of study in accordance with agreed procedures.

9.3 The successful completion of the Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) provides eligibility to register with the Health and Care Professions Council as a Practitioner Psychologist with the protected title Educational Psychologist and BPS accredited entry training to the Profession of Educational Psychology with eligibility for Chartered status.

9.4 Candidates unable to complete the DEdPsy(PECAP) degree programme may apply for the award of either:

9.4.1 a Postgraduate Diploma in Educational Psychology (see 9.6 and 9.7). This qualification does not permit entry to the Profession of Educational Psychology.

9.4.2 or the Master of Science (MSc) in Theoretical Educational Psychology (see 9.8). This qualification does not permit entry to the Profession of Educational Psychology.

9.5 The award of the Postgraduate Diploma in Educational Psychology shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the academic taught components of the degree programme and specified academic elements of the professional development portfolio as published in the programme handbook. Candidates awarded the Postgraduate Diploma in Educational Psychology shall not subsequently be permitted to present themselves for assessment for the DEdPsy(PECAP).

9.6 A student who fails to satisfy the examiners in the professional development portfolio on two occasions shall not be permitted to continue with his or her programme of study, but may be considered for the award of the Postgraduate Diploma if he or she has attained a satisfactory overall standard in formal assessments associated with the academic taught element of the degree and in specified academic elements of the professional development portfolio as published in the programme handbook.

9.7 The award of the Master of Science (MSc) in Theoretical Educational Psychology shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the academic taught components of the degree programme and have successfully completed the Year 1 and Year 2 Research Reports.

9.8 A student who fails to satisfy the examiners in the DEdPsy(PECAP) thesis may be considered for the award of the MSc degree if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element and has successfully completed the Year 1 and Year 2 Research Reports.

9.9 Candidates awarded the MSc shall not subsequently be permitted to present themselves for assessment for the DEdPsy(PECAP) degree.

9.10 Detailed provisions for the award of the Postgraduate Diploma and MSc degree are appended to these Regulations.

10. Requirements of the thesis

10.1 The thesis shall:

10.1.1   consist of the candidate's own account of his/her investigations and indicate in what respects they appear to him/her to advance the study of the subject;

10.1.2   form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

10.1.3   demonstrate the candidate's capability to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;

10.1.4   demonstrate the candidate's understanding of his/her own professional role and the contribution of the thesis to his/her professional development;

10.1.5   demonstrate the ability to apply psychological principles to professional practice;

10.1.6   give a critical assessment of the relevant literature, describe the method of research and its findings including a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

10.1.7   embody the results of a practice-based research programme which may reasonably be expected of a student, taking into account the required length of the thesis and minimum period of registration for the programme;

10.1.8   be written in English and be satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;

10.1.9   take due account of previously published work on the subject;

10.1.10 make clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;

10.1.11 be not fewer than 30,000 words and normally no more than 35,000 words (exclusive of appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables). Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish;

10.1.12 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

10.2 A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own work.

10.3 A candidate is required to include a declaration of accurate word length in his/her thesis.

10.4 The greater proportion of the work submitted in a thesis must have been carried out after the registration of the student for the DEdPsy(PECAP) degree.

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10.5 A candidate will not be permitted to submit as his/her thesis which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis covering a wider field work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that he/she shall indicate on his/her entry form and also on his/her thesis any work which has been so incorporated.

10.6 A candidate may submit the results of work done in conjunction with his/her supervisor, and/or with fellow research workers provided that the candidate states clearly his/her own personal contribution to the investigation and that the statement is certified by the co-researcher(s) or supervisor.

10.7 Work already published including that published in joint names may be included only if it forms an integral part of the thesis and thereby makes a relevant contribution to the main theme of the thesis. A series of publications alone is not acceptable as a thesis.

10.8 Work undertaken during registration for the DEdPsy(PECAP) degree as part of other elements of the degree may be included in the thesis provided the candidate indicates on the entry form and also on the thesis any work which has been so incorporated.

10.9 Publications in joint names must be certified in accordance with paragraph 10.6 above.

10.10 The title of the candidate's thesis must be approved by the candidate's supervisor.

10.11 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the appropriate office, for lodging in the IOE library, the required number of copies of the thesis in the format specified in the instructions issued by the Programme Leader, if the copies of the theses submitted for examination did not conform with this specification (see also 14.1).

11. Entry to Examination for the Thesis

11.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

11.2 The decision to submit a thesis in any particular form rests with the candidate alone.

11.3 A student may submit a thesis for examination only after the minimum registration period as specified in 5.5 has passed.

11.4 The student's supervisor shall report that he/she has completed the course in accordance with the regulations before a candidate is admitted to the examination for the degree,

11.5 The student must submit the entry form at least **four months** before the submission of the thesis and this will initiate the procedure for the appointment of examiners.

11.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.

11.7 If the candidate has not submitted his/her thesis for examination within 12 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

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11.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

11.9 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Tutor.

11.10 A candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the examiners, and a copy of the statement to which reference is made in regulation 9.6 above.

12. Availability of DEdPsy(PECAP) thesis

12.1. It is a requirement for the award of the DEdPsy(PECAP) degree that one hard bound copy of a successful thesis is placed in the IOE library and one electronic copy to be made available for public reference.

12.2. At the time of entry to the examination candidates for the DEdPsy(PECAP) degree will be required to sign a declaration confirming that the work presented is their own as specified in regulation 9.2, is fit for examination and that a copy may be made available for public reference.

12.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract on the grounds, for example, of commercial exploitation or patenting or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

13. Appointment of Examiners and Conduct of Examination for Thesis

13.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL are removed.

13.2 The outcome of the examination is determined by two or more examiners acting jointly.

13.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience and taking into account the requirements specified in paragraph 8.2. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

13.4 If the candidate is a member of staff at IOE, both examiners shall be external to IOE.

13.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

13.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request

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before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

13.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

13.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

13.9 Candidates must attend for examination at a place and time determined by IOE (see also regulation 11.10).

13.10 The oral examination will be held in London. The Faculty Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

13.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.

13.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

13.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations.*

13.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

13.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

13.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

13.17 The examiners may, at their discretion, consult the independent chair before completing their report.

13.18 Copies of the reports shall be sent to Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be

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available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 13.3).

14. Outcome of Examination of Thesis

14.1 The award of the degree shall be dependent on a satisfactory defense of the thesis in the oral examination as well as successful completion of all the other elements of the course as detailed in paragraph 5.1 above. The oral examination shall be designed to test the thesis against the criteria stated in paragraph 10 above. The possible outcomes of the oral examination are:

Pass

14.1.1 If the thesis fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the DEdPsy(PECAP) degree.

Pass subject to corrections within one month

14.1.2 If the thesis otherwise fulfils the criteria but require(s) corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required corrections. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

14.1.3 If the thesis otherwise fulfils the criteria but require(s) amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within six months of having been notified of the required minor amendments. The examiners shall be required to advise the student of the amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the minor amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 141.4 shall be followed.

Referral – re-present within 12 months

14.1.4 If the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the Examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within **twelve months**. The Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The Examiners may at their discretion exempt from a further oral examination, on re- presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

14.1.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the Examiners at the oral examination, the Examiners may determine that the candidate be permitted

to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

Fail – may not re-present

14.1.6 The Examiners may determine that the candidate has not satisfied them in the examination and that the candidate may not be permitted to resubmit the thesis in a revised form. The Examiners shall not, however, save in very exceptional circumstances; make such a decision without submitting the candidate to an oral examination.

14.2 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the action to be taken.

14.3 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination.

15. Notification of Result of DEdPsy(PECAP) Examinations

15.1 After the report of the examiners for the thesis has been considered by the Research Degrees Examination Board the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 9.11) and all other requirements for the award of the degree have been met.

15.2 A diploma under the seal of the UCL shall be subsequently delivered to each candidate who has been awarded a degree.

15.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

15.4 No person will be awarded any qualification who has not settled any account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

15.5 Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

15.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

1.1   Master of Science (MSc) in Theoretical Educational Psychology

Appendix to Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) Regulations:

REGULATIONS FOR THE AWARD OF THE MASTER OF SCIENCE (MSc) IN THEORETICAL EDUCATIONAL PSYCHOLOGY

Students who register initially for the Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) degree may be awarded the degree of Master of Science in Theoretical Educational Psychology in accordance with the provisions below.

1. Conditions for award

1.1 Students may be eligible to be considered for the award of the MSc in Theoretical Educational Psychology if they have successfully completed the taught elements of the Doctor in Educational Psychology degree as specified in 8.8 of the DEdPsy(PECAP) regulations by achieving a pass grade in each of the required academic courses, provided:

1.1.1 they have been registered for not less than one calendar year of full-time study at UCL; and

1.1.2 they have not applied for any other award on the basis of their results in the taught elements and the Year 1 and Year 2 Research Reports.

1.2 The Regulations and examination provisions which govern the DEdPsy(PECAP) degree for which the student registers shall apply to those elements of the degree which count towards the award of the MSc.

1.3 A student who opts for the award of the MSc may not subsequently receive credit towards the award of the Doctor in Educational Psychology degree or any other award offered at UCL for the passes in the assessed elements of the DEdPsy(PECAP) programme which were used for the award of the MSc degree.

2. Examination

2.1 A candidate will be examined in accordance with instructions governing formal assessment in force at the time he or she is considered for the award of the MSc.

2.2 In order to qualify for admission to the degree of Master of Science, a candidate must satisfy the DEdPsy(PECAP) Board of Examiners:

2.2.1 that he/she has attained a satisfactory standard in the taught academic elements of the degree as published by the Programme Leader; and

2.2.2 that the candidate has attained a satisfactory standard in the Year 1 and Year 2 Research reports.

3. Notification of result

3.1 After the DEdPsy(PECAP) Board of Examiners have reached a decision, every candidate shall be notified by Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded the degree. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma for the degree shall bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

1.2   Postgraduate Diploma in Educational Psychology

REGULATIONS FOR POSTGRADUATE DIPLOMA IN EDUCATIONAL PSYCHOLOGY

Students who register initially for the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) may be awarded the Postgraduate Diploma in Educational Psychology in accordance with the provisions below.

1. Conditions of Award

1.1 Students who successfully complete the taught element of the DEdPsy(PECAP) degree by achieving a pass grade in each of the required academic courses through studies at UCL as specified in 8.6 of the DEdPsy(PECAP) regulations are eligible to be considered for the award of the Postgraduate Diploma in Educational Psychology, provided they have not applied for any other award on the basis of results in the taught courses.

1.2 Pass grades on the basis of which the Postgraduate Diploma in Educational Psychology is awarded must have been achieved through assessments relating to the taught academic elements of the DEdPsy(PECAP) degree programme and specified academic elements of the professional development portfolio as published by the Programme Leader.

1.3 The regulations and examination provisions which govern the DEdPsy(PECAP) degree for which the student registers shall apply to those courses which count towards the award of the Postgraduate Diploma in Educational Psychology.

1.4 A student who opts for the award of the Postgraduate Diploma in Educational Psychology may not subsequently receive credit for the passes in courses which led to the award of the Postgraduate Diploma in Educational Psychology towards the award of the DEdPsy(PECAP) degree or any other award offered at UCL.

2. Examination

2.1 A candidate shall be examined in accordance with the instructions governing formal assessment in force at the time he or she is considered for the award of the Postgraduate Diploma.

2.2 In order to qualify for the award of the Postgraduate Diploma in Educational Psychology a candidate must satisfy the DEdPsy(PECAP) Board of Examiners that he/she has attained a satisfactory standard in courses which comprise the academic taught components of the degree programme and specified academic elements of the professional development portfolio as published by the Programme Leader.

3. Notification of result

3.1 After the DEdPsy(PECAP) Board of Examiners have reached a decision, every candidate shall be notified Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of University College London shall be subsequently delivered to each candidate who has been awarded a Postgraduate Diploma. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

2 Regulations for Students Entering before September 2015

1. Introduction

1.1 These regulations govern the conduct and award of the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) (DEdPsy PECAP), the Master of Science (MSc) in Theoretical Educational Psychology and the Postgraduate Diploma in Educational Psychology.

1.2 The regulations are made subject to the *IOE General Academic Regulations 2014-15* and the *IOE Assessment Regulations for Students 2014-15* and all other relevant regulations, policies and procedures as well as any statutory requirements administered by the British Psychological Society and the Department for Business Innovation and Skills.

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *IOE General Academic Regulations 2014-15* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *IOE General Academic Regulations 2014-15*.

3.2 The normal minimum entrance qualification for registration for the degree of DEdPsy in Professional Educational, Child and Adolescent Psychology is:

3.2.1 a second class honours degree of a United Kingdom university or an educational institution of university rank, or an overseas qualification of obtained after a course of study extending over not less than three years which confers eligibility for Graduate Basis for Registration with the British Psychological Society; plus

3.2.2 evidence of at least one year's satisfactory experience of work with children within an educational, childcare or community setting; and

3.2.3 evidence of an acceptable Enhanced Disclosure from Disclosure and Barring Service obtained immediately prior to the start of the programme.

3.3 Candidates for admission may in addition be required to pass an approved English language test (details can be found on UCL website at: http://www.ucl.ac.uk/prospective-students/graduate/life/international) and other tests prescribed by UCL as a condition of registration.

3.4 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission as determined by the Institute.

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3.5 At the discretion of the Programme Leader, a candidate who fails to pass a qualifying examination prescribed for him/her will not be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.6 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by UCL is required.

3.7 Every candidate must make application to UCL in accordance with the *IOE General Academic Regulations 2014-15* and any other procedures prescribed by UCL.

4. Registration

4.1 Students registered for a course of study at UCL shall not normally be permitted to register concurrently for another course at UCL or at any other higher education institution.

4.2 A student must register for a course of study in accordance with the procedures issued annually by the Registrar and the *IOE General Academic Regulations 2014-15.*

4.3 A student who withdraws before completing the programme of study may be required to re-start the whole programme or to repeat elements of the programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 The course of study for the DEdPsy (PECAP) shall consist of formally taught and practical elements which provide academic and professional underpinning for the research undertaken. The course shall comprise:

5.1.1 taught elements, the content of which will be determined by the Institute in relation to the requirements of the British Psychological Society and Health and Care Professions Council and shall vary from time to time, but shall always include a theoretical and practical training in educational psychology and courses on research strategies and methodologies;

5.1.2 supervised professional experience;

5.1.3 a professional development portfolio of not more than 25,000 words reflecting the student's placement activity and how this has enhanced the student's professional development;

5.1.4 a thesis of not less than 30,000, and normally no more than 35,000, words, the subject and method of enquiry of which are to be approved by the supervisor and the appropriate Institute authority.

5.2 The overall research submission (5.1.3 and 5.1.4) shall illustrate the candidate's ability to apply scientific psychological principles at various levels of application of knowledge of educational psychology.

5.4 Assessment criteria specific to each element of the programme are set out in the examination guidance issued annually.

5.5 A candidate must pursue an approved course of study extending over not less than three years of full-time study. For a student granted credit under regulation 6.1, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student.

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5.6 The duration of the course of study shall not normally exceed four years of full-time study.

5.7 A student accepted under regulation 6.1 may be exempted by UCL from part of a course of study for the degree provided that the course of study followed at UCL is not less than two calendar years of full-time registration.

5.8 Students shall normally be required to pursue their course of study continuously, except where permission is granted for an interruption by the Faculty Tutor.

5.9 IOE shall appoint a supervisor and an advisory panel for each of its students registered for the degree in accordance with the *IOE Code of Practice for Research Degrees*.

5.10 A student's progress shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.11 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.12 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.13 The *UCL Research Misconduct Regulations* (see UCL Academic Manual, Chapter 5, Part B, Section 6.7) will be used to deal with any allegation that any part of a candidate's work has been plagiarised or that there has been any infringement of the declaration in regulation 9.2 below.

5.14 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *IOE General Academic Regulations 2014-15.*

6. Credit Exemption

6.1 Candidates may, at the discretion of UCL, be given exemption from up to two taught courses for work successfully completed (i.e. taught and examined) from a comparable professional DEdPsy(PECAP) degree programme offered at another approved higher education institution. UCL shall be responsible for ensuring exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's programme at UCL.

7. Examinations

7.1 Candidates for entry to assessment for the DEdPsy(PECAP) degree must satisfy the requirements as laid down in these and the programme handbook *.*

7.2 All assessments will be undertaken by appointed internal examiners and overseen by examiners external to the UCL. The taught and professional elements of the programme shall be examined by the DEdPsy(PECAP) Board of Examiners, which shall include an external examiner who is an appropriately qualified Educational Psychologist and registered as such with the Health and Care Professions Council (HCPC), unless alternative arrangements are agreed with the HCPC. The examination of the thesis shall be by oral examination conducted by at least two examiners, one of whom shall be external to UCL and one of whom must be appropriately qualified as an Educational Psychologist and registered as such with the HCPC: this examination will be designed to test the thesis against the criteria stated at 8.1 below.

7.3 The timing of the assessment of the taught element of the course, the professional development portfolio, and the thesis shall be in accordance with a schedule to be published by the Faculty Tutor.

7.4 A candidate who fails any assessment in the first or second year will be required to re-take and pass the assessment in August or September of the same year as a condition of continuation on the degree programme.

7.5 Professional competence shall be monitored throughout the placements, with a formal review being held each term, and shall be formally assessed in the third term of each year by the DEdPsy(PECAP) Board of Examiners who shall further examine the candidate's conceptual understanding of the integration of all elements of his/her studies.

7.6 If a candidate fails to satisfy the requirements of a professional placement, an oral examination shall be conducted by at least two examiners, one of whom will be external to UCL. The examination shall cover professional work undertaken in the placement and shall be designed to test the candidate's ability to integrate theory, research and practice at a level appropriate to their year of training. The possible outcomes of the oral examination are:

7.6.1 Placement passed;

7.6.2 Placement passed conditional on demonstration of specific competencies in an additional placement;

7.6.3 Placement failed: candidate permitted to demonstrate the required competencies in an additional placement. More than two placement failures over the course of the programme will result in failure and the candidate may not continue on the degree (see 8.5 below);

7.6.4 Placement failed and candidate not permitted to continue on the degree (see 8.9 below).

7.7 In exceptional circumstances students may be granted permission to extend the deadline for assessment or to defer their assessment. Such requests must normally be made in accordance with the taught regulations in the *UCL Academic Manual, Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.*

7.8 Students who wish to withdraw their entry for formal assessment in relation to any element of their programme of study must inform the Programme Leader. Such notification shall be provided in writing at least ten days before either the date of the written paper(s) or the last date for submission of coursework assignments, reports or dissertations.

7.9 Students who do not have permission for an extension, deferment or notice of withdrawal and who do not submit to assessment at the proper time will normally be recorded as absent from it and this will count as an attempt.

7.10 A candidate who is prevented by illness or by the serious illness or death of a near relative or by any other cause judged sufficient by the Faculty Tutor from completing an assessment or part of an assessment at the normal time may normally enter for formal assessment in relation to those elements on the next occasion when the assessment is held. At the discretion of the DEdPsy(PECAP) Board of Examiners, such a candidate may instead undertake a special assessment in those elements missed and/or be permitted to submit any prescribed assignment at a date specified by the Board. The special assessment shall be undertaken in the same mode of assessment as the assessment that was missed.

7.11 A candidate who does not at his or her first entry satisfy the examiners in the formal assessment or part of the formal assessment for which he or she has entered may be re-assessed in that element of his or her programme of study on one further occasion only. Deadlines for the resubmission of work for formal assessment or of re-examination shall be specified by the Programme Leader.

7.11 A student who on two occasions fails or is absent from the assessment associated with a course required for the award for which he or she is registered may not continue with the programme of study.

7.12 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

8. Award

8.1 In order to qualify for admission to the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology), a candidate must satisfy the examiners:

8.1.1 that he/she has attained a satisfactory standard in the taught elements of the degree by successfully completing the coursework assignments that assess developing knowledge, skills and competencies in the first two years of the programme;

8.1.2 that the professional development portfolio has shown how the DEdPsy(PECAP) studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

8.1.3 that the candidate has demonstrated a satisfactory level of professional competence in the practical elements of the degree and the formal assessment related to such activity undertaken each year.

8.1.4 that the thesis makes a distinct and significant contribution to the knowledge of the field of study and affords evidence of originality and capacity for autonomous research (see paragraph 9); and

8.1.5 that he/she possesses a conceptual understanding of the integration of all elements of his/her studies.

8.2 Candidates must normally submit their thesis for examination within four calendar years of the date of the initial registration for the degree. The appropriate authorities of UCL may grant permission for a longer period of study in accordance with agreed procedures.

8.3 The successful completion of the Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) provides eligibility to register with the Health and Care Professions Council as a Practitioner Psychologist with the protected title Educational Psychologist and BPS accredited entry training to the Profession of Educational Psychology with eligibility for Chartered status.

8.4 Candidates unable to complete the DEdPsy(PECAP) degree programme may apply for the award of either:

8.4.1 a Postgraduate Diploma in Educational Psychology (see 8.6 and 8.7). This qualification does not permit entry to the Profession of Educational Psychology.

8.4.2 or the Master of Science (MSc) in Theoretical Educational Psychology (see 8.8). This qualification does not permit entry to the Profession of Educational Psychology.

8.5 The award of the Postgraduate Diploma in Educational Psychology shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the academic taught components of the degree programme and specified academic elements of the professional development portfolio as published in the programme handbook. Candidates awarded the Postgraduate Diploma in Educational Psychology shall not subsequently be permitted to present themselves for assessment for the DEdPsy(PECAP).

8.6 A student who fails to satisfy the examiners in the professional development portfolio on two occasions shall not be permitted to continue with his or her programme of study, but may be considered for the award of the Postgraduate Diploma if he or she has attained a satisfactory overall standard in formal assessments associated with the academic taught element of the degree and in specified academic elements of the professional development portfolio as published in the programme handbook.

8.7 The award of the Master of Science (MSc) in Theoretical Educational Psychology shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the academic taught components of the degree programme and have successfully completed the Year 1 and Year 2 Research Reports.

8.8 A student who fails to satisfy the examiners in the DEdPsy(PECAP) thesis may be considered for the award of the MSc degree if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element and has successfully completed the Year 1 and Year 2 Research Reports.

8.9 Candidates awarded the MSc shall not subsequently be permitted to present themselves for assessment for the DEdPsy(PECAP) degree.

8.10 Detailed provisions for the award of the Postgraduate Diploma and MSc degree are appended to these Regulations.

9. Requirements of the thesis

9.1 The thesis shall:

9.1.1   consist of the candidate's own account of his/her investigations and indicate in what respects they appear to him/her to advance the study of the subject;

9.1.2   form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

9.1.3   demonstrate the candidate's capability to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;

9.1.4   demonstrate the candidate's understanding of his/her own professional role and the contribution of the thesis to his/her professional development;

9.1.5   demonstrate the ability to apply psychological principles to professional practice;

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9.1.6   give a critical assessment of the relevant literature, describe the method of research and its findings including a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

9.1.7   embody the results of a practice-based research programme which may reasonably be expected of a student, taking into account the required length of the thesis and minimum period of registration for the programme;

9.1.8   be written in English and be satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;

9.1.9   take due account of previously published work on the subject;

9.1.10 make clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;

9.1.11 be not fewer than 30,000 words and normally no more than 35,000 words (exclusive of appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables). Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish;

9.1.12 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

9.2 A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own work.

9.3 A candidate is required to include a declaration of accurate word length in his/her thesis.

9.4 The greater proportion of the work submitted in a thesis must have been carried out after the registration of the student for the DEdPsy(PECAP) degree.

9.5 A candidate will not be permitted to submit as his/her thesis which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis covering a wider field work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that he/she shall indicate on his/her entry form and also on his/her thesis any work which has been so incorporated.

9.6 A candidate may submit the results of work done in conjunction with his/her supervisor, and/or with fellow research workers provided that the candidate states clearly his/her own personal contribution to the investigation and that the statement is certified by the co-researcher(s) or supervisor.

9.7 Work already published including that published in joint names may be included only if it forms an integral part of the thesis and thereby makes a relevant contribution to the main theme of the thesis. A series of publications alone is not acceptable as a thesis.

9.8 Work undertaken during registration for the DEdPsy(PECAP) degree as part of other elements of the degree may be included in the thesis provided the candidate indicates on the entry form and also on the thesis any work which has been so incorporated.

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9.9 Publications in joint names must be certified in accordance with paragraph 9.6 above.

9.10 The title of the candidate's thesis must be approved by the candidate's supervisor.

9.11 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the appropriate office, for lodging in the IOE library, the required number of copies of the thesis in the format specified in the instructions issued by the Programme Leader, if the copies of the theses submitted for examination did not conform with this specification (see also 14.1).

10. Entry to Examination for the Thesis

10.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

10.2 The decision to submit a thesis in any particular form rests with the candidate alone.

10.3 A student may submit a thesis for examination only after the minimum registration period as specified in 5.5 has passed.

10.4 The student's supervisor shall report that he/she has completed the course in accordance with the regulations before a candidate is admitted to the examination for the degree,

10.5 The student must submit the entry form at least **four months** before the submission of the thesis and this will initiate the procedure for the appointment of examiners.

10.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.

10.7 If the candidate has not submitted his/her thesis for examination within 12 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

10.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

10.9 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Tutor.

10.10 A candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the examiners, and a copy of the statement to which reference is made in regulation 9.6 above.

11. Availability of DEdPsy(PECAP) thesis

11.1. It is a requirement for the award of the DEdPsy(PECAP) degree that one hard bound copy of a successful thesis is placed in the IOE library and one electronic copy to be made available for public reference.

11.2. At the time of entry to the examination candidates for the DEdPsy(PECAP) degree will be required to sign a declaration confirming that the work presented is their own as specified in regulation 9.2, is fit for examination and that a copy may be made available for public reference.

11.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or patenting or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

12. Appointment of Examiners and Conduct of Examination for Thesis

12.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL are removed.

12.2 The outcome of the examination is determined by two or more examiners acting jointly.

12.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience and taking into account the requirements specified in paragraph 7.2. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

12.4 If the candidate is a member of staff at IOE, both examiners shall be external to IOE.

12.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

12.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

12.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

12.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

12.9 Candidates must attend for examination at a place and time determined by IOE (see also regulation 11.10).

12.10 The oral examination will be held in London. The Faculty Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

12.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as

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an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.

12.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

12.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations.*

12.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

12.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

12.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

12.17 The examiners may, at their discretion, consult the independent chair before completing their report.

12.18 Copies of the reports shall be sent to Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 13.3).

13. Outcome of Examination of Thesis

13.1 The award of the degree shall be dependent on a satisfactory defense of the thesis in the oral examination as well as successful completion of all the other elements of the course as detailed in paragraph 5.1 above. The oral examination shall be designed to test the thesis against the criteria stated in paragraph 9 above. The possible outcomes of the oral examination are:

Pass

13.1.1 If the thesis fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the DEdPsy(PECAP) degree.

Pass subject to corrections within one month

13.1.2 If the thesis otherwise fulfils the criteria but require(s) corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.), and if the

candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required corrections. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

13.1.3 If the thesis otherwise fulfils the criteria but require(s) amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within six months of having been notified of the required minor amendments. The examiners shall be required to advise the student of the amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the minor amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 13.1.4 shall be followed.

Referral – re-present within 12 months

13.1.4 If the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the Examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within **twelve months**. The Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The Examiners may at their discretion exempt from a further oral examination, on re- presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

13.1.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the Examiners at the oral examination, the Examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

Fail – may not re-present

13.1.6 The Examiners may determine that the candidate has not satisfied them in the examination and that the candidate may not be permitted to resubmit the thesis in a revised form. The Examiners shall not, however, save in very exceptional circumstances; make such a decision without submitting the candidate to an oral examination.

13.2 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the action to be taken.

13.3 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination.

14. Notification of Result of DEdPsy(PECAP) Examinations

14.1 After the report of the examiners for the thesis has been considered by the Research Degrees Examination Board the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have

been lodged with IOE in accordance with regulation 9.11 and all other requirements for the award of the degree have been met.

14.2 A diploma under the seal of the UCL shall be subsequently delivered to each candidate who has been awarded a degree.

14.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

14.4 No person will be awarded any qualification who has not settled any account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

14.5 Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

14.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

2.1 Master of Science (MSc) in Theoretical Educational Psychology

Appendix to Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) Regulations:

REGULATIONS FOR THE AWARD OF THE MASTER OF SCIENCE (MSc) IN THEORETICAL EDUCATIONAL PSYCHOLOGY

Students who register initially for the Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) degree may be awarded the degree of Master of Science in Theoretical Educational Psychology in accordance with the provisions below.

1. Conditions for award

1.1 Students may be eligible to be considered for the award of the MSc in Theoretical Educational Psychology if they have successfully completed the taught elements of the Doctor in Educational Psychology degree as specified in 8.8 of the DEdPsy(PECAP) regulations by achieving a pass grade in each of the required academic courses, provided:

1.1.1 they have been registered for not less than one calendar year of full-time study at UCL; and

1.1.2 they have not applied for any other award on the basis of their results in the taught elements and the Year 1 and Year 2 Research Reports.

1.2 The Regulations and examination provisions which govern the DEdPsy(PECAP) degree for

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which the student registers shall apply to those elements of the degree which count towards the award of the MSc.

1.3 A student who opts for the award of the MSc may not subsequently receive credit towards the award of the Doctor in Educational Psychology degree or any other award offered at UCL for the passes in the assessed elements of the DEdPsy(PECAP) programme which were used for the award of the MSc degree.

2. Examination

2.1 A candidate will be examined in accordance with instructions governing formal assessment in force at the time he or she is considered for the award of the MSc.

2.2 In order to qualify for admission to the degree of Master of Science, a candidate must satisfy the DEdPsy(PECAP) Board of Examiners:

2.2.1 that he/she has attained a satisfactory standard in the taught academic elements of the degree as published by the Programme Leader; and

2.2.2 that the candidate has attained a satisfactory standard in the Year 1 and Year 2 Research reports.

3. Notification of result

3.1 After the DEdPsy(PECAP) Board of Examiners have reached a decision, every candidate shall be notified by Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded the degree. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma for the degree shall bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

2.2 Postgraduate Diploma in Educational Psychology

REGULATIONS FOR POSTGRADUATE DIPLOMA IN EDUCATIONAL PSYCHOLOGY

Students who register initially for the degree of Doctor in Educational Psychology (Professional Educational, Child and Adolescent Psychology) may be awarded the Postgraduate Diploma in Educational Psychology in accordance with the provisions below.

1. Conditions of Award

1.1 Students who successfully complete the taught element of the DEdPsy(PECAP) degree by achieving a pass grade in each of the required academic courses through studies at UCL as specified in 8.6 of the DEdPsy(PECAP) regulations are eligible to be considered for the award of the Postgraduate Diploma in Educational Psychology, provided they have not applied for any other award on the basis of results in the taught courses.

1.2 Pass grades on the basis of which the Postgraduate Diploma in Educational Psychology is

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awarded must have been achieved through assessments relating to the taught academic elements of the DEdPsy(PECAP) degree programme and specified academic elements of the professional development portfolio as published by the Programme Leader.

1.3 The regulations and examination provisions which govern the DEdPsy(PECAP) degree for which the student registers shall apply to those courses which count towards the award of the Postgraduate Diploma in Educational Psychology.

1.4 A student who opts for the award of the Postgraduate Diploma in Educational Psychology may not subsequently receive credit for the passes in courses which led to the award of the Postgraduate Diploma in Educational Psychology towards the award of the DEdPsy(PECAP) degree or any other award offered at UCL.

2. Examination

2.1 A candidate shall be examined in accordance with the instructions governing formal assessment in force at the time he or she is considered for the award of the Postgraduate Diploma.

2.2 In order to qualify for the award of the Postgraduate Diploma in Educational Psychology a candidate must satisfy the DEdPsy(PECAP) Board of Examiners that he/she has attained a satisfactory standard in courses which comprise the academic taught components of the degree programme and specified academic elements of the professional development portfolio as published by the Programme Leader.

3. Notification of result

3.1 After the DEdPsy(PECAP) Board of Examiners have reached a decision, every candidate shall be notified Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of University College London shall be subsequently delivered to each candidate who has been awarded a Postgraduate Diploma. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part F: IOE Doctor in Education (EdD) Regulations

Covering Doctor in Education (EdD) students at the UCL Institute of Education.

IOE EdD students are also subject to the *UCL Code of Practice for Research Degrees* and to the *UCL Research Governance and Ethics Policies and Procedures*.

1 Regulations for Students Entering after September 2019

1. Introduction

1.1 These regulations govern the conduct and award of the degree of Doctor in Education (EdD), the Master of Education (MEd) and the Postgraduate Diploma in Practitioner Research.

1.2 The regulations are made subject to the *UCL Academic Manual*, and all other relevant regulations, policies and procedures of UCL:

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *UCL Academic Manual* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *UCL Academic Manual, Chapter 5, Part A, Section 1: Research Degree Admissions.*

3.2 The normal minimum entrance requirements for admission to an EdD are:

3.2.1 a postgraduate Masters degree of a United Kingdom university or educational institution of university rank, or an overseas qualification judged by UCL to be of an equivalent standard, **plus**

3.2.2 at least four years' relevant experience in Education or a related field.

3.3 A candidate not satisfying these requirements may be considered for admission if the UCL is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such cases, UCL may prescribe qualifying work that must be completed to the satisfaction of the Programme Leader before registration.

3.4 Applicants for admission may in addition be required to pass an approved English language test (details to be found on the UCL website at: http://www.ucl.ac.uk/prospective-students/graduate/life/international) and other tests prescribed by UCL as a condition of registration.

3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission as determined by UCL.

3.6 At the discretion of the Programme Leader a candidate who fails to pass a qualifying examination prescribed for him/her will not be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by UCL is required.

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3.8 Every candidate must make application to UCL in accordance with the *UCL Academic Manual, Chapter 5, Part A, Section 1: Research Degree Admissions* and any other procedures prescribed by UCL.

4. Registration

4.1 Students registered for a course of study at UCL shall not normally be permitted to register concurrently for another course at UCL or at any other higher education institution.

4.2 A student must register for a course of study in accordance with the procedures issued annually by the Registrar and the *UCL Academic Manual, Chapter 5, Part A, Section 2: Research Degree Registration.*

4.3 A student who withdraws before completing the programme of study may be required to re-start the whole programme or to repeat elements of the programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 The curriculum for the EdD shall consist of three elements:

5.1.1 a taught component comprising courses of study of relevance to individuals working in education and related fields: the content of this element of the curriculum will be determined by UCL and will vary from time to time, but shall always include a theoretical and practical training in research strategies and methodologies and a course or courses on the foundations of professionalism in education.

5.1.2 an institution-focused study written up in the form of a report of 20,000 words; the title and method of enquiry of the study are to be approved by the candidate's supervisor and by the appropriate UCL authority.

5.1.3 a thesis of 45,000, words, the subject and method of enquiry of which are to be approved by the supervisor and the appropriate UCL authority.

5.2 Assessment criteria specific to each element of the programme are set out in the examination guidance issued annually.

5.3 IOE shall appoint a supervisor and an advisory panel for each of its students registered for the EdD degree in accordance therewith.

5.4 The minimum period of part-time registration for an EdD degree shall be four calendar years. For a student granted credit under regulation 7.1, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student.

5.5 A student accepted under regulation 7.1 may be exempted by UCL from part of a course of study for the EdD degree provided that the course of study followed at UCL is not less than two calendar years of part-time registration.

5.6 A course must be pursued continuously except by special permission of the Faculty Graduate Tutor.

5.7 The progress of each student shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*. Students are required to achieve at least a Grade B, in a minimum of two of the assessed elements (three taught modules and one reflective

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statement) in Year 1 in order to progress to Year 2. To progress from Year 3 to Year 4, students are required to achieve at least a Grade B for the Institution-Focused Study element of the programme.

5.8 Part-time EdD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration. Exceptionally, the Faculty Graduate Tutor may grant permission for a longer period of study in accordance with agreed procedures as laid down in the IOE Code of Practice for Research Degrees, except that this shall not exceed ten years from the initial date of registration.

5.9 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.10 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.11 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part A, Section 6.6*) will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 11.2 below.

5.12 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *UCL Academic Manual, Chapter 6, Section 3: Academic Insufficiency Procedure.*

6. Annual Leave

6.1 Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.

6.2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.

6.3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.

6.4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.

6.5. Funded Students must ensure they continue to meet their funder Terms & Conditions.

6.6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

7. Completing Research Status

7.1 From Year 5, if you have fulfilled the conditions set out below you should register as a 'Completing Research Status' (CRS) student while you write up your thesis:

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- be in a position to submit your thesis within 24 months. You will not remain registered as a student after the end of your CRS status so it is essential that you do not take up CRS unless you are ready to write up and are confident that you will meet this deadline.

- have been registered for a minimum of 4 years with no interruptions during that time.

- have passed your Formal Review Before Thesis (Upgrade).

- have the approval of your Supervisor.

7.2 While on CRS status you will have continued access to UCL facilities and are not required to pay fees.

7.3 During the period of CRS registration, a student is entitled to have one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

7.4 You must read UCL Website before applying for CRS status.

7.5 In order to apply, your supervisor must email researchdegrees@ucl.ac.uk confirming the effective date of transfer.

8. Credit Exemption

9.1 Candidates may, at the discretion of UCL, be given exemption from up to two taught courses for work successfully completed (i.e. taught and examined) from a doctoral degree programme offered at another approved higher education institution. Exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's EdD programme.

9. Examinations

9.1 Candidates for entry to assessment for the EdD degree must satisfy the requirements as laid down in these regulations and the programme handbook.

9.2 All assessments will be undertaken by appointed internal examiners and overseen by examiners external to UCL The examination of the thesis shall be by oral examination conducted by at least two examiners, one of whom shall be external to UCL: this examination will be designed to test the thesis against the criteria stated at 10.1.3 below, and will further examine the candidate's conceptual understanding of the integration of all elements of his/her EdD studies.

9.3 The timing of the assessment of the taught element of the course, the institution-focused study, and the thesis will be in accordance with a schedule published by the Faculty Graduate Tutor.

9.4 In exceptional circumstances students may be granted permission to extend the deadline for assessment or to defer their assessment. Such requests must normally be made in accordance with the taught regulations in the *UCL Academic Manual, Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances,*

9.5 Students who wish to withdraw their entry for formal assessment in relation to any element of their programme of study must inform the Programme Leader. Such notification shall be provided

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in writing at least ten days before either the date of the written paper(s) or the last date for submission of coursework assignments or the IFS reports.

9.6 Students who do not have permission for an extension, deferment or notice of withdrawal and who do not submit to assessment at the proper time will normally be recorded as absent from it and this will count as an attempt.

9.7 A candidate who is prevented by illness or by the serious illness or death of a near relative or by any other cause judged sufficient by the Faculty Graduate Tutor from completing an assessment or part of an assessment at the normal time may normally enter for formal assessment in relation to those elements on the next occasion when the assessment is held. At the discretion of the Board of Examiners concerned, such a candidate may instead undertake a special assessment in those elements missed and/or be permitted to submit any prescribed assignment at a date specified by the Board. The special assessment shall be undertaken in the same mode of assessment as the assessment that was missed.

9.8 A candidate who does not at his or her first entry satisfy the examiners in the formal assessment or part of the formal assessment for which he or she has entered may be re-assessed in that element of his or her programme of study on one further occasion only. Deadlines for the resubmission of work for formal assessment or of examination resits shall be specified by the Programme Leader.

9.9 A student who on two occasions fails or is absent from the assessment associated with a course required for the award for which he or she is registered may not continue with the programme of study.

9.10 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

10. Award

10.1 In order to qualify for admission to the degree of EdD, a candidate must satisfy the examiners:

10.1.1 that he/she has attained a satisfactory standard in the taught element of the degree (see 5.7);

10.1.2 that the report on the Institution-Focused Study has shown how the EdD studies have supported the candidate's professional development and extended his/her understanding of his/her professional role (see 5.7).

10.1.3 that the thesis forms a distinct contribution to the knowledge of the field of study and affords evidence of originality and a capacity for autonomous research; and

10.1.4 that he/she possesses a conceptual understanding of the integration of all elements of his/her EdD studies.

10.2 Candidates unable to complete the EdD degree programme may apply for the award of either:

10.2.1 the Postgraduate Diploma in Practitioner Research (see 10.5), or

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10.2.2 the Master of Education (MEd) in Practitioner Research (see 10.6)

10.3 The award of the Postgraduate Diploma in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme (i.e. excluding the institution focused study report and the thesis). Candidates awarded the Postgraduate Diploma in Practitioner Research shall not subsequently be permitted to present themselves for assessment for the EdD degree.

10.4 A student who fails to satisfy the examiners in the Institution-Focused Study report on two occasions shall not be permitted to continue with his or her programme of study, but may be considered for the award of the Postgraduate Diploma if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element.

10.5 Detailed provisions for the award of the Postgraduate Diploma are set out in supplementary regulations appended to these regulations.

10.6 The award of the Master of Education (MEd) in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme and the Institution-Focused Study report (but excluding the thesis). (Candidates awarded the MEd shall not subsequently be permitted to present themselves for assessment for the EdD degree).

10.7 A student who fails to satisfy the examiners in the EdD thesis may be considered for the award of the MEd degree if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element and the Institution-Focused Study report.

10.8 Detailed provisions for the award of the MEd degree are set out in supplementary regulations appended to these Regulations.

11. Requirements of the thesis

11.1 The thesis for the EdD shall (see also regulation 5.3):

11.1.1 consist of the candidate's own account of his/her investigations;

11.1.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

11.1.3 demonstrate the candidate's capability to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;

11.1.4 demonstrate the candidate's understanding of professionalism and his/her own professional role and the contribution of the thesis to his/her professional development;

11.1.5 give a critical assessment of the relevant literature, describe the method of research and its findings including a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

11.1.6 embody the results of a practice-based research programme which may reasonably be expected of a student, taking into account the required length of the thesis and minimum period of registration for the programme;

11.1.7 be written in English and be satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;

11.1.8 make clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;

11.1.9 be no more than 45,000 words (exclusive of appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables). Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish; (see also 11.2)

11.1.10 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

11.2 A candidate will be expected to submit, bound in with the 45,000 word thesis, a statement of no more than 2,000 words summarising the areas which he/she has covered in the course as a whole, and highlighting the links between each element. In addition, a 500 word impact statement should be included.

11.3 A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own work.

11.4 A candidate is required to include a declaration of accurate word length in his/her thesis.

11.5 The greater proportion of the work submitted in a thesis must have been carried out after the registration of the student for the EdD degree at UCL, except that in the case of a student accepted under regulation 7.1 there shall be allowance for the fact that the student commenced his/her registration at another institution.

11.6 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis covering a wider field of work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that he/she shall indicate on his/her entry form and also on his/her thesis any work which has been so incorporated.

11.7 A candidate may submit the results of work done in conjunction with his/her supervisor, and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researchers.

11.8 Work already published including that published in joint names may be included only if it forms an integral part of the thesis and thereby makes a relevant contribution to the main theme of the thesis. A series of publications alone is not acceptable as a thesis.

11.9 Work undertaken during registration for the EdD degree as part of other elements of the degree may be included in the thesis provided the student indicates on the entry form and also on the thesis any work which has been so incorporated.

11.10 Publications in joint names must be certified in accordance with paragraph 11.7 above.

11.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the Programme Leader of IOE (see also regulation 12.7).

11.12 The title of the candidate's thesis must be approved by the candidate's supervisor.

11.13 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the appropriate office, for lodging in the Newsam library, the required number of copies of the thesis in the format specified in the instructions issued by the Programme Leader, if the copies of the theses submitted for examination did not conform with this specification (see also 16.1).

12. Entry to Examination for the Thesis

12.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

12.2 The decision to submit a thesis in any particular form rests with the candidate alone.

12.3 A student may submit a thesis for examination only after the minimum registration period has passed.

12.4 The student's supervisor shall report that he/she has completed the course in accordance with the regulations before a candidate is admitted to the examination for the degree.

12.5 The student must submit the entry form at least **four months** before the submission of the thesis and this will initiate the procedure for the appointment of examiners.

12.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.

12.7 If the candidate has not submitted his/her thesis for examination within 12 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

12.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

12.9 A candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the examiners, and a copy of the statement to which reference is made in regulation 11.13 above.

12.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Graduate Tutor.

13. Availability of EdD thesis

13.1. It is a requirement for the award of the EdD degree that one hard bound copy of a successful thesis is placed in the IOE's Newsam library and one electronic copy to be made available for public reference.

13.2. At the time of entry to the examination candidates for the EdD degree will be required to sign a declaration confirming that the work presented is their own as specified in regulation 11.3, is fit for examination and that a copy may be made available for public reference.

13.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract on the grounds, for example, of commercial exploitation or patenting or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

14. Appointment of Examiners and Conduct of Examination

14.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, are removed.

14.2 The outcome of the examination is determined by two or more examiners acting jointly.

14.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

14.4 If the candidate is a member of staff of IOE, both examiners shall be external to the IOE.

14.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

14.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

14.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

14.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

14.9 Candidates must attend for examination at a place and time determined by IOE (see also regulation 12.12).

14.10 The oral examination will be held in London. The Faculty Graduate Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

14.11 Unless the candidate indicates otherwise on the entry form, the supervisor shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute, if invited to do so by the examiners, with the agreement of the candidate. Otherwise the oral examination will be held in private.

14.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

14.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations.*

14.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

14.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

14.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

14.17 The examiners may, at their discretion, consult the independent chair before completing their report.

14.18 Copies of the reports shall be sent to Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 15.4).

15. Outcome of Examination

15.1. The award of the degree shall be dependent on a satisfactory defense of the thesis in the oral examination as well as successful completion of all the other elements of the course as detailed in paragraph 10.1 above. The oral examination shall be designed to test the thesis against the criteria stated in paragraph 11 above.

15.2 The options open to examiners in determining the result of the examination are set out below.

Pass

15.2.1 If the thesis fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the EdD degree.

Pass subject to corrections within one month

15.2.2 If the thesis otherwise fulfils the criteria but it and/or the 2,000 word statement requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required corrections. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

15.2.3 If the thesis otherwise fulfils the criteria but it and/or the 2,000 statement require(s) minor amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within six months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the minor amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 15.2.4 shall be followed.

Referral – re-present within 12 months

15.2.4 If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 12 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis a candidate who under this regulation has been permitted to re-present it in a revised form.

15.2.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

Fail – may not re-present

15.3 The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

15.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the action to be taken.

15.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

16. Notification of Results of EdD Examinations

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15.1 After the report of the examiners has been considered by the Research Degrees Examination Board, the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 11.13).

16.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a degree.

16.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

16.4 No person will be awarded any qualification who has not settled any account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

16.5 Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

16.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

1.1 Master of Education (MEd) in Practitioner Research

Appendix to Doctor in Education Regulations

REGULATIONS FOR THE AWARD OF THE MASTER OF EDUCATION (MEd) IN PRACTITIONER RESEARCH

Students who register initially for the Doctor in Education (EdD) degree shall be awarded the degree of Master of Education in Practitioner Research in accordance with the provisions below.

1. Conditions for award

1.1 Students who have successfully completed the taught elements of the EdD degree by achieving a pass grade in each of the required courses and the report for the institution focused study (IFS) are eligible to be considered for the award of the MEd in Practitioner Research provided they have been registered for not less than two calendar years of part-time study at UCL.

1.2 Students who achieve a pass grade in each of the required courses and the report for the institution focused study and who subsequently attempt but fail the EdD thesis, may be eligible for the award of the MEd in Practitioner Research provided they have not applied for any other award on the basis of their results in the taught elements and the institution-focused study report.

1.3 The Regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those elements of the degree which count towards the award of the MEd.

1.4 A student who opts for the award of the MEd may not subsequently receive credit for the passes in the assessed elements of the EdD programme which led to the award of the degree towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with instructions governing formal assessment in force at the time he or she is considered for the award of the MEd.

2.2 In order to qualify for admission to the degree of Master of Education, a candidate must satisfy the examiners:

2.1.1 that he/she has attained a satisfactory standard in the taught elements of the degree;

2.1.2 that the candidate has attained a satisfactory standard in the report on the institution-focused study and has shown how the studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded the degree. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

1.2 Postgraduate Diploma in Practitioner Research

REGULATIONS FOR POSTGRADUATE DIPLOMA IN PRACTITIONER RESEARCH

Students who register initially for the degree of EdD shall be awarded the Postgraduate Diploma in Practitioner Research in accordance with the provisions below.

1. Conditions of Award

1.1 Students who successfully complete the taught element of the EdD degree by achieving a pass grade in each of the required courses through studies at UCL are eligible to be considered for the award of the Postgraduate Diploma in Practitioner Research, provided they have not applied for any other award on the basis of results in the taught courses.

1.2 Pass grades on the basis of which the Postgraduate Diploma in Practitioner Research is awarded must have been achieved through assessments relating to the taught elements of the EdD degree programme (including the portfolio reflective statement i.e. four 30 credit courses) only.

1.3 The regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those courses which count towards the award of the Postgraduate

Diploma in Practitioner Research.

1.4 A student who opts for the award of the Postgraduate Diploma in Practitioner Research may not subsequently receive credit for the passes in courses which led to the award of the Postgraduate Diploma in Practitioner Research towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with the instructions governing formal assessment in force at the time he or she is considered for the award of the Postgraduate Diploma.

2.2 In order to qualify for the award of the Postgraduate Diploma in Practitioner Research a candidate must satisfy the examiners that he/she has attained a satisfactory standard in each of the courses which comprise the taught element of the degree.

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a Postgraduate Diploma. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

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2 Regulations for Students Entering between September 2015 and August 2019

1. Introduction

1.1 These regulations govern the conduct and award of the degree of Doctor in Education (EdD), the Master of Education (MEd) and the Postgraduate Diploma in Practitioner Research.

1.2 The regulations are made subject to the *UCL Academic Manual*, and all other relevant regulations, policies and procedures of UCL:

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *UCL Academic Manual* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *UCL Academic Manual, Chapter 5, Part A, Section 1: Research Degree Admissions.*

3.2 The normal minimum entrance requirements for admission to an EdD are:

3.2.1 a postgraduate Masters degree of a United Kingdom university or educational institution of university rank, or an overseas qualification judged by UCL to be of an equivalent standard, **plus**

3.2.2 at least four years' relevant experience in Education or a related field.

3.3 A candidate not satisfying these requirements may be considered for admission if the UCL is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such cases, UCL may prescribe qualifying work that must be completed to the satisfaction of the Programme Leader before registration.

3.4 Applicants for admission may in addition be required to pass an approved English language test (details to be found on the UCL website at: http://www.ucl.ac.uk/prospective-students/graduate/life/international) and other tests prescribed by UCL as a condition of registration.

3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission as determined by UCL.

3.6 At the discretion of the Programme Leader a candidate who fails to pass a qualifying examination prescribed for him/her will not be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by UCL is required.

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3.8 Every candidate must make application to UCL in accordance with the *UCL Academic Manual, Chapter 5, Part A, Section 1: Research Degree Admissions* and any other procedures prescribed by UCL.

4. Registration

4.1 Students registered for a course of study at UCL shall not normally be permitted to register concurrently for another course at UCL or at any other higher education institution.

4.2 A student must register for a course of study in accordance with the procedures issued annually by the Registrar and the *UCL Academic Manual, Chapter 5, Part A, Section 2: Research Degree Registration.*

4.3 A student who withdraws before completing the programme of study may be required to re-start the whole programme or to repeat elements of the programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 The curriculum for the EdD shall consist of three elements:

5.1.1 a taught component comprising courses of study of relevance to individuals working in education and related fields: the content of this element of the curriculum will be determined by UCL and will vary from time to time, but shall always include a theoretical and practical training in research strategies and methodologies; a course or courses on the foundations of professionalism in education; and a portfolio reflective statement.

5.1.2 an institution-focused study written up in the form of a report of 20,000 words; the title and method of enquiry of the study are to be approved by the candidate's supervisor and by the appropriate UCL authority.

5.1.3 a thesis of 45,000, words, the subject and method of enquiry of which are to be approved by the supervisor and the appropriate UCL authority.

5.2 Assessment criteria specific to each element of the programme are set out in the examination guidance issued annually.

5.3 Students following the international programme for the EdD shall be required to incorporate in their coursework, report and thesis an international, intercultural or comparative dimension.

5.4 IOE shall appoint a supervisor and an advisory panel for each of its students registered for the EdD degree in accordance therewith.

5.5 The minimum period of part-time registration for an EdD degree shall be four calendar years and for a full-time student it is three calendar years. For a student granted credit under regulation 6.1, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student.

5.6 A student accepted under regulation 7.1 may be exempted by UCL from part of a course of study for the EdD degree provided that the course of study followed at UCL is not less than two calendar years of part-time registration.
5.7 A course must be pursued continuously except by special permission of the Faculty Graduate Tutor.

5.8 The progress of each student shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.9 Part-time EdD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration and full-time students are expected to submit their thesis for examination within four years of the initial degree registration. Exceptionally, the Faculty Graduate Tutor may grant permission for a longer period of study in accordance with agreed procedures as laid down in the *IOE Code of Practice for Research Degrees*, except that this shall not exceed ten years from the initial date of registration.

5.10 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.11 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.12 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part A, Section 7.6*) will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 9.2 below.

5.13 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *UCL Academic Manual, Chapter 6, Section 3: Academic Insufficiency Procedure.*

6. Completing Research Status

6.1 From Year 5, if you have fulfilled the conditions set out below you should register as a 'Completing Research Status' (CRS) student while you write up your thesis:

- be in a position to submit your thesis within 24 months. You will not remain registered as a student after the end of your CRS status so it is essential that you do not take up CRS unless you are ready to write up and are confident that you will meet this deadline.

- have been registered for a minimum of 4 years with no interruptions during that time.

- have passed your Formal Review Before Thesis (Upgrade).

- have the approval of your Supervisor.

6.2 While on CRS status you will have continued access to UCL facilities and are not required to pay fees.

6.3 During the period of CRS registration, a student is entitled to have one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

6.4 You must read UCL Website before applying for CRS status.

6.5 In order to apply, your supervisor must email researchdegrees@ucl.ac.uk confirming the effective date of transfer.

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7. Credit Exemption

7.1 Candidates may, at the discretion of UCL, be given exemption from up to two taught courses for work successfully completed (i.e. taught and examined) from a doctoral degree programme offered at another approved higher education institution. Exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's EdD programme.

8. Examinations

8.1 Candidates for entry to assessment for the EdD degree must satisfy the requirements as laid down in these regulaitons and the programme handbook.

8.2 All assessments will be undertaken by appointed internal examiners and overseen by examiners external to UCL The examination of the thesis shall be by oral examination conducted by at least two examiners, one of whom shall be external to UCL: this examination will be designed to test the thesis against the criteria stated at 9.1.3 below, and will further examine the candidate's conceptual understanding of the integration of all elements of his/her EdD studies.

8.3 The timing of the assessment of the taught element of the course, the institution-focused study, and the thesis will be in accordance with a schedule published by the Faculty Graduate Tutor.

8.4 In exceptional circumstances students may be granted permission to extend the deadline for assessment or to defer their assessment. Such requests must normally be made in accordance with the taught regulations in the *UCL Academic Manual, Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.*

8.5 Students who wish to withdraw their entry for formal assessment in relation to any element of their programme of study must inform the Programme Leader. Such notification shall be provided in writing at least ten days before either the date of the written paper(s) or the last date for submission of coursework assignments or the IFS reports.

8.6 Students who do not have permission for an extension, deferment or notice of withdrawal and who do not submit to assessment at the proper time will normally be recorded as absent from it and this will count as an attempt.

8.7 A candidate who is prevented by illness or by the serious illness or death of a near relative or by any other cause judged sufficient by the Faculty Graduate Tutor from completing an assessment or part of an assessment at the normal time may normally enter for formal assessment in relation to those elements on the next occasion when the assessment is held. At the discretion of the Board of Examiners concerned, such a candidate may instead undertake a special assessment in those elements missed and/or be permitted to submit any prescribed assignment at a date specified by the Board. The special assessment shall be undertaken in the same mode of assessment as the assessment that was missed.

8.8 A candidate who does not at his or her first entry satisfy the examiners in the formal assessment or part of the formal assessment for which he or she has entered may be re-assessed in that element of his or her programme of study on one further occasion only. Deadlines for the resubmission of work for formal assessment or of examination resits shall be specified by the Programme Leader.

8.9 A student who on two occasions fails or is absent from the assessment associated with a course required for the award for which he or she is registered may not continue with the programme of study.

8.10 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

9. Award

9.1 In order to qualify for admission to the degree of EdD, a candidate must satisfy the examiners:

9.1.1 that he/she has attained a satisfactory standard in the taught element of the degree;

9.1.2 that the report on the Institution-Focused Study has shown how the EdD studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

9.1.3 that the thesis forms a distinct contribution to the knowledge of the field of study and affords evidence of originality and a capacity for autonomous research; and

9.1.4 that he/she possesses a conceptual understanding of the integration of all elements of his/her EdD studies.

9.2 Candidates unable to complete the EdD degree programme may apply for the award of either:

9.2.1 the Postgraduate Diploma in Practitioner Research (see 9.5), or

9.2.2 the Master of Education (MEd) in Practitioner Research (see 9.6)

9.3 The award of the Postgraduate Diploma in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme (i.e. excluding the institution focused study report and the thesis but including the portfolio reflective statement). Candidates awarded the Postgraduate Diploma in Practitioner Research shall not subsequently be permitted to present themselves for assessment for the EdD degree.

9.4 A student who fails to satisfy the examiners in the Institution-Focused Study report on two occasions shall not be permitted to continue with his or her programme of study, but may be considered for the award of the Postgraduate Diploma if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element.

9.5 Detailed provisions for the award of the Postgraduate Diploma are set out in supplementary regulations appended to these regulations.

9.6 The award of the Master of Education (MEd) in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme and the Institution-Focused Study report (but excluding the thesis). (Candidates awarded the MEd shall not subsequently be permitted to present themselves for assessment for the EdD degree).

9.7 A student who fails to satisfy the examiners in the EdD thesis may be considered for the award of the MEd degree if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element and the Institution-Focused Study report.

9.8 Detailed provisions for the award of the MEd degree are set out in supplementary regulations appended to these Regulations.

10. Requirements of the thesis

10.1 The thesis for the EdD shall (see also regulation 5.3):

10.1.1 consist of the candidate's own account of his/her investigations;

10.1.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

10.1.3 demonstrate the candidate's capability to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;

10.1.4 demonstrate the candidate's understanding of professionalism and his/her own professional role and the contribution of the thesis to his/her professional development;

10.1.5 give a critical assessment of the relevant literature, describe the method of research and its findings including a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

10.1.6 embody the results of a practice-based research programme which may reasonably be expected of a student, taking into account the required length of the thesis and minimum period of registration for the programme;

10.1.7 be written in English and be satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;

10.1.8 make clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;

10.1.9 be no more than 45,000 words (exclusive of appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables). Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish; (see also 10.2)

10.1.10 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

10.2 A candidate will be expected to submit, bound in with the 45,000 word thesis, a statement of no more than 2,000 words summarising the areas which he/she has covered in the course as a whole, and highlighting the links between each element. In addition, a 500 word impact statement should be included.

10.3 A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own work.

10.4 A candidate is required to include a declaration of accurate word length in his/her thesis.

10.5 The greater proportion of the work submitted in a thesis must have been carried out after the registration of the student for the EdD degree at UCL, except that in the case of a student accepted under regulation 7.1 there shall be allowance for the fact that the student commenced his/her registration at another institution.

10.6 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis covering a wider field of work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that he/she shall indicate on his/her entry form and also on his/her thesis any work which has been so incorporated.

10.7 A candidate may submit the results of work done in conjunction with his/her supervisor, and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researchers.

10.8 Work already published including that published in joint names may be included only if it forms an integral part of the thesis and thereby makes a relevant contribution to the main theme of the thesis. A series of publications alone is not acceptable as a thesis.

10.9 Work undertaken during registration for the EdD degree as part of other elements of the degree may be included in the thesis provided the student indicates on the entry form and also on the thesis any work which has been so incorporated.

10.10 Publications in joint names must be certified in accordance with paragraph 10.7 above.

10.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the Programme Leader of IOE (see also regulation 11.7).

10.12 The title of the candidate's thesis must be approved by the candidate's supervisor.

10.13 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the appropriate office, for lodging in the Newsam library, the required number of copies of the thesis in the format specified in the instructions issued by the Programme Leader, if the copies of the theses submitted for examination did not conform with this specification (see also 15.1).

11. Entry to Examination for the Thesis

11.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

11.2 The decision to submit a thesis in any particular form rests with the candidate alone.

11.3 A student may submit a thesis for examination only after the minimum registration period has passed.

11.4 The student's supervisor shall report that he/she has completed the course in accordance with the regulations before a candidate is admitted to the examination for the degree.

11.5 The student must submit the entry form at least **four months** before the submission of the thesis and this will initiate the procedure for the appointment of examiners.

11.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.

11.7 If the candidate has not submitted his/her thesis for examination within 12 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

11.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

11.9 A candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the examiners, and a copy of the statement to which reference is made in regulation 10.13 above.

11.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Graduate Tutor.

12. Availability of EdD thesis

12.1. It is a requirement for the award of the EdD degree that one hard bound copy of a successful thesis is placed in the IOE's Newsam library and one electronic copy to be made available for public reference.

12.2. At the time of entry to the examination candidates for the EdD degree will be required to sign a declaration confirming that the work presented is their own as specified in regulation 10.3, is fit for examination and that a copy may be made available for public reference.

12.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or patenting or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

13. Appointment of Examiners and Conduct of Examination

13.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, are removed.

13.2 The outcome of the examination is determined by two or more examiners acting jointly.

13.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the

student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

13.4 If the candidate is a member of staff of IOE, both examiners shall be external to the IOE.

13.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

13.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

13.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

13.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

13.9 Candidates must attend for examination at a place and time determined by IOE (see also regulation 11.12).

13.10 The oral examination will be held in London. The Faculty Graduate Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

13.11 Unless the candidate indicates otherwise on the entry form, the supervisor shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute, if invited to do so by the examiners, with the agreement of the candidate. Otherwise the oral examination will be held in private.

13.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

13.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations.*

13.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

13.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

13.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

13.17 The examiners may, at their discretion, consult the independent chair before completing their report.

13.18 Copies of the reports shall be sent to Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 14.4).

14. Outcome of Examination

14.1. The award of the degree shall be dependent on a satisfactory defense of the thesis in the oral examination as well as successful completion of all the other elements of the course as detailed in paragraph 9.1 above. The oral examination shall be designed to test the thesis against the criteria stated in paragraph 10 above.

14.2 The options open to examiners in determining the result of the examination are set out below.

Pass

14.2.1 If the thesis fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the EdD degree.

Pass subject to corrections within one month

14.2.2 If the thesis otherwise fulfils the criteria but it and/or the 2,000 word statement requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required corrections. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

14.2.3 If the thesis otherwise fulfils the criteria but it and/or the 2,000 statement require(s) minor amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within six months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the minor amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 14.2.4 shall be followed.

Referral – re-present within 12 months

14.2.4 If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 12 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis a candidate who under this regulation has been permitted to re-present it in a revised form.

14.2.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

Fail – may not re-present

14.3 The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

14.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the action to be taken.

14.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

15. Notification of Results of EdD Examinations

15.1 After the report of the examiners has been considered by the Research Degrees Examination Board, the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 10.13).

15.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a degree.

15.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

15.4 No person will be awarded any qualification who has not settled any account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

15.5 Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

15.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be

appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

2.1 Master of Education (MEd) in Practitioner Research

Appendix to Doctor in Education Regulations

REGULATIONS FOR THE AWARD OF THE MASTER OF EDUCATION (MEd) IN PRACTITIONER RESEARCH

Students who register initially for the Doctor in Education (EdD) degree shall be awarded the degree of Master of Education in Practitioner Research in accordance with the provisions below.

1. Conditions for award

1.1 Students who have successfully completed the taught elements of the EdD degree by achieving a pass grade in each of the required courses and the report for the institution focused study (IFS) are eligible to be considered for the award of the MEd in Practitioner Research provided they have been registered for not less than two calendar years of part-time study at UCL.

1.2 Students who achieve a pass grade in each of the required courses and the report for the institution focused study and who subsequently attempt but fail the EdD thesis, may be eligible for the award of the MEd in Practitioner Research provided they have not applied for any other award on the basis of their results in the taught elements and the institution-focused study report.

1.3 The Regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those elements of the degree which count towards the award of the MEd.

1.4 A student who opts for the award of the MEd may not subsequently receive credit for the passes in the assessed elements of the EdD programme which led to the award of the degree towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with instructions governing formal assessment in force at the time he or she is considered for the award of the MEd.

2.2 In order to qualify for admission to the degree of Master of Education, a candidate must satisfy the examiners:

2.1.1 that he/she has attained a satisfactory standard in the taught elements of the degree;

2.1.2 that the candidate has attained a satisfactory standard in the report on the institution-focused study and has shown how the studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded the degree. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

2.2 Postgraduate Diploma in Practitioner Research

REGULATIONS FOR POSTGRADUATE DIPLOMA IN PRACTITIONER RESEARCH

Students who register initially for the degree of EdD shall be awarded the Postgraduate Diploma in Practitioner Research in accordance with the provisions below.

1. Conditions of Award

1.1 Students who successfully complete the taught element of the EdD degree by achieving a pass grade in each of the required courses through studies at UCL are eligible to be considered for the award of the Postgraduate Diploma in Practitioner Research, provided they have not applied for any other award on the basis of results in the taught courses.

1.2 Pass grades on the basis of which the Postgraduate Diploma in Practitioner Research is awarded must have been achieved through assessments relating to the taught elements of the EdD degree programme (including the portfolio reflective statement) only.

1.3 The regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those courses which count towards the award of the Postgraduate Diploma in Practitioner Research.

1.4 A student who opts for the award of the Postgraduate Diploma in Practitioner Research may not subsequently receive credit for the passes in courses which led to the award of the Postgraduate Diploma in Practitioner Research towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with the instructions governing formal assessment in force at the time he or she is considered for the award of the Postgraduate Diploma.

2.2 In order to qualify for the award of the Postgraduate Diploma in Practitioner Research a candidate must satisfy the examiners that he/she has attained a satisfactory standard in each of the courses which comprise the taught element of the degree.

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a Postgraduate Diploma. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

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3 Regulations for Students Entering before September 2015

1. Introduction

1.1 These regulations govern the conduct and award of the degree of Doctor in Education (EdD), the Master of Education (MEd) and the Postgraduate Diploma in Practitioner Research.

1.2 The regulations are made subject to the *IOE General Academic Regulations 2014-15* and the *IOE Assessment Regulations for Students 2014-15* and all other relevant regulations, policies and procedures of UCL:

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *IOE General Academic Regulations 2014-15* unless otherwise state in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *IOE General Academic Regulations 2014-15.*

3.2 The normal minimum entrance requirements for admission to an EdD are:

3.2.1 a postgraduate Masters degree of a United Kingdom university or educational institution of university rank, or an overseas qualification judged by UCL to be of an equivalent standard, **plus**

3.2.2 at least four years' relevant experience in Education or a related field.

3.3 A candidate not satisfying these requirements may be considered for admission if the UCL is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such cases, UCL shall prescribe qualifying work that must be completed to the satisfaction of the Programme Leader before registration.

3.4 Applicants for admission may in addition be required to pass an approved English language test (details at http://www.ucl.ac.uk/prospective-students/graduate/life/international) and other tests prescribed by UCL as a condition of registration.

3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission as determined by UCL.

3.6 At the discretion of the Programme Leader a candidate who fails to pass a qualifying examination prescribed for him/her will not be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by UCL is required.

3.8 Every candidate must make application to UCL in accordance with the *IOE General Academic Regulations 2014-15* and any other procedures prescribed by UCL.

4. Registration

4.1 Students registered for a course of study at UCL shall not normally be permitted to register concurrently for another course at UCL or at any other higher education institution.

4.2 A student must register for a course of study in accordance with the procedures issued annually by the Registrar and the *IOE General Academic Regulations 2014-15.*

4.3 A student who withdraws before completing the programme of study may be required to re-start the whole programme or to repeat elements of the programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 The curriculum for the EdD shall consist of three elements:

5.1.1 a taught component comprising courses of study of relevance to individuals working in education and related fields: the content of this element of the curriculum will be determined by UCL and will vary from time to time, but shall always include a theoretical and practical training in research strategies and methodologies; a course or courses on the foundations of professionalism in education; a portfolio reflective statement and specialist studies in a specific area or areas.

5.1.2 an institution-focused study written up in the form of a report of 20,000 words; the title and method of enquiry of the study are to be approved by the candidate's supervisor and by the appropriate UCL authority.

5.1.3 a thesis of 45,000, words, the subject and method of enquiry of which are to be approved by the supervisor and the appropriate UCL authority.

5.2 Assessment criteria specific to each element of the programme are set out in the examination guidance issued annually.

5.3 Students following the international programme for the EdD shall be required to incorporate in their coursework, report and thesis an international, intercultural or comparative dimension.

5.4 UCL shall appoint a supervisor and an advisory panel for each of its students registered for the EdD degree in accordance therewith.

5.5 The minimum period of part-time registration for an EdD degree shall be four calendar years and for a full-time student it is three calendar years. For a student granted credit under regulation 7.1, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student.

5.6 A student accepted under regulation 7.1 may be exempted by UCL from part of a course of study for the EdD degree provided that the course of study followed at UCL is not less than two calendar years of part-time registration.

5.7 A course must be pursued continuously except by special permission of the Faculty Graduate Tutor.

5.8 The progress of each student shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.9 Part-time EdD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration and full-time students are expected to submit their thesis for examination within four years of the initial degree registration. Exceptionally, the Faculty Graduate Tutor may grant permission for a longer period of study in accordance with agreed procedures as laid down in the *IOE Code of Practice for Research Degrees*, except that this shall not exceed ten years from the initial date of registration.

5.10 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.11 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.12 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part A Section 5.6*) will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 10.2 below.

5.13 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *IOE General Academic Regulations 2014-15* for the relevant year of study*.

6. Completing Research Status

6.1 From Year 5, if you have fulfilled the conditions set out below you should register as a 'Completing Research Status' (CRS) student while you write up your thesis:

- be in a position to submit your thesis within 24 months. You will not remain registered as a student after the end of your CRS status so it is essential that you do not take up CRS unless you are ready to write up and are confident that you will meet this deadline.

- have been registered for a minimum of 4 years with no interruptions during that time.

- have passed your Formal Review Before Thesis (Upgrade).

- have the approval of your Supervisor.

6.2 While on CRS status you will have continued access to UCL facilities and are not required to pay fees.

6.3 During the period of CRS registration, a student is entitled to have one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

6.4 You must read UCL Website before applying for CRS status.

6.5 In order to apply, your supervisor must email researchdegrees@ucl.ac.uk confirming the effective date of transfer.

7. Credit Exemption

7.1 Candidates may, at the discretion of UCL, be given exemption from up to two taught courses for work successfully completed (i.e. taught and examined) from a doctoral degree programme offered at another approved higher education institution. Exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's EdD programme.

8. Examinations

8.1 Candidates for entry to assessment for the EdD degree must satisfy the requirements as laid down in these regulations and the programme handbook.

8.2 All assessments will be undertaken by appointed internal examiners and overseen by examiners external to UCL The examination of the thesis shall be by oral examination conducted by at least two examiners, one of whom shall be external to UCL: this examination will be designed to test the thesis against the criteria stated at 9.1.3 below, and will further examine the candidate's conceptual understanding of the integration of all elements of his/her EdD studies.

8.3 The timing of the assessment of the taught element of the course, the institution-focused study, and the thesis will be in accordance with a schedule published by the Faculty Graduate Tutor.

8.4 In exceptional circumstances students may be granted permission to extend the deadline for assessment or to defer their assessment. Such requests must normally be made in accordance with the taught regulations in the *UCL Academic Manual, Chapter 2, Section 2: Short-term Illness and Other Extenuating Circumstances.*

8.5 Students who wish to withdraw their entry for formal assessment in relation to any element of their programme of study must inform the Programme Leader. Such notification shall be provided in writing at least ten days before either the date of the written paper(s) or the last date for submission of coursework assignments or the IFS reports.

8.6 Students who do not have permission for an extension, deferment or notice of withdrawal and who do not submit to assessment at the proper time will normally be recorded as absent from it and this will count as an attempt.

8.7 A candidate who is prevented by illness or by the serious illness or death of a near relative or by any other cause judged sufficient by the Faculty Graduate Tutor from completing an assessment or part of an assessment at the normal time may normally enter for formal assessment in relation to those elements on the next occasion when the assessment is held. At the discretion of the Board of Examiners concerned, such a candidate may instead undertake a special assessment in those elements missed and/or be permitted to submit any prescribed assignment at a date specified by the Board. The special assessment shall be undertaken in the same mode of assessment as the assessment that was missed.

8.8 A candidate who does not at his or her first entry satisfy the examiners in the formal assessment or part of the formal assessment for which he or she has entered may be re-assessed in that element of his or her programme of study on one further occasion only. Deadlines for the resubmission of work for formal assessment or of examination resits shall be specified by the Programme Leader.

8.9 A student who on two occasions fails or is absent from the assessment associated with a course required for the award for which he or she is registered may not continue with the programme of study.

8.10 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

9. Award

9.1 In order to qualify for admission to the degree of EdD, a candidate must satisfy the examiners:

9.1.1 that he/she has attained a satisfactory standard in the taught element of the degree;

9.1.2 that the report on the Institution-Focused Study has shown how the EdD studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

9.1.3 that the thesis forms a distinct contribution to the knowledge of the field of study and affords evidence of originality and a capacity for autonomous research; and

9.1.4 that he/she possesses a conceptual understanding of the integration of all elements of his/her EdD studies.

9.2 Candidates unable to complete the EdD degree programme may apply for the award of either:

9.2.1 the Postgraduate Diploma in Practitioner Research (see 9.5), or

9.2.2 the Master of Education (MEd) in Practitioner Research (see 9.6)

9.3 The award of the Postgraduate Diploma in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme (i.e. excluding the institution focused study report and the thesis but including the portfolio reflective statement). Candidates awarded the Postgraduate Diploma in Practitioner Research shall not subsequently be permitted to present themselves for assessment for the EdD degree.

9.4 A student who fails to satisfy the examiners in the Institution-Focused Study report on two occasions shall not be permitted to continue with his or her programme of study, but may be considered for the award of the Postgraduate Diploma if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element.

9.5 Detailed provisions for the award of the Postgraduate Diploma are set out in supplementary regulations appended to these regulations.

9.6 The award of the Master of Education (MEd) in Practitioner Research shall be made to candidates who have satisfactorily completed the course of study and formal assessments associated with the taught components of the degree programme and the Institution-Focused Study report (but excluding the thesis). (Candidates awarded the MEd shall not subsequently be permitted to present themselves for assessment for the EdD degree).

9.7 A student who fails to satisfy the examiners in the EdD thesis may be considered for the award of the MEd degree if he or she has attained a satisfactory overall standard in formal assessments associated with the taught element and the Institution-Focused Study report.

9.8 Detailed provisions for the award of the MEd degree are set out in supplementary regulations appended to these Regulations.

10. Requirements of the thesis

10.1 The thesis for the EdD shall (see also regulation 5.3):

10.1.1 consist of the candidate's own account of his/her investigations;

10.1.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

10.1.3 demonstrate the candidate's capability to pursue original research in the field of study based on a good understanding of the research techniques and concepts appropriate to the discipline;

10.1.4 demonstrate the candidate's understanding of professionalism and his/her own professional role and the contribution of the thesis to his/her professional development;

10.1.5 give a critical assessment of the relevant literature, describe the method of research and its findings including a discussion on those findings, and indicate in what respects they appear to the candidate to advance the study of the subject;

10.1.6 embody the results of a practice-based research programme which may reasonably be expected of a student, taking into account the required length of the thesis and minimum period of registration for the programme;

10.1.7 be written in English and be satisfactory in its literary and/or technical presentation and structure with a full bibliography and references;

10.1.8 make clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;

10.1.9 be no more than 45,000 words (exclusive of appendices, the list of references and bibliographies but including footnotes, endnotes, glossary, maps, diagrams and tables). Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish; (see also 10.2)

10.1.10 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

10.2 A candidate will be expected to submit, bound in with the 45,000 word thesis, a statement of no more than 2,000 words summarising the areas which he/she has covered in the course as a whole, and highlighting the links between each element. In addition, a 500 word impact statement should be included.

10.3 A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own work.

10.4 A candidate is required to include a declaration of accurate word length in his/her thesis.

10.5 The greater proportion of the work submitted in a thesis must have been carried out after the registration of the student for the EdD degree at UCL, except that in the case of a student accepted under regulation 6.1 there shall be allowance for the fact that the student commenced his/her registration at another institution.

10.6 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis covering a wider field of work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that he/she shall indicate on his/her entry form and also on his/her thesis any work which has been so incorporated.

10.7 A candidate may submit the results of work done in conjunction with his/her supervisor, and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researchers.

10.8 Work already published including that published in joint names may be included only if it forms an integral part of the thesis and thereby makes a relevant contribution to the main theme of the thesis. A series of publications alone is not acceptable as a thesis.

10.9 Work undertaken during registration for the EdD degree as part of other elements of the degree may be included in the thesis provided the student indicates on the entry form and also on the thesis any work which has been so incorporated.

10.10 Publications in joint names must be certified in accordance with paragraph 10.7 above.

10.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the Programme Leader of IOE (see also regulation 11.7).

10.12 The title of the candidate's thesis must be approved by the candidate's supervisor.

10.13 After the examination has been completed and before the degree is awarded, successful candidates are required to submit to the appropriate office, for lodging in the Newsam library, the required number of copies of the thesis in the format specified in the instructions issued by the Programme Leader, if the copies of the theses submitted for examination did not conform with this specification (see also 15.1).

11. Entry to Examination for the Thesis

11.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

11.2 The decision to submit a thesis in any particular form rests with the candidate alone.

11.3 A student may submit a thesis for examination only after the minimum registration period has passed.

11.4 The student's supervisor shall report that he/she has completed the course in accordance with the regulations before a candidate is admitted to the examination for the degree.

11.5 The student must submit the entry form at least **four months** before the submission of the thesis and this will initiate the procedure for the appointment of examiners.

11.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis in about 300 words to assist in the appointment of suitable examiners.

11.7 If the candidate has not submitted his/her thesis for examination within 12 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

11.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

11.9 A candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to the examiners, and a copy of the statement to which reference is made in regulation 10.13 above.

11.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Graduate Tutor.

12. Availability of EdD thesis

12.1. It is a requirement for the award of the EdD degree that one hard bound copy of a successful thesis is placed in the IOE's Newsam library and one electronic copy to be made available for public reference.

12.2. At the time of entry to the examination candidates for the EdD degree will be required to sign a declaration confirming that the work presented is their own as specified in regulation 10.3, is fit for examination and that a copy may be made available for public reference.

12.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or patenting or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

13. Appointment of Examiners and Conduct of Examination

13.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, are removed.

13.2 The outcome of the examination is determined by two or more examiners acting jointly.

13.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external

examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

13.4 If the candidate is a member of staff of IOE, both examiners shall be external to the IOE.

13.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

13.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

13.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

13.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

13.9 Candidates must attend for examination at a place and time determined by IOE (see also regulation 11.12).

13.10 The oral examination will be held in London. The Faculty Graduate Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

13.11 Unless the candidate indicates otherwise on the entry form, the supervisor shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute, if invited to do so by the examiners, with the agreement of the candidate. Otherwise the oral examination will be held in private.

13.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

13.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations.*

13.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

13.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

13.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

13.17 The examiners may, at their discretion, consult the independent chair before completing their report.

13.18 Copies of the reports shall be sent to Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 14.4).

14. Outcome of Examination

14.1. The award of the degree shall be dependent on a satisfactory defense of the thesis in the oral examination as well as successful completion of all the other elements of the course as detailed in paragraph 9.1 above. The oral examination shall be designed to test the thesis against the criteria stated in paragraph 10 above.

14.2 The options open to examiners in determining the result of the examination are set out below.

Pass

14.2.1 If the thesis fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the EdD degree.

Pass subject to corrections within one month

14.2.2 If the thesis otherwise fulfils the criteria but it and/or the 2,000 word statement requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required corrections. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

14.2.3 If the thesis otherwise fulfils the criteria but it and/or the 2,000 statement require(s) minor amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within six months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the minor amendments in the specified time-frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 14.2.4 shall be followed.

Referral – re-present within 12 months

14.2.4 If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 12 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis a candidate who under this regulation has been permitted to re-present it in a revised form.

14.2.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

Fail – may not re-present

14.3 The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

14.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the action to be taken.

14.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

15. Notification of Results of EdD Examinations

15.1 After the report of the examiners has been considered by the Research Degrees Examination Board, the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 10.13).

15.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a degree.

15.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

15.4 No person will be awarded any qualification who has not settled any account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

15.5 Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

15.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

3.1 Master of Education (MEd) in Practitioner Research

Appendix to Doctor in Education Regulations

REGULATIONS FOR THE AWARD OF THE MASTER OF EDUCATION (MEd) IN PRACTITIONER RESEARCH

Students who register initially for the Doctor in Education (EdD) degree shall be awarded the degree of Master of Education in Practitioner Research in accordance with the provisions below.

1. Conditions for award

1.1 Students who have successfully completed the taught elements of the EdD degree by achieving a pass grade in each of the required courses and the report for the institution focused study (IFS) are eligible to be considered for the award of the MEd in Practitioner Research provided they have been registered for not less than two calendar years of part-time study at UCL.

1.2 Students who achieve a pass grade in each of the required courses and the report for the institution focused study and who subsequently attempt but fail the EdD thesis, may be eligible for the award of the MEd in Practitioner Research provided they have not applied for any other award on the basis of their results in the taught elements and the institution-focused study report.

1.3 The Regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those elements of the degree which count towards the award of the MEd.

1.4 A student who opts for the award of the MEd may not subsequently receive credit for the passes in the assessed elements of the EdD programme which led to the award of the degree towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with instructions governing formal assessment in force at the time he or she is considered for the award of the MEd.

2.2 In order to qualify for admission to the degree of Master of Education, a candidate must satisfy the examiners:

2.1.1 that he/she has attained a satisfactory standard in the taught elements of the degree;

2.1.2 that the candidate has attained a satisfactory standard in the report on the institution-focused study and has shown how the studies have supported the candidate's professional development and extended his/her understanding of his/her professional role.

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded the degree. The date of the award of the diploma will be no longer than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

3.2 Postgraduate Diploma in Practitioner Research

REGULATIONS FOR POSTGRADUATE DIPLOMA IN PRACTITIONER RESEARCH

Students who register initially for the degree of EdD shall be awarded the Postgraduate Diploma in Practitioner Research in accordance with the provisions below.

1. Conditions of Award

1.1 Students who successfully complete the taught element of the EdD degree by achieving a pass grade in each of the required courses through studies at UCL are eligible to be considered for the award of the Postgraduate Diploma in Practitioner Research, provided they have not applied for any other award on the basis of results in the taught courses.

1.2 Pass grades on the basis of which the Postgraduate Diploma in Practitioner Research is awarded must have been achieved through assessments relating to the taught elements of the EdD degree programme (including the portfolio reflective statement) only.

1.3 The regulations and examination provisions which govern the EdD degree for which the student registers shall apply to those courses which count towards the award of the Postgraduate Diploma in Practitioner Research.

1.4 A student who opts for the award of the Postgraduate Diploma in Practitioner Research may not subsequently receive credit for the passes in courses which led to the award of the Postgraduate Diploma in Practitioner Research towards the award of the EdD degree or any other award offered at UCL.

2. Examination

2.1 A candidate will be examined in accordance with the instructions governing formal assessment in force at the time he or she is considered for the award of the Postgraduate Diploma.

2.2 In order to qualify for the award of the Postgraduate Diploma in Practitioner Research a candidate must satisfy the examiners that he/she has attained a satisfactory standard in each of the courses which comprise the taught element of the degree;

3. Notification of result

3.1 After the EdD Board of Examiners have reached a decision, every candidate will be notified by the Student and Registry Services of the result of his/her examination.

3.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a Postgraduate Diploma. The date of the award of the diploma will be no longer

than one month after the Board of Examiners has recommended that a student be passed.

3.3 The diploma will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

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UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part G: Master of Philosophical Studies (MPhilStud)

1   Admissions

1.1   Standard Qualifications for Admission

1. The normal minimum entrance qualifications for registration for the degree of Master of Philosophical Studies (MPhilStud) is the award of an upper second class Honours degree, or equivalent overseas qualification, in an appropriate discipline. Individual programmes may set higher entry requirements.
2. Relevant postgraduate study, such as a taught degree at masters level, may be acceptable where the first degree is a not an Honours degree or equivalent overseas qualification.

2   Registration

2.1   Dual Registration

1. A student is not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

   Further guidance

1. Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they have completed their registration with another institution.

2.2   Initial Registration

1. Every student must complete enrolment as instructed within two weeks of the start of their research programme and must undertake to comply with the conditions of enrolment.
2. An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration — i.e. the original diploma or certificate of the awarding body.

2.3   Course of Study

2.3.1   General

1. All research degree students are required to pursue a course of study prescribed by UCL.
2. A programme of study may require attendance at lectures and coursework as prescribed by UCL. A candidate's registration on a UCL programme will be dependent upon their continued satisfactory progress as determined by UCL.
3. All research students are required to use the Online Research Student Log.
4. For more information about the Research Student Log and other requirements see the Code of Practice for Graduate Research Degrees.

2.3.2   Master of Philosophical Studies (MPhilStud)

1. The MPhilStud programme should comprise the following elements:

    i)   core research training modules (90 credits);

    ii)   research specialisation modules (150 credits);

    iii) a thesis of no more than 30,000 words (120 credits).

2. Students must have passed research training and specialisation modules to a minimum value of 240 credits in order to qualify for submission of the thesis.

2.4 Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL. Students must be in a position to meet all the requirements determined for their studies.
2. Students, whether full-time or part-time, are expected to centre their academic studies on UCL. Students should ensure they are able to attend UCL in person for teaching and meetings as required by their supervisors.

2.5 Length of Programme

1. The length of the MPhilStud is normally two calendar years of full-time study.

2.6 Annual Leave

1. Annual Leave entitlement for doctoral students should be in-line with staff entitlements. For a full-time student this equates to 41 days over the year including 27 days of Annual Leave, 8 Public and Statutory Holidays, and 6 Closure Days. For part-time students these entitlements should be pro-rata.
2. Students and supervisors should agree a way to record and monitor Annual Leave in-line with Departmental practises where appropriate.
3. Students should ensure their supervisors are aware of any Annual Leave planned in advance and ensure any required cover is put in place.
4. Where the programme includes any Taught or time-sensitive elements this should be taken into consideration when planning Annual Leave.
5. Funded Students must ensure they continue to meet their funder Terms & Conditions.
6. Students on a Student Visa must ensure they continue to meet their Visa requirements.

2.7 Interruption of Study

1. Interruption of study may be granted on the authorisation of the Director of Student Administration, on behalf of the Research Degrees Committee, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar year and any further period of interruption of study will be considered one year at a time. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not normally be considered grounds for interruption of studies.
2. Interruption of study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee.
3. The Students website provides further detail on the Interruption of Study Procedure.

3   Supervisory Arrangements

3.1   Supervisors: General

1. Each UCL student registered for the MPhilStud degree shall have appointed one Principal and one Subsidiary Supervisor, who shall be members of staff of UCL or members of staff of an institution with an approved agreement with UCL. All supervisors must be approved by their Faculty Graduate Tutor before they undertake supervision of research students.

    Further guidance

1. Principal and Subsidiary Supervisors shall be appointed by the appropriate departmental/divisional Postgraduate Committee, or its equivalent body.
2. Honorary members of staff may be appointed as either Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Faculty Graduate Tutor on behalf of the Research Degrees Committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research activity, including publications and grant income. Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 3.2 below.
3. Retired members of staff shall not normally be appointed as supervisors except by the specific agreement of the Research Degrees Committee. In instances where a member of staff serving as Principal Supervisor retires, continued supervision by the staff member is only permissible if explicitly agreed by all parties (the student, the supervisor and department), and this decision is recorded by the department. In addition, the following arrangements must also be put in place and reviewed annually by all parties to confirm they are working effectively:
    *   The existing Subsidiary Supervisor shall be appointed as joint Principal Supervisor with the retired member of staff;
    *   A third supervisor shall be appointed to the supervisory team as Subsidiary Supervisor.
4. Supervisors can be appointed from institutions with an approved agreement with UCL. Such supervisors must have the status of honorary members of UCL staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees in the UCL Academic Manual.
5. For more information on the role of the supervisor see the Code of Practice for Graduate Research Degrees.

3.2   Supervisors: Eligibility

1. The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found in Eligible Staff Categories for Supervising Research Students on the Chapter 5 webpage of the UCL Academic Manual.
2. UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3. A Principal Supervisor for an MPhilStud should normally:
    a) have satisfactorily completed any probationary period attached to his/her appointment;
    b) have expertise in the area of the proposed research;

c) have had previous experience of at least one successful MPhilStud or MPhil/PhD supervision within a supervisory team (defined as having taken a student all the way through to a research degree award).

4. A Subsidiary Supervisor for an MPhilStud should normally:
   a) have expertise relevant to the area of proposed research;
   b) be familiar with the standards required for MPhilStud or MPhil/PhD research.

5. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.

6. A Research Associate may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
   a) have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
   b) be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.

Further guidance

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.

2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of MPhilStud or MPhil/PhD supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

3.3 Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time research students at any one time.

Further guidance

1. The maximum number of students [head count], that may be supervised by an individual as either Principal or Subsidiary Supervisor will be nine, using the following formula:

| 1 Full-Time MPhilStud student | 1.0 for a Principal Supervisor |
| 1 Full-Time MPhilStud student | 0.5 for a Subsidiary Supervisor |

2. Where a supervisor exceeds the maximum number of students under his/her supervision, the supervisor's department must be able to demonstrate that there are mechanisms in place to ensure adequate contact with the student and appropriate support for the supervisor, such as a large supervisory team and/or a reduction in other workloads.

3. Part-time staff appointed as supervisors should supervise no more than six full-time research students on a pro-rata basis.

3.4 Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising, in accordance with the UCL Personal Relationships Policy.

3.5   Transfer of Supervisor to another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor, normally by the Departmental/Divisional Graduate Tutor. Should a student wish to continue to work under the supervisor who has transferred, he or she may consider applying to transfer registration to the supervisor's new institution, providing he or she is not in the final year of the programme.

4   Assessment

4.1   Assessment of Research Training and Specialisation Elements

1. Assessments qualifying a candidate for submission of a thesis shall take place within the period of the overall programme and shall be by written examinations or coursework, as prescribed for each individual course or module.
2. Assessment of research training and research specialisation modules will be subject to the Assessment Regulations for Taught Programmes (Academic Manual, Chapter 4, Part A) sections 1 to 5 (Overarching Principles of Assessment; Assessment Information; Module Assessment; Marking & Moderation; Assessment Feedback), section 9 (Consequences of Failure), and section 11 (Boards of Examiners). This also includes Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions, and Chapter 4, Part B: Student Regulations for Exams and Assessments.
3. Sections 6 to 8 (Progression & Award; Classification; Deferred Assessment), 10 (Interim Qualifications), and 12 (Award of Degrees) of the Assessment Regulations for Taught Programmes (Academic Manual, Chapter 4, Part A) do not apply.
4. The award of the degree shall be dependent on the thesis, which a candidate may not submit until he/she has successfully completed all the other elements of the programme, and on the final oral examination.
5. Modules for the research training and specialisation part of the programme will be assessed by the methods and at the dates indicated for the module in question.

4.2   Requirements of a Thesis

4.2.1   Theses: General

1. The greater proportion of the work submitted in a thesis must have been undertaken after the registration of the student for the MPhilStud degree.
2. The work in the thesis submitted by a student must be their own work and the submission of a thesis for examination will be regarded as a declaration of that fact.
3. A student will not be permitted to submit a thesis that has been submitted for examination for a degree, or comparable award, of this or any other university or institution. However, students may incorporate into a thesis previously examined fieldwork which they have already submitted for a degree or comparable award of this, or any other university or institution. In such a case this must be indicated on the Examination Entry Form and the

incorporated fieldwork must be clearly identified as such in the thesis submitted for examination.

4. Students may submit the results of work done in conjunction with their supervisor and/or with fellow research workers provided that their own contribution in the investigation is clearly stated and a statement of confirmation is certified by the supervisor.

5. The decision of a student to submit a thesis should be made in consultation with the student's supervisor(s). The decision to submit a thesis in any particular form rests with the student alone.

Further guidance

1. An allowance may be made in the case of a student who has transferred from another institution (see Section 2.3 Exemption from Part of a Programme of Study).

2. Students should also include in each copy of their thesis a signed declaration that the work presented is their own. This may be inserted between the title page and the contents page of the thesis in the following terms:
   'I, [Student's full name], confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.'

4.2.2   Requirements of an MPhilStud Thesis

1. A thesis for the award of an MPhilStud degree shall be examined in accordance with the following criteria, according to which the thesis shall demonstrate that it:
   a) is genuinely the work of the candidate;
   b) consists of the candidate's own account of their investigations and indicates in what respects they appear to them to advance the study of the subject;
   c) represents a contribution to the subject, either through a record of the candidate's original work or a critical and ordered exposition of existing knowledge;
   d) takes due account of previously published work on the subject;
   e) makes clear the sources from which information has been derived, the extent to which the work of others has been used, and the areas which are claimed as original;
   f) is an integrated whole and presents a coherent argument;
   g) is satisfactory as regards literary presentation;
   h) includes a satisfactory bibliography and references.

2. A series of papers, whether published or otherwise, is not acceptable for submission as a thesis. Research work already published, or submitted for publication, at the time of submission of a thesis, either by a student alone or jointly with others, may be included in the thesis. The published papers themselves may not be included in the body of a thesis but may be adapted to form an integral part of a thesis and thereby make a relevant contribution to the main theme of a thesis. Publications derived from the work in a thesis may be bound as supplementary material at the back of a thesis.

4.2.3   Language of a Thesis

1. All theses must be written in English.
2. In all cases, the oral examination of a thesis would normally be conducted in English.

4.2.4   Word Length of a Thesis

1. The maximum word length for an MPhilStud thesis is 30,000 words.
2. The maximum word length includes footnotes, tables and figures but excludes bibliography, appendices and supporting data.

Further guidance

1. The signature of the student and the Principal Supervisor on the Examination Entry Form to the MPhilStud examinations (see the Research Degree Examination Entry webpages) shall be taken as confirmation that the thesis submitted is within the required word limit.

2. 'Supporting data' refers largely to raw data which is not essential to the argument of the thesis. Appendices are not in the word count and should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish. Examiners are not required to read beyond the maximum word limits. Where the thesis itself is an edition of a text or texts, normally in the field of literature, the above word limits may not apply.

4.2.5 Format of a Thesis

1. The thesis should be submitted in the format determined by UCL at the time of submission. Further information and guidance is available on the Thesis Formatting webpages and on the Research Degree Examination Entry webpages.

4.2.6 Approval of a Thesis Title

1. A student must have the title of his/her thesis approved by his/her Principal Supervisor.
2. The approved title is submitted to UCL on the Examination Entry Form submitted to researchdegrees@ucl.ac.uk.

4.2.7 Availability of a Thesis

1. After the examination has been completed and before the degree is awarded, successful students must submit one electronic copy to UCL, via the Research Publications Service (RPS), for lodging in the UCL library.

2. A soft-bound copy of the thesis may also be submitted to the UCL Library, if desired. This may include artefacts related to non-traditional formats of a thesis. Further information and guidance is available on the Thesis Formatting webpages.

3. The process of final thesis submission, both the electronic and optional hard copy, is managed by the Open Access Team.

4. A student may apply to UCL at the time of registration or thereafter, for restriction of access to their thesis and/or the abstract of their thesis on the grounds of commercial exploitation or patenting. In very exceptional circumstances, if the thesis includes material that is significant for national security, subject to approval of UCL, copies of the thesis placed in the public domain, with the agreement of the graduate concerned, may have certain parts excised from them. Applications to restrict access to a thesis should be made via the Library.

4.3 Examination Entry

4.3.1 Examination Entry Form

1. Before the thesis is submitted for examination, an Examination Entry Form must be submitted to UCL.
   i) The Examination Entry Form may not be submitted earlier than six months before the completion of the prescribed programme and must be submitted not later than four months before the submission of the thesis. For a link to the entry form and more information, see the Research Degree Examination Entry webpages.

ii) A student is required to submit to his/her supervisor a short description of the content of the thesis in about 300 words, the short description must be submitted to the Registry with the Examiner Nomination Forms, to assist in the appointment of suitable examiners (see the Chapter 5 webpage for more details).

4.3.2   Thesis Submission

1. A student should submit a thesis for examination before the end of 24 months of registration full time and must do so before the end of any CRS period (see section 5 below). A student will remain registered after the submission of his or her thesis until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.
2. Prior to examination, candidates are required to submit their e-thesis to UCL for dispatch to their examiners. Further information and guidance is available on the Thesis Formatting webpages.
3. After the examination and before the award is made, candidates entering for a UCL award are required deposit one e-thesis in the UCL Institutional Repository.

Further guidance

1. A candidate for the MPhilStud degree is required to bring to the oral examination a copy of his/her thesis which is identical to the copies submitted to researchdegrees@ucl.ac.uk. Further information and forms are available on the Research Degree Examination Entry webpages and on the Thesis Formatting webpages.

4.3.3   Dispatch of Theses to Examiners

1. A thesis will be sent, via researchdegrees@ucl.ac.uk, to both examiners at least four weeks in advance of an oral examination.
2. Examiners will normally use an electronic copy of the thesis, but an Examiner may request the student provide a hardcopy, if required. Further information and guidance is available on the Thesis Formatting webpages.
3. Direct submission of theses to examiners by students, supervisors or departments/ divisions is not permitted.

Further guidance

1. All theses will be submitted to UCL via researchdegrees@ucl.ac.uk. Theses will be sent to both examiners by UCL Student Records. Supervisors and students should note that theses will only be sent to examiners who have been formally appointed by UCL and only after the Examination Entry Form has been submitted in accordance with the Examination Entry Guidelines on the Research Degree Examination Entry webpages.
2. Supervisors and students for examination should ensure that all examination entry requirements have been met in good time before a planned oral examination takes place.
3. Oral Examinations cannot proceed if the requirements for the examination entry, including the formal appointment of examiners, have not taken place in accordance with UCL regulations. The outcome of any examination conducted in such an instance would be void.

4.3.4   Reasonable Adjustments

1. Under the Equality Act 2010, UCL is required to make Reasonable Adjustments to learning, teaching and assessment to ensure that disabled students are not put at a substantial disadvantage. UCL can also provide Reasonable Adjustments for students who might not consider themselves to have a 'disability' but who nevertheless would benefit from

additional support with their studies due to an ongoing medical or mental health condition. For further information about Reasonable Adjustments, and how to apply, please see Chapter 2, Section 3: Reasonable Adjustments for Disabilities and Long-Term Conditions and the section for Postgraduate Research Students in particular.

4.4 Appointment of Examiners

4.4.1 The Appointment of Examiners for Research Degrees

1. Two examiners will be appointed for each candidate in accordance with the UCL Procedures for the Appointment of Examiners (see the Chapter 5 webpage for more details). One of the examiners shall be external to UCL; the other shall normally be a member of staff of UCL.

Further guidance

1. For each student, two examiners shall be appointed by the UCL Research Degrees Committee on the recommendation of the appropriate Departmental and Faculty Postgraduate Committees or equivalent bodies. Two external examiners may be appointed in lieu of an internal examiner if, on grounds of academic expertise or other reasons, a suitable individual within UCL cannot be nominated.
2. An examiner shall not have acted as either Principal or Subsidiary Supervisor of the thesis to be examined, nor have been involved in any way with the candidate or project to be examined
3. In the case of a student who is a member of staff of UCL, no examiner may be appointed who is internal to UCL if they are from the same department as the student or supervisor(s). However, where nobody else is available with sufficient expertise an examiner from the same department may be appointed if a Viva chair is used.
4. It is desirable that no examiner, either internal or external, should be appointed on more than three consecutive occasions for the same supervisor. Generally, supervisors and departments are asked to avoid repeatedly nominating the same person as an examiner, or nominating each other to act for the other's student, within a short time frame.
   a) External Examiners:
      Normally, an individual external examiner should not be appointed more than once during a given year by members of the same UCL department.
   b) Internal Examiners:
      Normally, an individual internal examiner should not be appointed more than five times during a given three-year period by members of the same UCL department.
5. Further guidelines on the appointment of examiners and nomination forms are available on the Chapter 5 webpage.

4.4.2 The Appointment of Additional Examiners

1. Exceptionally a third examiner, who must be external to UCL, may be appointed with the approval of UCL.
   i) Exceptionally a third examiner may be appointed with the approval of the UCL Research Degrees Committee. A third examiner will be appointed in cases where, between them, the two examiners do not feel they have a sufficient level of expertise to examine the thesis.
   ii) A third examiner may also be appointed where there is a dispute between two examiners about the result of an examination which they cannot resolve between themselves.

    iii)   In accordance with UCL regulations, the third examiner must be external to UCL.
    iv)   The third examiner will, however, be nominated and appointed through usual UCL procedures and using the Examiner Nomination Form on the Chapter 5 webpage.

4.5   Conduct of the Research Degree Examination

1. The examiners shall prepare independent preliminary reports on the thesis, conduct an oral examination and submit a final, joint report to UCL.
2. The candidate's supervisor shall be invited, unless the candidate indicates otherwise on his/her entry form, to attend the oral examination as an observer. The oral examination will otherwise be conducted in private.
3. The oral examination should be held at UCL or held remotely and the agreed configuration noted on the Examination Entry Form.
4. Where no configuration can be agreed the oral examination should be held at UCL by default
5. Where the oral examination is held remotely it is recommended that the supervisor or other designated contact in the student's department is available at the time of, and after, the viva to provide technical and emotional support if needed.

Further guidance

1. The examiners shall prepare independent preliminary reports on the thesis to assist in conducting the oral examination. Copies of the preliminary reports for MPhilStud students should be submitted to researchdegrees@ucl.ac.uk together with the final, joint report. The preliminary and joint reports will be released to students.
2. Examiner report forms and procedural information are available from the Chapter 5 webpage.
3. Each final, joint report by the examiners shall indicate whether the thesis meets the requirements specified in Section 4.2 as appropriate and shall include a statement on the examiners' judgement of the student's performance. Examiners have the right to make comments in confidence to UCL in a separate report. Such comments should not be concerned with the performance of the student but may cover matters which they wish to draw to the attention of UCL.
4. All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of material contained in a student's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, have been removed.
5. The supervisor who attends the oral examination does not have the right to participate in the examination of the candidate but may contribute if invited to do so by the examiners. Otherwise the oral examination shall be held in private.
6. UCL may exceptionally agree that the examination be conducted outside London if there are circumstances which make this expedient. Applications to hold an oral examination outside of London should be made in writing to the Chair of the Research Degrees Committee via researchdegrees@ucl.ac.uk.
7. For further guidance on the conduct of an oral examination, students and staff should also refer to the UCL Doctoral School's Code of Practice for Graduate Research Degrees.

4.6   Outcomes of the Oral Examination

1. Students for an MPhilStud degree must submit a thesis and be examined orally. The following options are open to examiners in determining the result of an examination for the MPhilStud degree:

   a) If the thesis fulfils the criteria (set out in 4.2) and the student satisfies the examiners in all other parts of the examination, the examiners will report that the student has satisfied them in the examination and the student has passed the research component of the award.

   b) If the thesis otherwise satisfies the criteria (set out in 4.2) but requires minor amendments, and if the student satisfies the examiners in all other parts of the examination, the examiners may require the student to make, within three months, amendments specified by them. The amended thesis shall be submitted to the examiners, or one of their number nominated by them, for confirmation that the amendments are satisfactory.

   c) If the thesis, though inadequate, shall seem of sufficient merit to justify such action, the examiners may determine that the student be permitted to re-present their thesis in a revised form within 12 months. The examiners may at their discretion exempt from a further oral examination, on re-presentation of their thesis, a student who under this regulation has been permitted to re-present it in a revised form. Examiners may refer a thesis for the MPhilStud degree for 12 months for re-submission in a revised form, on one occasion only.

   d) If the thesis fulfils the criteria (set out in 4.2), but the student fails to satisfy the examiners at the oral examination, the examiners may determine that the student be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months.

   e) If, after completion of the examination for the MPhilStud degree, the examiners determine that a student has not reached the standard required for the award of the degree nor for the re-presentation of the thesis in a revised form for that degree, then no award will be made.

   f) The examiners shall not, save in very exceptional circumstances, make any of the above decisions without submitting the student to an oral examination on at least one occasion.

   Further guidance

1. Staff and students should also refer to the Doctoral School's Code of Practice for Graduate Research Degrees for further guidance on the examination of research degree students.

4.7 Research Misconduct

1. All cases of suspected research misconduct, including plagiarism, shall be investigated in accordance with the regulations set out in the Chapter 5, Part A, Section 5.6: Research Misconduct and with the UCL Procedures for Investigating and Resolving Allegations of Misconduct in Academic Research.

4.8 Appeals

1. Where a decision in relation to the assessment, outcomes or continuation of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

4.9 Graduation Ceremonies

1. UCL will organise Graduation Ceremonies and publish an annual deadline for ticket applications (see the UCL Graduation Ceremonies website).
2. 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. For further information see the Graduation: Academic Robes web pages.

5   Completing Research Status

5.1 General

1. All research students who have completed their approved period of registration may register as CRS students while they write up their theses. Transfer to CRS status is only permitted with the approval of a student's supervisor or other departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full time). CRS registration cannot be interrupted; a student who is prevented from submitting a thesis for reasons beyond his or her control may apply for an extension, as detailed in 5.3 below.
3. An MPhilStud student must be registered for at least two calendar years full time before he or she will be eligible to take up CRS status.
4. In addition to completing the approved period of registration, a student must meet the following conditions before being permitted to take up CRS status:
   a) Have passed research training and specialisation modules to a minimum value of 240 credits;
   b) Be in a position to submit his or her thesis within 12 months (for full-time students);
   c) Have met any other departmental or divisional conditions.
5. Further guidance is available from the Completing Research Status webpages.

5.2 Completing Research Student Status (CRS): Entitlements and Obligations

1. During the period of CRS registration, a student is entitled to have at least one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.
2. A student awarded CRS must submit a thesis for examination before the end of his or her CRS period.

Further guidance

1. Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
2. The student's department/division may, at its discretion, give any other supervisory assistance during the writing up period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

5.3 Extensions to the Completing Research Period

1. A student who cannot submit a thesis for examination before the end of CRS due to circumstances outside his or her control may apply for an extension. The maximum period of extension is one year full time.

Further guidance

1. Applications for extension to CRS must be made via the application form available in Portico (for further information see: Completing Research Status (CRS) webpages). Applications must be supported by a student's department and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the control of the student. Work commitments or any duties carried out for a department are not considered grounds for extension; submission of a thesis is expected to be a priority. Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments are expected to make arrangements for alternative supervision under such circumstances.

5.4 Submission of a Thesis after the end of CRS

1. A student who submits late will be liable for a Submission Extension Fee.
2. A student who does not submit a thesis before the end of his or her CRS registration will cease to be registered as a student at the end of this CRS period. He or she will not be entitled to access to UCL facilities and services and will not be entitled to supervisory fadvice. In addition, any student who wishes to submit after the end of his or her CRS registration will require permission to do so; this must be supported by a student's supervisor or other departmental authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department require this.

Further guidance

1. All students who submit after the end of their CRS registration will pay a fee equivalent to the part-time home fee current at the time (see Submission Extension Fees for Research Students). This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months. For submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission.

5.5 Resubmission of a Thesis

1. A student whose thesis is referred by his or her examiners for substantial revision within 12 months will remain registered as a submitted student on the basis of 5.2 above, provided the original submission was not after the expiry of a period of CRS status. He or she will have access to UCL facilities and will be entitled to have at least one draft of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before re-submission. If a student's revisions require more supervision or further access to UCL laboratories or other facilities, he or she may be required to re-register as a fee-paying student for the period of this supervision or access.
2. A student who is required to re-submit must re-enter for the examination by completing the Examination Entry Form available on Portico (see Research Degree Examination Entry webpages).

LONDON'S GLOBAL UNIVERSITY

UCL Academic Manual
2022-23

Chapter 5: Research Degrees Framework

Part H: Master of Research (MRes) Additional Regulations

1   Introduction

1. This document outlines some specific requirements which apply to MRes programmes and should be read in conjunction with the following Chapters of the UCL Academic Manual:
   - Chapter 1: Student Recruitment & Admissions
   - Chapter 3: Registration Framework for Taught Programmes
   - Chapter 4: Assessment Framework for Taught Programmes
   - Chapter 7, Part A: Qualifications and Credit Framework
2. MRes students are also governed by the Research Degree Supervision regulations:
   - Chapter 5, Part A, Section 3: Supervisory Arrangements
3. Students who are enrolled on MRes programmes that are integral to an MPhil/PhD or EngD programme should also refer to:
   - Chapter 5, Part A: Research Degree Regulations
4. MRes students are also required to comply with UCL's Code of Practice for Graduate Research Degrees.

2   Period of Registration

1. The general academic year starts on the first day of September and ends on the last day of August in the following year.
2. Some MRes programmes begin in January and end on the last day of December.
3. The approved period of registration for a one-year Masters by Research (MRes) degree is one calendar year of full-time study and two calendar years of full-time study for two-year programmes.
4. Programmes that offer a part-time mode of study have double the period of registration of the full-time programme.

Further guidance

1. Students should refer to programme-specific literature for information about available modes of attendance.
2. If students wish to change their mode of attendance, guidance should be sought from Programme Directors and from researchdegrees@ucl.ac.uk.

3   Approved Structure of a Masters by Research Programme (MRes)

1. The credit and qualification requirements of Masters by Research programmes are defined in Chapter 7, Part A: Qualifications and Credit Framework.
2. Research Supervision: Two approved research supervisors must be recorded on the student record database for all MRes students. Further information about Research Supervision is set out in Chapter 5, Part A, Section 3: Supervisory Arrangements.
3. Transferable Skills: MRes programmes must include 30 credits of identifiable taught transferable skills
4. Dissertation/Research Project UCL Credit Value: The dissertation/research project credit value of a one-year MRes programme must be between a minimum of 105 and a maximum of 150 credits. The dissertation/research project credit value of a two-year MRes programme should be proportionate.
5. Dissertation/Research Project Word Length: The dissertation/research project word lengths must be proportionate to the credit value and learning hours for the programme research element and be between a minimum of 15,000 and a maximum of 20,000 words.

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6. Students who are enrolled on MRes programmes that are integral to an EngD or MPhil/PhD programme should also consider their research element in the context of undertaking further research as part of an integrated programme from the outset.

4 Progression Threshold for MRes Programmes Associated with a Doctoral Programme

1. For automatic progression from MRes to MPhil/PhD or EngD, students should achieve an average mark of not less than 60% in the independent, original research components of the programme, and not less than 50% in the taught elements.

Further guidance

1. This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
2. However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.

UCL Academic Manual 2022-23

Chapter 5: Research Degrees Framework

Part I: IOE MPhil/PhD Regulations for Students entering before September 2015

Covering MPhil/ PhD students at the UCL Institute of Education who first enrolled on their programmes before September 2015.

IOE MPhil/ PhD students enrolling from September 2015 onwards are subject to the UCL regulations for research degree students in Chapter 5, Part A of the UCL Academic Manual.

Continuing IOE MPhil/ PhD students are also subject to the *IOE Code of Practice for Research Degrees* and to the *UCL Research Governance and Ethics Policies and Procedures*.

MPhil/ PhD Regulations

1. Introduction

1.1 These Regulations govern the conduct and award of the degrees of Master of Philosophy (MPhil) or Doctor of Philosophy (PhD), including the PhD by Publication and the degrees of Master of Philosophy and Doctor of Philosophy with Integrated Research Methods Training (hereinafter called the Integrated MPhil/PhD).

1.2 The regulations are made subject to the *IOE General Academic Regulations 2014-15*, the *IOE Assessment Regulations for Students 2014-15* and all other relevant regulations, policies and procedures of UCL.

2. Definitions

2.1 In these regulations, terms have the meanings assigned to them in the *IOE General Academic Regulations 2014-15* unless otherwise stated in the text.

2.2 Any reference in these regulations to any named officer of UCL shall be deemed to include a reference to any person designated by that officer for the purpose.

3. Admission

3.1 Candidates for admission must satisfy the requirements laid down in the *IOE General Academic Regulations 2014-15.*

3.2 The normal minimum entrance requirements for admission to an MPhil or PhD is either:

3.2.1 a first or upper second class honours degree obtained after a course of study extending over not less than three years in a university (or educational institution of university rank); or

3.2.2 a postgraduate taught degree of a UK university or an overseas qualification judged to be of an equivalent standard by the Institute in an area of specialism appropriate to the research to be undertaken.

3.3 A candidate not satisfying these requirements may be considered for admission if UCL is satisfied that his or her general education, scholarship, training and experience are suitable for the programme. In such cases, UCL will prescribe qualifying work that must be completed to the satisfaction of the Programme Leader before registration.

3.4 Candidates for admission may in addition be required to pass an approved English language test. Details can be found on the UCL website at http://www.ucl.ac.uk/prospective-students/graduate/life/international.

3.5 Candidates for registration may be required to pass a qualifying examination and/or may be required to obtain additional qualifications for admission.

3.6 At the discretion of the Programme Leader, a candidate who fails to pass a qualifying examination prescribed for him/her may be permitted to re-enter for the qualifying examination; if re-entry to the qualifying examination is permitted, a candidate will be limited to one re-entry.

3.7 A qualifying examination may not serve in lieu of a satisfactory result in an approved English language test in cases where specified evidence of English language proficiency at a level deemed appropriate by IOE is required.

3.8 Every candidate must make an application to IOE in accordance with the *IOE General Academic Regulations 2014-15* and any other procedures prescribed by UCL.

3.9. Satisfaction of the criteria referred to at Regulations 3.1 to 3.7 does not guarantee admission.

4. Registration

4.1 A candidate for a research degree will be registered initially for the MPhil degree except where the Programme Leader has given permission for initial registration for the PhD degree or where a member of staff is permitted to register for a PhD by publication under 4.2 below.

4.2 A member of IOE staff permitted to register for a PhD by publication shall be expected to meet the conditions laid down in Annex A to these regulations.

4.3 Students registered for the MPhil or PhD degree may be exempted from part of the course of study if they have commenced a course of study for the MPhil or PhD degree (or equivalent degree) of another university, provided there is no change in their topic of research and provided they meet the conditions (*See also regulation*s 5.4 and 6.4, as well as B8 for students registered for the Integrated MPhil/PhD).

4.4 IOE may permit a student to transfer registration from the MPhil degree to PhD and from the PhD degree to MPhil in accordance with the procedures determined by IOE from time to time, and published in the relevant student handbooks issued by IOE, provided that no transfer of registration is permitted after entry to the examination for the degree from which the student is transferring. Registration for the degree to which transfer has been made may date from initial registration for the degree from which transfer has been made.

4.5 On transfer of registration, the registration for the original degree will be terminated.

4.6 Students registered for the MPhil or PhD degree at UCL shall not be permitted to register concurrently for another course at UCL or at any other higher education institution, except for those courses specified from time to time by the Programme Leader.

4.7 A student who withdraws before completing the programme of study may be required to re-start the whole programme should the student subsequently be permitted by UCL to re-register for it.

5. Attendance and Course of Study

5.1 In keeping with the *IOE Code of Practice for Research Degrees,* IOE shall appoint a supervisor and an advisory panel for each student registered for the MPhil or PhD degree.

5.2 Every student shall be required to pursue a course of study under the direction of their supervisor and in so doing to undertake their studies at such time(s) as IOE and their supervisor may require, and to complete an agreed research training programme and any coursework as prescribed by IOE.

5.3 For a full-time student, the minimum period of registration for an MPhil or PhD degree shall be two calendar years, save as prescribed in 5.4 below. For part-time students the minimum period of study shall be three years for an MPhil or PhD, save as prescribed in 5.4 below. Where a student

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follows periods of both full- and part-time study the total length will be adjusted according to the length of registration spent in each mode. For staff registered for a PhD by publication the minimum period is as specified in Annexe A, regulation A6. For students registered for the Integrated MPhil/PhD, the minimum period is as specified in Annexe B, regulation B6.

5.4 A student accepted under regulation 4.3 may be exempted by IOE from part of a course of study for the MPhil or PhD degree provided that the course of study followed at IOE is not less than one calendar year of full-time registration or two calendar years of part-time registration.

5.5 A course must be pursued continuously except by special permission of the Faculty Tutor.

5.6 The progress of each student shall be formally reviewed on an annual basis in accordance with the *IOE Code of Practice for Research Degrees*.

5.7 Full time MPhil or PhD students are expected to submit their thesis for examination within four calendar years of the date of the initial registration for the degree and part-time MPhil or PhD students are expected to submit their thesis for examination within seven calendar years of the initial degree registration. Students who have not completed within this period can transfer to UCL's regulations if they wish to continue studying beyond this period. For a student accepted under regulation 4.3, the period of registration spent at the other institution shall be used to calculate the number of years undertaken by the student. For students registered for the PhD by Publication or the Integrated MPhil/PhD the period of registration shall be as prescribed in Annexe A and B respectively.

5.8 The Faculty Tutor may approve an application from a person proposing to work away from IOE for a proportion of the prescribed period of registration, provided that:

5.8.1 the student agrees a pattern of study with his/her supervisor that enables him/her to meet the requirements of the MPhil/PhD programme (any departure from this pattern of study after acceptance of a place must be approved by the Faculty Tutor); **and**

5.8.2 the student is able to provide satisfactory evidence as to the availability of appropriate facilities for the research at the student's location; **and**

5.8.3 the arrangements proposed for supervision enable frequent and substantial contact between the student and the supervisor(s) in accordance with the *IOE Code of Practice for Research Degrees*.

5.9 All research conducted must conform to the *UCL Research Governance and Ethics Policies and Procedures*.

5.10 All work submitted as part of the requirements for any examination of UCL must be expressed in the candidate's own words and incorporate his/her own ideas and judgments.

5.11 The *UCL Research Misconduct Regulations* (see *UCL Academic Manual, Chapter 5, Part A, Section 5.6*) will be used to deal with any allegation that any part of a thesis has been plagiarised or that there has been any infringement of the declaration in regulation 10.2 below.

5.12 A student who fails to undertake the prescribed course of study or coursework or to make satisfactory progress in regard to his or her research may be required to withdraw from the programme in accordance with the *IOE General Academic Regulations 2014-15.*

6. Requirements applicable to the MPhil or PhD

6.1 Candidates registered under regulation 4.2 shall be required to satisfy the requirements for entry to the examination of the PhD by Publication specified in the Annexe and shall not be subject to regulations 6.3, 6.4, 6.7, 6.10 and 7.1.

6.2 Candidates for entry to the examination of the MPhil or PhD must satisfy the requirements applicable to theses for such degrees as laid down in the programme handbook.

6.3 The thesis must:

6.3.1 consist of the candidate's own account of his/her investigations.

6.3.2 be an integrated whole and present a coherent argument;

6.3.3 include a full bibliography and references;

6.3.4 be written in English and of a satisfactory standard of literary presentation

6.4 The greater proportion of the work submitted in a thesis must have been done after the initial registration for a research degree at UCL, except that in the case of a student accepted under regulation 4.3 there shall be allowance for the fact that the student commenced his/her registration at another institution.

6.5 A candidate will not be permitted to submit as his/her thesis one which has been submitted for a degree or comparable award of this or any other university or institution, but a candidate shall not be precluded from incorporating in a thesis wider field work which he/she has already submitted for a degree or comparable award of this or any other university or institution provided that the candidate indicates on his/her entry form and in his/her thesis any work which has been so incorporated.

6.6 Except insofar as regulation 6.8 applies, the work in the thesis submitted by the candidate must be his/her own and submission of a thesis for examination for the MPhil or PhD degree will be regarded as a declaration of this fact.

6.7 Research work already published, or submitted for publication, at the time of submission of the thesis, either by the candidate alone or jointly with others, may be included in the thesis only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of the thesis. The published papers themselves may not be included in the body of the thesis, but may be adapted to form an integral part of the thesis. Publications derived from the work in the thesis may be bound as supplementary material at the back. A candidate must include in each copy of his/her thesis a signed declaration that the work presented in the thesis is his/her own (*see also regulation* 6.8) and that the thesis presented is the one upon which the candidate expects to be examined. The word count (see regulation 7.1.5 and 8.1.3) for the thesis must also be included in the thesis.

6.8 A candidate may submit the results of work done in conjunction with his/her supervisor and/or with fellow research workers provided that the candidate states clearly his/her own personal contributions to the investigation and that the statement is certified by the co-researcher(s) (*see also regulation* 6.6).

6.9 The title of the candidate's thesis must be approved by the candidate's supervisor.

6.10 If appropriate to the field of study, and subject to approval by the Faculty Tutor a candidate may undertake research leading to the submission of a portfolio of original artistic or technological work undertaken during his/her period of registration. The work may take the form of, for example, objects, images, films, performances, musical compositions, webpages or software, but must be documented or recorded in the portfolio by means appropriate for the purposes of examination and eventual deposit in the Institute library. The portfolio must include written commentary on each item of artistic or technological work and either an extended analysis of one item or a dissertation on a related theme. The written commentaries and extended analysis or dissertation must together be no more than 40,000 words.

6.11 A thesis must be presented for examination in a final form in accordance with the instructions issued by the programme handbook.

6.12 After the examination has been completed and before the degree is awarded, successful candidates are required to submit the required number of copies of the thesis in the format as specified in the instructions issued in the programme handbook if the copies of the thesis submitted for examination did not conform to this specification.

7. Specific Requirements for PhD Thesis

7.1 The scope of the thesis shall be what might reasonably be expected after three years of full-time study (or four years full-time study in the case of the Integrated PhD thesis) or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, the thesis shall:

7.1.1 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

7.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

7.1.3 demonstrate relevant research skills;

7.1.4 be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals); and

7.1.5 not normally exceed 100,000 words, excluding the bibliography and appendices but including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

8. Specific Requirements for MPhil Thesis

8.1 The scope of the thesis shall be what might reasonably be expected after two years of full-time study (or three years full-time study in the case of the Integrated PhD thesis) or the part-time equivalent and, in addition to meeting the requirements given in 6.2 to 6.12, shall:

8.1.1 be either a record of original work or of an ordered and critical exposition of existing knowledge and shall provide evidence that the field has been surveyed thoroughly;

8.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and

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8.1.3 not exceed 60,000 words, excluding the bibliography and appendices and including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

9. Entry to examination and submission of thesis for MPhil or PhD

9.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

9.2 The decision to submit a thesis rests with the candidate alone.

9.3 A student may submit a thesis for examination only after the minimum registration period has passed.

9.4 The student's supervisor shall report that he/she has completed the programme of study in accordance with the regulations before a candidate is admitted to the examination for the degree.

9.5 The student must submit the entry form at least **four months** before the submission of the thesis, and this will initiate the procedure for the appointment of examiners.

9.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis, in about 300 words.

9.7 If the candidate has not submitted his/her thesis for examination within 18 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.

9.8 Prior to the oral examination, the candidate will be required to submit an electronic copy and two paper copies of his/her thesis printed and bound, in accordance with instructions obtainable from the Programme Leader. A candidate may be required to provide a third copy of his/her thesis if a third examiner is appointed at any stage in the examination process.

9.9 In addition, a candidate is required to bring to the oral examination a printed copy of his/her thesis paginated in the same way as the copies submitted to UCL.

9.10 A student must normally submit his or her thesis for examination within one year of completion of his or her course of study at UCL. In the case of a student registered for the PhD by Publication, submission must normally be within one calendar year of initial registration for the award. A student wishing to submit the thesis at a later date may do so only with the approval of the Faculty Tutor.

10. Declaration

10.1. It is a requirement for the award of the MPhil or PhD degree that one hard bound copy of a successful thesis is placed in IOE's library and one electronic copy to be made available for public reference.

10.2. At the time of entry to the examination candidates for the MPhil or PhD degrees will be required to sign a declaration confirming that the work presented is their own as specified in regulation 6.6 and 6.7, is fit for examination and that a copy may be made available for public reference.

10.3 A candidate may apply to the Research Degrees Examination Board for restriction of access to his or her thesis and/or the abstract for a period of up to two years on the grounds, for example, of commercial exploitation or in very exceptional circumstances. In all other circumstances, a thesis will be placed in the public domain following the award of the degree.

11. Appointment of Examiners and Conduct of Examination

11.1 All matters relating to the examination must be treated as confidential. Examiners are not permitted to divulge the content of previously unpublished material contained in a candidate's thesis until such time as any restrictions on access to the thesis, which have been granted by UCL, are removed.

11.2 The outcome of the examination is determined by two or more examiners acting jointly.

11.3 The Research Degrees Examination Board shall appoint the examiners, having paid particular attention to their independence, expertise and relevant experience. Two, or exceptionally three, examiners will be appointed for each candidate. The examiners are required to be expert in the field of the thesis and to be able to make an independent assessment of the student and the thesis. There shall be an internal examiner appointed from IOE and an external examiner appointed from outside IOE. With the permission of the Research Degrees Examination Board both examiners may be appointed from outside IOE. Only one examiner may be appointed from within IOE.

11.4 If the candidate is a member of staff at IOE, both examiners shall be external to IOE.

11.5 The candidate's supervisors or those involved in the supervision or development of the student's thesis may not act as examiners.

11.6 The Research Degrees Examination Board shall also appoint, at the request of the examiners, an additional examiner who is external to IOE. The original examiners shall so request before they report formally that they are unable to reach agreement and may do so at any time, if they consider it desirable. Whenever possible the additional examiner shall be of professorial status and shall have considerable experience of examining for a doctoral degree.

11.7 The Research Degrees Examination Board shall appoint an examiner from overseas only in exceptional circumstances when it is considered that such an appointment is necessary. If an examiner from overseas is appointed, the Research Degrees Examination Board must be satisfied that the examiner appointed is familiar with the British higher education system.

11.8 Assessment shall be by submission of a thesis (as defined above) and an oral examination, which will be conducted in English.

11.9 Candidates must attend for examination at a place and time determined by IOE (*see also regulation* 9.9).

11.10 The oral examination will be held in London. The Faculty Tutor may, however, agree to different arrangements if there are exceptional circumstances which make this expedient.

11.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.

11.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

11.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

11.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to the IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

11.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

11.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

11.17 The examiners may, at their discretion, consult the independent chair before completing their report.

11.18 Copies of the reports shall be sent to the Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of the examination (see also 12.4 and 13.4).

12. Outcome of PhD Examination

12.1. Candidates for the PhD degree must submit a thesis and be examined orally, save as prescribed otherwise in 12.2 below. For candidates submitting a PhD by Publication, regulations 12.2 to 12.5 do not apply; instead such candidates should refer to regulations A16 and A17 in the Annex.

12.2 The options open to examiners in determining the result of the examination are as set out below.

Pass

12.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the PhD degree.

Pass subject to corrections within one month

12.2.2 If the thesis otherwise fulfils the criteria but requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required

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amendments. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

12.2.3 If the thesis otherwise fulfils the criteria but requires amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the amendments in the specified time- frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 12.2.4 should be followed.

Referral – re-present within 18 months

12.2.4 If the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re- present his/her thesis in a revised form within 18 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

12.2.5 If the thesis satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 18 months.

Not awarded PhD but considered for award of MPhil

12.2.6 If, after completion of the oral examination or re-examination for the PhD, the examiners decide that a candidate has not reached the standard required for the award of the degree nor for the re- presentation of the thesis in a revised form for that degree, they will consider whether the thesis does, or might be able to, satisfy the criteria for the award of the MPhil degree. If they so decide, they will submit a report that demonstrates either how the criteria for the MPhil degree are satisfied, or what action would need to be taken in order for these criteria to be satisfied. They will have regard to the different normal maximum lengths of the thesis for the PhD and MPhil degrees but will have discretion to waive the thesis length for the MPhil degree if appropriate.

Thereafter the following conditions and procedures will apply:

a) The candidate will be informed that he or she has been unsuccessful in the examination for the PhD degree, but has reached the standard required for the award of the MPhil, or with amendment to the thesis may be able to satisfy the criteria for the MPhil.

b) A candidate considered for the award of the MPhil degree under this regulation will not be required to submit the thesis, as required under the regulations for the MPhil degree, or to undergo a further oral examination, but will be required to fulfil the requirements for the MPhil in all other respects.

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c) A candidate offered an MPhil degree under these regulations must make any minor amendments required by the examiners within a period they specify, but not exceeding twelve months. The candidate must submit the amended thesis to the examiners who will decide whether the amendments have been completed to their satisfaction

Fail – may not re-present

12.3 The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

12.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board which shall determine the actions to be taken.

12.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

13. Outcome of MPhil Examination

13.1 Candidates for the MPhil degree must submit a thesis and be examined orally, save as prescribed otherwise in section 12.2.6.

13.2. The options open to examiners in determining the result of the examination are as set out below.

Pass

13.2.1 If the thesis fulfils the criteria (set out in these regulations) and the candidate satisfies the examiners in the oral examination, the examiners shall report to the Research Degrees Examination Board that the candidate has satisfied them in the examination for the degree of MPhil.

Pass subject to corrections within one month

13.2.2 If the thesis otherwise fulfils the criteria but requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc.) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

Pass subject to minor amendments within six months

13.2.3 If the thesis otherwise fulfils the criteria but requires minor amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by the examiners, normally within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory.

Referral – represent within 12 months

13.2.4 If the thesis fulfils the criteria but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months. Following the oral examination the examiners shall be required to advise the student in writing of the additional work required before the thesis is re-presented. The examiners may at their discretion exempt from a further oral examination, on re- presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form.

Fail – may not re-present

13.3 The examiners may determine that the candidate has not satisfied them in the examination. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

13.4 If the examiners are unable to reach agreement, their reports shall be referred to the Research Degrees Examination Board, which shall determine the action to be taken.

13.5 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

14. Notification of Results of MPhil and PhD Examinations

14.1 After the report of the examiners has been considered by the Research Degrees Examination Board, the candidate shall be notified by Student and Registry Services of the result of his/her examination. The degree shall not be awarded until copies of the thesis have been lodged with IOE in accordance with regulation 9.8.

14.2 A diploma under the seal of UCL shall be subsequently delivered to each candidate who has been awarded a degree.

14.3 The diploma for the degree will bear the names of the candidate in the form in which they appear in the records of UCL at the date of issue.

14.4 No person will be awarded any qualification who has not settled any tuition account outstanding with UCL or made acceptable arrangements to settle any such account, and neither will any information on such a person's examination performance be communicated to that person or to any third party except as required by law.

14.5 The Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

14.6 Where a decision in relation to the assessment, outcomes or progression (including Upgrade) of a student or the award of a UCL qualification is contested by the student and one or more of the grounds for appeal in the Academic Appeals Procedure can be evidenced, the decision can be appealed via the Academic Appeals Procedure within the timeframes set out in that procedure. Disagreeing with the academic judgement of Examiners is not valid grounds for an appeal.

Annexe A: PhD by Publication

These regulations for the PhD by publication should be read together with the *IOE Regulations for the degrees of MPhil and PhD* to which they are appended.

Admission and Registration

A1. A candidate for the degree of PhD by submission of a thesis based on published work must be a member of staff at IOE.

A2. A candidate shall apply in writing to the Head of IOE Centre for Doctoral Education for admission to the degree of PhD by Publication under these regulations.

A3. The request for admission shall be considered by the Head of IOE Centre for Doctoral Education in consultation with the Head of Academic Department where the member of staff is employed.

A4. The Head of IOE Centre for Doctoral Education shall consider the application on the basis of:

A4.1 the ability of the candidate to satisfy the normal requirements of admission to the PhD programme (as indicated in regulation 3 above);

A4.2 the submission of satisfactory evidence of published work of a type and nature which is consistent with the award of a degree at this level;

A4.3 a nomination and statement of support for the candidate from a member of the IOE's academic staff confirming the existence of a common research interest with the nominee; and

A4.4 the availability of suitable expertise in IOE to advise the candidate.

A5. Where admission to the degree is approved, an academic supervisor shall be appointed to provide guidance to the candidate on the presentation of the thesis based on published work.

Registration and Course of Study

A6. The minimum period of study shall normally be six months and the maximum period shall be twelve months. If a candidate does not submit for examination within the maximum period, unless an extension is approved by the Head of IOE Centre for Doctoral Education, his or her registration for the PhD by Publication shall be terminated.

A7. During the period of study the candidate shall prepare, with the guidance of the academic supervisor, the following material:

A7.1 a list of the publications on which the assessment for the degree is to be based;

A7.2 a full bibliography of all relevant work published by the candidate

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A7.3 in cases where multi-authored works are included in the submission, evidence (preferably in the form of written confirmation by at least one co-author per published work) of the candidate's own original contribution to the work must be given

A7.4 a thesis, consisting of an integrative summary of between 10,000 and 20,000 words in length, explaining the significance of the published works and the inter-relationship between the materials presented.

A8. The material listed in A7 above must be submitted, together with the published work to be assessed, by the end of the period of study.

A9. Except for the integrative summary, a candidate may not include with his or her submitted thesis work that has not been published.

Declaration

A10. The candidate shall be required:

A10.1 to declare that the thesis is not substantially the same as any previously submitted or currently being submitted by the candidate whether published or in unpublished form, for a degree, diploma, or similar qualification at any university or similar institution; and

A10.2 where the thesis submitted includes work conducted in collaboration with others, to provide a written statement normally signed by at least one of the co-researchers on the extent of the candidate's individual contribution to the material and the conditions and circumstances under which the work was carried out – see A7.2 above.

Specific Requirements for PhD by Publication

A11 The thesis submitted for the award of the degree of PhD by Publication shall be of sufficient scope to provide evidence of adequate industry and application of an extent characteristic of at least four years' active research effort in the candidate's field and:

A11.1 present a coherent programme of research undertaken by the candidate;

A11.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

A11.3 through the publications and integrative summary provide evidence of a critical assessment of the relevant literature; where relevant, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

A11.4 demonstrate relevant research skills;

A11.5 include a full bibliography and references;

A11.6 be written in English and of a satisfactory standard of literary presentation.

A12 Additionally, in the case of collaborative work, the examiners must satisfy themselves that the part of the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.

Entry to examination and submission of work

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A13 The candidate shall be subject to the regulations set out in Section 9 of the PhD regulations except that he or she shall be expected to submit two copies of the publications and the integrative summary bound in accordance with instructions obtainable from the Head of IOE Centre for Doctoral Education and in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

Appointment of Examiners and Conduct of Examination

A15 The examiners for the PhD by Publication shall be appointed in accordance with procedures set out in section 11 of the PhD regulations.

Outcome of examination of PhD by publication

A16 Candidates for the PhD by Publication must submit the thesis comprising the publications and integrating paper and be examined orally save as prescribed otherwise in paragraph A17 below.

A17 The options open to the examiners in determining the result of the examination are as set out below:

A17.1 if the thesis comprising publications and integrating paper submitted fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report that the candidate has satisfied them in the examination for the PhD degree; or

A17.2 if the thesis otherwise fulfils the criteria but requires minor amendments to the integrative summary and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such minor amendments within three months of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them for confirmation that the corrections are satisfactory; or

A17.3 if the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may require the candidate to submit a revised integrative summary, and/or a different selection of published material, for a PhD within a prescribed period not exceeding 12 months from the date the candidate is notified by UCL of the decision of the examiners. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form; or

A17.4 if the work satisfies the criteria for the degree, but the candidate fails to satisfy the examiners at the oral examination, the examiners may determine that the candidate be permitted to re-present the same thesis, and submit to a further oral examination within a period specified by them and not exceeding 12 months; or

A17.5 that the work be not approved for the award of the degree of PhD because the criteria for the award are not met and that there is no reasonable expectation of their fulfilment within 12 months from the date of assessment. The examiners shall not, however, save in very exceptional circumstances, make such a decision without submitting the candidate to an oral examination.

A18 Where the examiners are unable to agree on the recommendation to be made or if, for any reason, a further opinion is required on the work submitted, a third external examiner shall be appointed by the Research Degrees Examination Board.

A19 A candidate who fails to satisfy the examiners will not be permitted to re-enter for the examination using the same material or any part of the material for the degree of PhD. However, exceptionally, a candidate may apply to IOE to register for another course of study leading to the submission of a thesis on a different topic.

Notification of Results

A20 The regulations for the PhD shall be followed in respect of the notification of the result to the candidate.

A21 If the candidate is approved for the award of the degree, one copy of the thesis will be deposited in the Newsam library where it can be available for consultation.

Annexe B: Master of Philosophy and Doctor of Philosophy with Integrated Research Methods Training

These regulations for the Integrated MPhil/PhD should be read together with IOE's *Regulations for the degrees of MPhil and PhD*, to which they are appended.

Admission

B1 The regulations for the MPhil/PhD Section 3 shall be followed in respect of the admission of candidates for the Integrated MPhil/PhD

Registration

B2 The regulations for the MPhil/PhD Section 4 shall be followed in respect of the registration of candidates for the Integrated MPhil/PhD.

Attendance and Course of Study

B3 The Integrated MPhil/PhD comprises a taught element and a research element. Students undertake the two elements of the programme simultaneously and must complete both elements to be eligible for the award of the degree.

B4 Students registered for the Integrated MPhil/PhD will be required to complete the requirements of, and satisfy the examiners in, the prescribed assessments for the taught elements of the programme as specified by IOE*.*

B5 The taught element will comprise the taught modules of one of the research-based Masters degrees offered by IOE. The content of the curriculum may vary from time to time, but shall always include a theoretical and practical training in research strategies and methods, to the value of at least 120 Masters level credits.

B6 Students shall also be required to complete the requirements of, and satisfy the examiners in, the research element of the Integrated MPhil/PhD, in accordance with the regulations for MPhil/PhD Section 5.

Duration of Programme

B7 The minimum period of registration for the Integrated MPhil/PhD shall be three calendar years of full-time study or four calendar years of part-time study.

B8 Students registered for the Integrated MPhil/PhD must complete the requirements of, and satisfy the examiners in, the prescribed assessments for the taught elements of the programme in accordance with regulation B5 within the first two calendar years of full-time study (or four calendar years of part- time study). Students registered for the Integrated MPhil/PhD must have attained a satisfactory standard in the taught element of the programme to the value of 120 credits prior to entry to the examination for the thesis.

B9 Students registered for the Integrated MPhil/PhD must submit their thesis within five calendar

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years of full-time registration or eight calendar years of part-time registration. Exceptionally, the Faculty Tutor/ Head of IOE Centre for Doctoral Education may grant permission for a longer period of study in accordance with the agreed procedures as laid down in the *IOE Code of Practice for Research Degrees*, except that this shall not exceed ten years from the initial date of registration.

Advanced Standing

B10 Candidates for the Integrated MPhil/PhD may, at the discretion of the UCL, be given exemption from up to 60 credits or two taught modules for work successfully completed (i.e. taught and examined) from a degree programme offered at another approved higher education institution. UCL will be responsible for ensuring exemption is given only in respect of courses deemed to be of an appropriate level and which form a coherent whole with the candidate's taught programme at UCL.

B11 Candidates for the Integrated MPhil/PhD may also be exempted from part of the course of study if they have commenced a course of study for the MPhil or PhD degree (or equivalent degree) of another university, provided there is no change in their topic of research and provided they meet the conditions laid down in the *IOE Admissions Policy and Procedures for Research Degrees.*

Progress for Students registered on the Integrated MPhil/PhD

B12 The relevant Master's degree Board of Examiners shall be responsible for the assessment of students' progress in the taught element of the programme.

B13 In addition, the progress of each student shall be formally reviewed as according to Regulation 5.6.

B14 The award of the Postgraduate Diploma shall be made to students upon satisfactory completion of the course of study and formal assessments associated with the required Master's level modules to the value of 120 credits.

B16 Students registered for the Integrated MPhil/PhD who no longer wish to complete the thesis requirements of the programme may, at the discretion of UCL, be permitted to transfer to the research-based Masters programme they are following as prescribed in regulation B4.

B17 Students registered for the Integrated MPhil/PhD who no longer wish to complete the assessments for the taught elements of the programme may, at the discretion of the Faculty Graduate Tutor/ Head of IOE Centre for Doctoral Education, be permitted to transfer to the MPhil/PhD.

Examinations for the Taught Element of the Integrated MPhil/PhD

B18 In the case of students registered for the Integrated MPhil/PhD, all assessments for the taught elements will be subject to the same requirements as those laid down for students undertaking the relevant Masters degree.

Requirements applicable to the Thesis Element of the Integrated MPhil/PhD

B19 The requirements applicable to the thesis element of the Integrated MPhil/PhD programme are equivalent to the requirements applicable to the MPhil or PhD set out in the regulations for MPhil/PhD Section 6.

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Specific Requirements for PhD Thesis

B20 The regulations for the MPhil/PhD Section 7 shall be followed in respect of the specific requirements for PhD thesis for candidates for the Integrated MPhil/PhD.

Specific Requirements for MPhil Thesis

B21 The regulations for the MPhil/PhD Section 8 shall be followed in respect of the specific requirements for MPhil thesis for candidates for the Integrated MPhil/PhD.

Entry to thesis examination and submission of thesis for MPhil or PhD

B22 The regulations for the MPhil/PhD Section 9 shall be followed in respect of the entry to thesis examination and submission of thesis for MPhil or PhD for candidates for the Integrated MPhil/PhD.

B23 In addition to the requirements set out in Section 9, students registered for the Integrated MPhil/PhD must also have attained a satisfactory standard in the taught element of the programme to the value of 120 credits prior to entry to the examination for the thesis.

Declaration

B24 The regulations for the MPhil/PhD Section 10 shall be followed in respect of the Declaration for candidates for the Integrated MPhil/PhD.

Appointment of Thesis Examiners and Conduct of Thesis Examination

B25 The regulations for the MPhil/PhD Section 11 shall be followed in respect of the appointment of thesis examiners and conduct of thesis examination for candidates for the Integrated MPhil/PhD.

Outcome of PhD Examination

B26 The regulations for the MPhil/PhD Section 12 shall be followed in respect of the outcome of PhD examination for candidates for the Integrated MPhil/PhD.

Outcome of MPhil Examination

B27 The regulations for the MPhil/PhD Section 13 shall be followed in respect of the outcome of MPhil examination for candidates for the Integrated MPhil/PhD.

Notification of Results of MPhil and PhD Examinations

B28 The regulations for the MPhil/PhD Section 14 shall be followed in respect of the notification of results of MPhil and PhD examinations for candidates for the Integrated MPhil/PhD.

UCL Academic Manual 2022-23

Chapter 6: Student Casework Framework

Chapter 6 is UCL's regulatory framework for Student Conduct, Complaints and related procedures.

1   Code of Conduct for Students

UCL enjoys a reputation as a world-class university. It was founded on the basis of equal opportunity, being the first English university to admit students irrespective of their faith and cultural background. It was the first university in England to admit women. UCL expects its members to conduct themselves at all times in a manner that does not bring UCL into disrepute, this includes conduct whilst not on UCL premises.

Good conduct means:

- In general realising that you are an ambassador for UCL and behaving accordingly. This applies anywhere and at any time but is particularly important in the local community around UCL, whilst on fieldwork, whilst on other study away from UCL, on the sports field and whilst engaged in any other UCL-related activity.
- Recognising the diversity of the UCL community and not discriminating against others on the basis of their age, ethnic origin, race, nationality, membership of a national minority, culture, language, religious faith or affiliation or lack thereof, political affiliation or opinions or lack thereof, sex, gender, gender identity, sexuality, sexual orientation, marital status, caring or parental responsibilities, illness, ability or disability, mental health status, medical condition, physical appearance, genetic features, parentage, descent, full or part-time student status, socio-economic background, employment status, trade union affiliation, spent or irrelevant criminal convictions or any other irrelevant distinction.
- Acting responsibly, being honest, being considerate, respectful and courteous towards others. Behaving in a respectful manner towards others so that they do not feel that they are being harassed or bullied and abiding by the law.

Whilst learning:

- Following the rules laid down by UCL for academic activity, the use of the Library, Information Services and other services.
- Being punctual for classes and other appointments.
- Informing the relevant person if you are going to be absent or delayed for an activity where you are expected to attend.
- Being aware of the advice and assistance available on academic and other matters from sources such as personal, programme and Departmental Tutors.
- Seeking help for yourself when you need it.

Around UCL:

- Showing respect for UCL property.
- Informing yourself of UCL health and safety policies and following them.
- Playing your part in maintaining security and being prepared to produce your identity card when requested.
- Caring for the environment at UCL by respecting buildings, spaces and facilities.
- Recycling and disposing of litter responsibly.
- Being aware of UCL's advice for saving energy.
- Showing consideration for others regarding noise (e.g. switching mobile phones off in classes).

Social and sporting behaviour:

- Showing good sportsmanship whilst taking part in sporting activities.
- Refraining from exhibiting displays of drunken or loutish behaviour.
- Ensuring that any activity you engage in using the internet, including virtual learning environments (e.g. Moodle), social networking sites (e.g. Faceboook,

Twitter etc.), blogs or other web resources, refrains from causing offence and could not be regarded as bullying or harassment.

- Respecting the right of freedom of speech provided it is within the law.

Awareness and caring for others:

- Being aware of the help and support available at UCL from sources such as Student Psychological and Counselling Services, the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) and the Students' Union Rights and Advice Centre.
- Showing consideration for the welfare of your friends and peers and, if appropriate, providing advice on seeking help.

Links to other UCL policies that relate to conduct:

- Section 2: Student Disciplinary Code and Procedure
- Equalities
- Examinations and Awards
- Guidelines for Fieldwork
- Harassment and Bullying
- Health and Safety
- ISD Regulations
- Library Regulations
- Student Accommodation General Regulations
- Security

Links to sources of advice and assistance:

- Student Psychological and Counselling Services
- The Disability, Mental Health and Wellbeing team
- Students' Union UCL
- Students' Union Rights and Advice Centre
- Energy Saving Information

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2 Disciplinary Code and Procedure in Respect of Students

Contact: Casework Team, Student and Registry Services (casework@ucl.ac.uk)

UCL is a community and as members of this community students are expected to adhere to UCL's rules and regulations, to show respect for persons and property, and to behave in a way that does not interfere with the normal operations of UCL. Where there is reason to believe that rules and regulations have been broken, and/or when the behaviour of a student falls below the expected standards, as outlined below, the Disciplinary Code and Procedure will be instigated.

Section 1: Disciplinary Code

1. UCL Statute 13 (Jurisdiction over Students) provides as follows:

   (1) The Council shall be responsible for maintaining good order within the College and its precincts and other buildings and premises owned or occupied by the College and shall have disciplinary powers over the conduct of Students of the College which the Council considers to affect the interests of the College, its Staff or Students.

   (2) The Council, on the advice of the Academic Board, and after consulting the Students'
   Union, shall approve a Disciplinary Code and Disciplinary Procedure and determine procedures, including a student complaints and appeals procedure, which shall be published and made available to all Students of the College. The Procedure shall provide for the arrangements governing the hearing of a case of disciplinary action against a Student and of an appeal to the Discipline Review Body prescribed in (3).

   (3) There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.

2. The Provost has the following disciplinary powers under UCL Statute 11:

   (4) The Provost shall have power, in accordance with Regulations made by the Council on the advice of the Academic Board, to suspend a Student from any or all of their studies in the College and to exclude a Student from the College and its precincts and other buildings and premises owned or occupied by the College. In the case of suspension or exclusion for reasons other than academic insufficiency the Provost shall report such suspension or exclusion to the Academic Board and to the Council and shall ensure that appropriate action is taken forthwith under disciplinary or other appropriate procedure.

   (5) The Provost shall have power to delegate any or all of the powers conferred by [paragraph (3)] of this Statute (as above) to such Officer of the College or persons or bodies as they may think fit.

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Delegation by the Provost

3.   In accordance with Statute 11(4), the Provost has delegated their powers under Statute 11(3) to the Executive Director of Student Services and Registrar.

Section 2: Jurisdiction and General Principles

(a) Jurisdiction

4.   The Disciplinary Code applies to all registered students of UCL.

5.   The jurisdiction of this Code will extend, where appropriate, beyond UCL's precincts and will cover, for example, the conduct of students attending another institution or a work placement in the United Kingdom or abroad, or taking part in approved field trips or other authorised external activities.

(b) Relationship and interface with other UCL policies and procedures

6.   This Code relates to matters of non-academic misconduct and any action taken under this Code automatically supersedes any disciplinary action being taken under other rules or regulations of UCL.

7.   Where the alleged misconduct relates to an academic matter, it should be referred for action in accordance with UCL's Academic Regulations.

8.   Where the alleged misconduct relates to research misconduct, it should be referred for action in accordance with UCL's Research Misconduct Procedure.

9.   Where the alleged misconduct relates to harassment, bullying and/or intimidation then it should be referred for action under UCL's policy on Harassment and Bullying (Students).

10.   Students registered on programmes leading to membership of a professional body should demonstrate appropriate behaviour and standards required for entry into that profession. Alleged misconduct which may be judged to fall short of the professional codes of conduct will be considered under the relevant Fitness to Practise Procedure.

11.   Where there is a concern that mental health, illness or disability may have directly affected behaviour and/or conduct, the Director of Student Support and Wellbeing will be consulted as to whether it would be more appropriate to consider the matter under the Support to Study Policy or the Student Mental Health Policy as an alternative to disciplinary action.

12.   Where it is not clear how the alleged misconduct should be classified the matter will be determined by the Executive Director of Student Services and Registrar.

(c) General Principles

13. Students involved in disciplinary procedures shall have the right to be accompanied to any meeting or hearing by a 'friend', who must be a UCL student or member of staff of UCL or [Students' Union UCL](#). The role of the friend is to provide moral support during a meeting or hearing. They cannot make representations nor cross-examine witnesses and must also not be a witness.

14. UCL will wherever possible seek to adhere to the time limits outlined in this procedure; however, in cases where there are special circumstances which require variance from specified time limits, students will be advised of the reasons for this by the Officer handling the investigation or hearing.

15. Students will be given the opportunity to attend disciplinary hearings in person. UCL reserves the right, however, to proceed with any investigation or disciplinary hearing in the absence of a student, subject to the student having been properly notified of the date and time of the hearing, or in cases where criminal proceedings do not allow the student to attend in person.

16. UCL reserves the right not to proceed with any investigation following an allegation against the behaviour of a student if it is considered that there are insufficient grounds or evidence to do so.

17. During the application of this Disciplinary Code and Procedure, UCL reserves the right to adjourn any disciplinary investigation or hearing and reconvene at a later date.

18. The standard of proof to be adopted during the application of this Disciplinary Code and Procedure will be the balance of probability.

19. Where misconduct has occurred, and wherever appropriate, the intention will be to provide a corrective response in addition to any reasonable and proportionate punitive response.

(d) Officers responsible for disciplinary matters

20. The Executive Director of Student Services and Registrar of UCL has the responsibility for dealing with disciplinary matters referred to her/him under the authority and with the powers granted to them in this procedure. Authority to refer a matter to the Discipline Committee rests with the Executive Director of Student Services and Registrar. The Executive Director of Student Services and Registrar may delegate this responsibility to the appropriate members of Student and Registry Services and all references to the Executive Director or Student Services and Registrar in this Code and Procedure should be understood to include also such nominees.

21. The Executive Director of Student Services and Registrar may also delegate authority for discipline in UCL Houses and Halls of Residence to Wardens of UCL Houses and Halls of Residence.

22.   The Executive Director of Student Services and Registrar may also delegate authority for discipline in UCL Libraries to the Director of UCL's Library Service or their nominee.

Section 3: Definition of Misconduct[1]

23.   Misconduct which may be the subject of disciplinary procedures under this Code is defined as improper interference with the proper functioning or activities of UCL, or of those who work or study in UCL, or action which otherwise damages UCL and/or its staff or students, including, but not limited to, the following:

(1)   disruption or improper interference, whether on UCL premises or elsewhere, with the academic, administrative, sporting, social, cultural or other activities of UCL;

(2)   obstruction or improper interference on UCL premises or whilst engaged in any UCL activity with the functions, duties or activities of any student, member of staff or other employee of UCL or any authorised visitor of UCL;

(3)   violent, indecent, disorderly, threatening or offensive behaviour or language on UCL premises or whilst engaged in any UCL activity;

(4)   fraud, deceit, deception or dishonesty in relation to UCL or its staff or students;

(5)   action likely to cause injury to, or impair the safety of, either themselves or others on UCL premises or whilst engaged in any UCL activity;

(6)   sexual, racial or other kind of harassment of any student, member of staff or other employee of UCL or any authorised visitor to UCL;

(7)   breach of the provisions of UCL's Code of Practice on Freedom of Speech or of any other code or UCL rule or regulation which provides for breaches to constitute misconduct under this code;

(8)   damage to or defacement, caused intentionally or recklessly, or misappropriation of
UCL property[2] or the property of other members of UCL and/or the UCL community, or any other property[3] into which the Student enters, or misappropriation of such property whilst engaged in UCL activities;

(9)   misuse or unauthorised use of UCL premises or items of property, including computer misuse;

(10)   distributing or publishing a poster, notice, sign or any publication which is offensive, intimidating, threatening, indecent or illegal, including the broadcasting and electronic distribution of such material;

(11)   conduct which constitutes a criminal offence where that conduct took place on UCL premises or
(a) affected or concerned other members of the UCL community or
(b) damages the good name of UCL or

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[2] Examples of 'minor' or 'major' classifications of misconduct can be found at paragraphs 25 and 26 of this Procedure.

[3] Within this document property is defined as, but not limited to: computers; software; data; web pages; equipment (e.g. audio-visual equipment; laboratory equipment; instruments; tools); books; furniture; and personal belongings of individuals

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        (c) itself constitutes misconduct within the terms of this Code or

        (d) is an offence of dishonesty, where the Student holds an office of responsibility in UCL, or

        (e) involves a student registered on a programme leading to membership of a professional body and where that conduct may fall short of the professional codes of conduct such as to render the Student unfit to practise, or

        (f) resulted in the acquisition of a criminal conviction for an offence not involving members of UCL or its premises, which may affect the safety of a member of UCL or the premises of UCL or which could bring UCL into disrepute;

    (12) failure to declare a criminal conviction to UCL, subject to the Rehabilitation of Offenders Act;

    (13) behaviour which brings UCL into disrepute;

    (14) failure to disclose name and other relevant details to an officer or employee of UCL in circumstances where it is reasonable to require that such information be given;

    (15) failure to comply with a previously imposed penalty under this Code.

24. For the purpose of this Procedure, misconduct as defined at paragraph 23 above will be classified as either minor or major depending on the seriousness of the alleged misconduct. Where it is not clear whether the alleged offence should be classified as a minor or major offence the matter will be determined by the Executive Director of Student Services and Registrar.

25. Examples of minor offences include but are not limited to:

- Anti-social behaviour
- Refusal to identify yourself to UCL staff or using false ID
- Failure to vacate during fire alarms
- Excessive noise
- Misuse of the fire equipment
- Smoking in non-designated areas

26. Examples of major offences include but are not limited to:

- Possession of an offensive weapon
- Assault
- Threatening, offensive or indecent behaviour or language that causes distress to others
- Harassment of any kind
- Misappropriation of or damage to the property of any student or member of staff of UCL
- Any action likely to cause injury or impair the safety of others
- Use, possession, buying or selling of illegal drugs
- Excessive use of alcohol that is likely to endanger the health and safety of others
- A serious breach of UCL-approved Regulations

Section 4: Disciplinary Procedure

(a) Disciplinary offences which are also subject to criminal investigation

27. Where a disciplinary offence is also subject to a criminal investigation, UCL may suspend the disciplinary process until the criminal investigation and legal proceedings have been concluded. The fact that the police or other legal authorities might be unable, unwilling or not yet able to proceed will not automatically preclude UCL from instigating its own disciplinary action.

28. The student should be reminded that whilst criminal investigations are underway they will be obliged to keep UCL informed of any progress and/or change in status regarding their case. The Executive Director of Student Services and Registrar will review the case on a monthly basis and will determine if any action is required during this review period.

29. When the criminal proceedings have concluded, the Executive Director of Student Services and Registrar will decide whether UCL should instigate disciplinary action, taking into account the following guidance.

30. Where the student has been convicted of a criminal offence, UCL may seek to take action if there are outstanding matters of concern to UCL that have not been addressed. In this case the conviction in a criminal court shall be taken as conclusive evidence that the alleged offence has occurred, and no further investigation shall be required by UCL.

31. Where a criminal conviction has been made, the focus of UCL disciplinary proceedings may include an assessment of the risk posed to UCL staff or students. It may also include assessment of the material impact caused by reputational damage to UCL, particularly when this impedes or interferes with the normal operations of UCL, or when it affects important relationships between UCL and key individuals, agencies and stakeholders. If disciplinary action is taken, the penalty imposed by the court shall be taken into account when determining any further penalty.

32. In the case of a criminal conviction, where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period of less than twelve months it will normally be the case that their studies will be interrupted for this period. In such circumstances it will be the responsibility of the student to notify the Executive Director of Student Services and Registrar regarding the date of release from custody. The Executive Director of Student Services and Registrar will then assess whether the nature of the offence committed poses an ongoing risk to the UCL community, and whether there are any outstanding matters of concern that have not been addressed. In the case of either UCL may instigate disciplinary proceedings.

33. In the case of a criminal conviction where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period in

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excess of twelve months, the student will be deemed withdrawn from UCL. The student may then reapply for admission to UCL, and as part of the standard admissions process will be required to declare criminal convictions to be considered prior to a decision regarding an offer of a place.

34. Where the student has been acquitted UCL will take into account the decision of the court. However, it may be the case that it is reasonable and within UCL's interests to pursue outstanding matters of concern to UCL that have not been addressed.

35. Where, following an initial investigation, a decision has been taken not to proceed to a criminal trial, this does not preclude UCL from conducting further investigations and/or instigating disciplinary proceedings in respect of outstanding matters of concern to UCL that have not been addressed.

(b) Precautionary action in advance of a disciplinary hearing

36. Where the nature of the alleged disciplinary offence suggests that there may be risk to the safety of others, or where the student accused of the offence may be at risk of harm, the Executive Director of Student Services and Registrar, who may delegate to the Director of Education Services or Head of Casework, will undertake a risk assessment which may result in action as follows:

    (i) They may require the student to comply with specific conditions, for example agreeing not to contact another student or students. The consequence of any breach of these conditions may result in escalation to the steps outlined below; and/or
    (ii) The Executive Director of Student Services and Registrar may choose to exercise the delegated authority granted in accordance with Statute 11(3) and 11(4) to suspend the student from any class or classes and/or to exclude the student from any part or all of UCL's facilities, grounds and premises, until such a time as any criminal proceedings and/or UCL disciplinary proceedings have been concluded. A precautionary suspension and/or exclusion should not be regarded as a penalty and does not indicate that the student is presumed guilty of any offence.

37. For the purposes of this Code and Procedure suspension and exclusion are defined as follows:
    (i) Suspension involves a total or partial prohibition on attendance at or access to UCL premises and from any participation in UCL activities for a fixed period. The terms of any suspension will be assessed and decided on a case-by-case basis.
    (ii) Exclusion involves the withdrawal of the right of access to specified land, buildings, facilities or services of UCL for a fixed period or pending the fulfilment of certain conditions.

38. The decision by the Executive Director of Student Services and Registrar to temporarily suspend and/or exclude the student from all or part of UCL, and the reasons why this action is being taken, may be communicated orally in the first instance. Where this is the case, written confirmation outlining the reasons for this

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decision and notice of the right of appeal should be provided within two working days.

39. The student may appeal against the decision to suspend and/or exclude them from all or parts of the UCL by submitting a written request stating the reason for the appeal to the Provost within five working days of the date of issue of the notice of suspension/exclusion.

40. The Provost will consider the appeal and may take action as follows:
    (i) uphold the original decision and confirm the terms of the suspension and/or exclusion;
    (ii) uphold the original decision but reduce or restrict the terms of the suspension and/or exclusion;
    (iii) overturn the original decision and remove the suspension and/or exclusion.

41. In cases where additional information presented as part of the appeal suggests that the level of risk is higher than previously assessed, the Provost may increase or extend the terms of the suspension and/or exclusion.

42. The student will be notified of the decision within ten working days of the receipt of the letter requesting an appeal.

43. Whilst the precautionary suspension and/or exclusion is in place, the student may request a review if there is a relevant change to their circumstances. This request should be made in writing to the Provost, who will respond within ten working days of the receipt of the letter.

44. In accordance with Statute 11(3) all cases of suspension and exclusion for reasons other than academic insufficiency shall be reported by the Executive Director of Student Services and Registrar to UCL's Academic Board and Council.

Section 5: Minor Offences

(a) Misconduct Involving a UCL House or Hall of Residence

45. The Executive Director of Student Services and Registrar may delegate to Wardens of UCL Houses or Halls of Residence power to deal with disciplinary matters within their house/hall of residence and to impose penalties up to and including any one or more of the following:
    (i) an oral or written reprimand;
    (ii) an order for service for a specified period to the house or hall of residence to be scheduled outside of teaching time;
    (iii) an order for payment or compensation for damage to property;
    (iv) withdrawal of house/hall of residence privileges e.g. no guests allowed, exclusion from bars;
    (v) a fine of up to £100;
    (vi) a recommendation to the Executive Director of Student Services and Registrar that residence in UCL accommodation in future years be denied;

(vii) a recommendation to the Executive Director of Student Services Registrar that the student's misconduct be referred to the Discipline Committee and/or that UCL takes proceedings through the courts for eviction.

46. In a case where the Executive Director of Student Services and Registrar decides there are grounds for eviction from a UCL House or Hall of Residence they will request that the Director of Student Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation. The case may also be referred to the Discipline Committee.

47. In dealing with an allegation of misconduct the Warden will interview the student. The Warden will inform the student that they may appeal to the Executive Director of Student Services and Registrar against any penalty imposed by the Warden on the following grounds:
    (i) that the disciplinary process was not conducted in accordance with the above procedures;
    (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
    (iii) the penalty imposed was disproportionate to the offence.

48. The appeal will be considered by the Executive Director of Student Services and Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

(b) Misconduct Involving UCL Library Services

49. The Executive Director of Student Services and Registrar may delegate to the Director of UCL Library Services (or their nominee) power to deal with disciplinary matters within UCL Library Services and to impose penalties up to and including any one or more of the following:
    (i) an oral or written reprimand;
    (ii) an order for service for a specified period to be scheduled outside of teaching time;
    (iii) an order for payment or compensation for damage to property
    (iv) withdrawal of borrowing privileges
    (v) a fine of up to £100;
    (vi) a recommendation to the Executive Director of Student Services and Registrar that the Student's misconduct be referred to the Discipline Committee.

50. In dealing with an allegation of misconduct the Director of UCL's Library Services will interview the student. The Director will inform the student that they may appeal to the Executive Director of Student Services and Registrar against any penalty imposed by the Director on the following grounds:
    (i) that the disciplinary process was not conducted in accordance with the above procedures;
    (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
    (iii) the penalty imposed was disproportionate to the offence.

51.   The appeal will be considered by the Executive Director of Student Services and Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

(c) Disciplinary Action taken by the Executive Director of Student Services and Registrar

52.   Where the alleged offence is referred to the Executive Director of Student Services and Registrar, the Executive Director of Student Services and Registrar will decide upon the following course of action:
    (i)   that the complaint be dismissed;
    (ii)   that the complaint should not be the subject of further action under the Disciplinary Code, but such a ruling will not preclude informal action by way of a caution or otherwise if appropriate which may be undertaken without reference to the person submitting the complaint;
    (iii)   that the alleged offence be classified as a minor offence and is a matter for the Executive Director of Student Services and Registrar to deal with;
    (iv)   that the alleged offence be classified as major offence and should be referred to the Discipline Committee.

53.   At all times the Executive Director of Student Services and Registrar will be mindful of any ongoing risk posed to students and staff relating to the alleged offence. In cases where a risk assessment suggests this may be the case, the Executive Director of Student Services and Registrar may consult the Director of Student Support and Wellbeing (or nominee) in relation to the management of risk, and where appropriate may take precautionary action as outlined in Section 4(b). Amongst other possible actions, it may be necessary to agree a behavioural contract or a limited exclusion from a specific facility or service.

54.   Where a complaint of misconduct has been made, and unless it is immediately dismissed, dealt with by way of informal action or referred to the Discipline Committee, the Executive Director of Student Services and Registrar will hold a meeting with the student(s) concerned. The student(s) should receive an invitation to the meeting and should be advised of the nature of the alleged offence. Where possible this invitation should be written and should give the student(s) at least two working days' notice of the meeting. There may, however, be circumstances where an urgent meeting is required and in this case a verbal invitation with less than two days' notice will be given. Failure to attend without good cause may in itself be considered a disciplinary offence.

55.   The student will be given an opportunity at the meeting to explain their behaviour and/or offer information in mitigation or explanation.

56.   The Executive Director of Student Services Registrar will advise the student in writing of the outcome, within five working days, and will confirm the imposition of any sanction, which may include any one or more of the following:
    (v)   an oral reprimand recorded by the Executive Director of Student Services and Registrar;
    (vi)   a written reprimand recorded by the Executive Director of Student Services and Registrar;

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(iii) a written reprimand recorded on the Student's UCL file and copied to the Head of the Student's Department;

(iv) a payment of compensation for damages to person or property;

(v) a fine of up to £300;

(vi) an order of service to UCL for a specified period;

(vii) require a student to enter into a 'Good Behaviour' agreement;

(viii) exclusion from a part or parts of UCL for a specified period provided that such exclusion does not directly interfere with the student's academic work;

(ix) imposing conditions on a student's access to UCL facilities where the student has been convicted of a criminal conviction and where such conditions are deemed necessary for the safety and security of members of UCL provided that such conditions do not directly interfere with the student's academic work. In the case where the Executive Director of Student Services and Registrar decides there are grounds for eviction from a UCL House or hall of Residence s/he will request that the Director of Student Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation.

57. In the event that, after the meeting, the Executive Director of Student Services and Registrar decides that the matter is too serious to warrant one of the penalties set out above, the Executive Director of Student Services and Registrar may instead refer the matter to the Discipline Committee.

58. A student wishing to appeal against the decision of the Executive Director of Student Services and Registrar in relation to a penalty for a disciplinary offence shall write to the Secretary of the Discipline Committee giving the grounds for the appeal within ten working days from the date of receipt of the letter from the Executive Director of Student Services and Registrar imposing the penalty.

59. An appeal against a sanction or sanctions imposed by the Executive Director of Student Services and Registrar may be made on one or more of the following grounds:

(i) that the disciplinary process was not conducted in accordance with the above procedures;

(ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;

(iii) the penalty imposed was disproportionate to the offence.

60. The Discipline Committee will consider appeals under these provisions by a review of the relevant paperwork.

61. In determining an appeal against a decision of the Executive Director of Student Services and Registrar the Discipline Committee may confirm, amend or dismiss the penalty imposed by the Executive Director of Student Services and Registrar.

Section 6: Major Offences

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62. Where the alleged offence is referred to the Executive Director of Student Services and Registrar and they believe that it should be classified as a major offence in line with the guidance provided above, the Executive Director of Student Services and Registrar will refer the case to the Secretary of UCL's Discipline Committee.

63. The membership of the Discipline Committee shall comprise the following:

   (i)   a Chair, who will be a senior member of staff (or their nominee) drawn from a list approved by Academic Committee, usually a Faculty Tutor from a Faculty other than that in which the student is registered;
   (ii)   a senior member of staff usually a Director or Head from a Professional Services Division, Department or Faculty other than in which the student is registered;
   (iii) a Sabbatical Officer of UCL Student's Union

64. The secretary of the Committee will be a member of staff of UCL Student and Registry Services.

65. A single recording of the proceedings will be made by the Secretary to the Committee except when the Committee withdraws for private discussion.

66. In cases which involve alleged reputational damage to UCL, the Committee will also include an additional member who is independent from UCL, whose role will be to ensure the Committee adheres to the principles of impartiality in consideration of the alleged offence.

67. The student will be advised in writing of the nature of the alleged offence and the date of the hearing. This written notification will usually be provided not less than ten working days in advance of the hearing. Where the Chair deems there are special circumstances which require a shorter period of notice to be given, the reasons for this will be explained to the student.

68. The Executive Director of Student Services and Registrar and/or the Student may wish to invite witnesses to appear before the Committee and/or to provide written statements. If this is the case the Executive Director of Student Services and Registrar and/or the student should notify the Secretary of the Committee at least seven working days before the hearing of the details of any witnesses. Such notification will include any written statements.

69. Statements and other documentation will be circulated to the Committee and the student not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.

70. The procedure of the meeting will be as follows:

   (i)   Committee members meet without the student present to consider matters of process.
   (ii)   The student and 'friend' (where accompanied) will join the meeting.
   (iii) The Executive Director of Student Services and Registrar will join the meeting and outline the offence.

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(iv)   The student will be asked to make a statement in response to the alleged offence.

(v)   The Committee may question the student and/or the Executive Director of Student Services and Registrar.

(vi)   Witnesses may be called by the Executive Director of Student Services and Registrar.

(vii)   Witnesses may be called by the student

(viii)   In each case the witnesses will be asked to make a statement or confirm the contents of a written statement, and may be questioned by the Committee, the student and/or the Executive Director of Student Services and Registrar.

(ix)   Witness will be asked to withdraw.

(x)   The Committee will hear further statements from the student regarding evidence submitted, witness statements etc.

(xi)   The Committee will hear further statements and concluding remarks from the Executive Director of Student Services and Registrar and the student respectively.

(xii)   The student (and friend), along with the Executive Director of Student Services and Registrar, will be asked to withdraw to allow the Committee to consider its decision.

71.   At the conclusion of the hearing the Committee will determine the matter before it. The Committee may either dismiss the complaint on the ground that no disciplinary offence has been made out or may find on the evidence that a disciplinary offence has been committed. If the Discipline Committee determines that a disciplinary offence has been committed, it will have the power to impose one or more of the following penalties:

    (i)   a reprimand to be administered by the Discipline Committee and conveyed to and recorded by the Head of the Student's Department;

    (ii)   a fine not exceeding £600;

    (iii)   an order of service to UCL to be determined by the Discipline Committee;

    (iv)   exclusion, for such period or periods and subject to such conditions as the Committee shall think fit, from UCL or its precincts or other buildings or premises owned or occupied by UCL;

    (v)   payment of compensation for any damage to person or property which the Committee may find to have been occasioned by or in the course of the disciplinary offence;

    (vi)   requirement that a Student agree to specific conditions, determined by the Committee, to be necessary for their continued progress on their programme of study at UCL;

    (vii)   permanent expulsion from UCL. Expulsion involves depriving a student permanently of her or his membership of UCL.

72.   If the Discipline Committee finds that a disciplinary offence has been committed, the penalty to be imposed will be determined by a majority vote. If there is an equality of votes, the Chair shall have a casting vote.

73.   The decision of the Committee shall normally be communicated orally by the Chair to the student and the Executive Director of Student Services and Registrar

immediately at the conclusion of the hearing. The decision of the Committee will be communicated in writing to the student within five working days after the date of the hearing.

74. The implementation and consequences of a Discipline Committee hearing for the student will be monitored by the Executive Director of Student Services and Registrar in consultation with whomever the Executive Director of Student Services and Registrar considers appropriate.

Section 7: Discipline Review Body

75. UCL Statute 13(3) provides as follows:

    'There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.'

76. Appeals against other penalties imposed by the Discipline Committee may also be made to the Discipline Review Body.

77. An appeal to the Discipline Review Body must be received by the Secretary to the Discipline Review Body within twenty-eight days of the date of notification of the written communication of the decision of the Discipline Committee to the student concerned.

78. An appeal against a sanction or sanctions imposed by the Discipline Committee may be made on one or more of the following grounds:

    (i)   that the disciplinary process was not conducted in accordance with the above procedures;
    (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
    (iii) that the penalty imposed was disproportionate to the offence.

79. The membership of the Discipline Review Body will comprise:

    (i)   a Chair, who shall be the Vice-Provost (Education and Student Experience) or nominee;
    (ii) a senior member of staff from a list approved by the Academic Committee with no previous involvement in the case being considered, nor shall be from a Faculty in which the student is registered;
    (iii) a Sabbatical Officer of UCL Students' Union, with no previous involvement in the case being considered to be appointed by the Vice- Provost as and when the Discipline Review Body needs to be convened.

80. The Secretary of the Discipline Review Body will be an appropriate officer nominated by the Director of Education Services or Director of Student Operations as

appropriate. Such officer shall not have acted as Secretary to the Discipline Committee in the case concerned.

81. Consideration of an appeal by the Discipline Review Body will be by way of a review of the material/evidence considered by the Discipline Committee, along with its findings and subsequent decision and/or penalties and will include the following, to be supplied by the Secretary of the Discipline Committee:

    (i)   a note of evidence taken before the Discipline Committee;
    (ii) any documents submitted to the Discipline Committee as documentary evidence;
    (iii) a note of the submissions made by or on behalf of each party;
    (iv) a note of the findings and decision of the Discipline Committee.

82. The Discipline Review Body will normally consider appeals by review of the relevant paperwork, although it may, exceptionally, decide to arrange a hearing of the appeal.

Procedure for a meeting of the Discipline Review Body

83. In the event of a hearing all parties will be notified of the date not less than seven working days before the date of the hearing.

84. The Discipline Review Body will call the student and the chair of the Discipline Committee as witnesses. Other witnesses may also be called by the Discipline Review Body.

85. Copies of all documentation will be circulated to all parties not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.

86. At the start of the hearing the Chair of the Discipline Review Body will invite the student to summarise the grounds for their appeal against the decision of the Discipline Committee.

87. The Chair of the Discipline Review Body will then invite the Chair of the Discipline Committee to state the case for upholding the findings and decisions of the Discipline Committee.

88. In each case any witnesses will be asked to make a statement or confirm the contents of a written statement.

89. After all parties have made their statements the Chair and other members of the Discipline Review Body may ask the student and/or the Chair of the Discipline Committee and any witnesses any such questions as the Chair deems appropriate.

90. Having completed their questioning the Chair of the Discipline Review Body will ask the parties to withdraw.

91. The Discipline Review Body shall reach decisions by a simple majority.

92. The Discipline Review Body, having completed its discussion of the appeal and having reached a decision on the matter, the Chair shall recall the student and the Chair of the Discipline Committee to the meeting.

93. The Chair shall then announce the decision of the Discipline Review Body to the student and Chair of the Discipline Committee.

94. The Chair shall then declare the meeting of the Discipline Review Body closed.

Decision of the Discipline Review Body

95. The Discipline Review Body may allow the appeal wholly or in part or substitute its own findings and impose one or more of the penalties mentioned in paragraph 71 as the Discipline Review Body thinks appropriate. Otherwise the decision of the Discipline Committee will stand.

96. The Secretary to the Discipline Review Body will notify the student in writing of the outcome of the appeal within ten working days of the decision of the Discipline Review Body. The Secretary to the Discipline Review Body will also issue a Completion of Procedures letter to the student.

3 Academic Insufficiency Procedure

3.1 Learning Agreements

1. If a student is experiencing significant, persistent or long-term difficulties, and UCL's normal support mechanisms (such as Extenuating Circumstances, Reasonable Adjustments or Interruptions) are not able to provide the right level of support, the Department should normally refer the student for a Support Plan under the UCL Support to Study Procedure (see Chapter 2, Section 7).
2. Alternatively, if a Department identifies an isolated case of poor attendance or engagement, and the student does not appear to be having any underlying difficulties, the Department may put in place a Learning Agreement.
3. Learning Agreements can be agreed by Departmental Tutors, Departmental Graduate Tutors, Faculty Tutors[1], Faculty Graduate Tutors and the Vice-Provost (Education & Student Experience).
4. Special arrangements for a student and/or measures subject to approval can be made conditional on concluding and abiding by the conditions of a Learning Agreement.
5. The Learning Agreement will set out what UCL will do to support the student as well as the conditions which the student agrees to meet. These conditions will usually cover some or all of, but are not limited to, the following:
   - Completion and timely submission of coursework and other forms of work, both summative and/or formative, assessed and/or unassessed.
   - Responding appropriately and in a timely manner to UCL communications and attending meetings with UCL staff as requested.
   - Completion of additional work to ensure sufficient coverage of the syllabus.
   - Providing requested information within a specified time period.
   - Supplying proof of continuing medical or specialist treatment.
6. Breach of a Learning Agreement will result in the revocation of any special arrangements made and/or measures approved and in the application of any penalties specified in the Learning Agreement.
7. Learning Agreements should specify the duration of the agreement and when compliance with the agreement will be reviewed. Compliance should be reviewed at least once a year.

3.2 Barring Students from Assessment

Barring students from assessment on the basis of attendance has been suspended for 2022-23.

3.3 Suspension of Studies on Grounds of Academic Insufficiency

1. Faculty Tutors/ Faculty Graduate Tutors can suspend the studies of students in their Faculty on grounds of academic insufficiency as per paragraphs 14.1 and 14.2 of UCL's Regulations for Management.
2. Academic insufficiency occurs when a student's overall attendance and/or engagement is deemed to be unsatisfactory, so that it is not viable for the student to continue with their studies for the remainder of the session.

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[1] Throughout this procedure, this includes equivalent posts such as Directors of Education which formally incorporate the role of Faculty Tutor and/ or Faculty Graduate Tutor.

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3. All such cases must be referred to the Faculty Tutor/Faculty Graduate Tutor. If the Faculty Tutor/ Faculty Graduate Tutor confirms academic insufficiency, the expected outcome is that the student's enrolment is suspended for up to one year, specifying at the beginning of which term the student will be allowed to return to repeat.
4. Students must have had due warning prior to a suspension of studies.
5. Prior to a suspension on grounds of academic insufficiency, the Faculty Tutor/ Faculty Graduate Tutor must have invited the student to a Mandatory Faculty Interview (see Section 4) to allow for an explanation of the case.
6. To suspend a student on grounds of academic insufficiency, the Faculty Tutor/ Faculty Graduate Tutor must send a letter of notification to the student that includes details of the appeals mechanism (see below), copying the Home Department, relevant Teaching Departments and UCL Student Records.
7. Suspensions of studies forfeit an attempt at assessment for all affected modules. A suspended student must repeat either the year or the term(s) in which the insufficiency occurred in the next academic year, repeating in attendance all modules for which the student has second attempts remaining. (Additional interruptions can be applied for, but are subject to scrutiny and approval.) If a suspension would permanently prevent progression or award of degree due to one or several forfeited second attempts at assessment, suspensions become terminations of study, unless UCL Academic Services on behalf of the Vice-Provost (Education & Student Experience) suspends regulations to allow further attempts.
8. International students with a Student Visa may find that their visa status is impacted if their studies at UCL are suspended. The law means that UCL must inform UK Visas and Immigration (UKVI) of any changes to a student's status. Students who are on a Student Visa must read the Student Visa responsibilities guidance. If students need any further advice, they should get in touch with UCL's Student Immigration Advice and Compliance Team who can assist.
9. As a condition of returning to repeat after the suspension, the student must sign a Learning Agreement. Refusal to sign the Learning Agreement or breach of the Learning Agreement following an earlier suspension will usually result in Termination of Studies. If the student is having persistent, long-term difficulties, it may also be beneficial for the Department to refer the student for a Support Plan upon their return to UCL, under the Support to Study Procedure (see Chapter 2, Section 7).
10. In cases involving poor performance in Postgraduate Research Students, separate guidance applies (see Research Degrees: Guidance on Addressing Poor Performance in Research Students).

3.4 Termination of Study on Grounds of Academic Insufficiency

1. Faculty Tutors Faculty Graduate Tutors can also terminate the studies of students on grounds of academic insufficiency as per paragraphs 14.1 and 14.2 of UCL's Regulations for Management.
2. In such cases the academic insufficiency must be deemed to be irretrievable.
3. For any student whose studies are to be terminated in this way, it is essential that the student has previously been referred to the Faculty Tutor/Faculty Graduate Tutor for a Mandatory Faculty Interview (Section 4) and received a written warning that their studies are at risk of being terminated should the insufficiency continue.
4. Should the insufficiency continue or should any conditions that were made for the continuation of the student's studies at the interview and/or in the written termination warning not have been met, the Faculty Tutor/ Faculty Graduate Tutor must interview the student again.
5. If the termination of studies is confirmed, the Faculty Tutor/ Faculty Graduate Tutor must issue a formal written notification of the termination of studies and the reasons for it, including a reference to the appeals procedure below.

6. International students with a Student Visa may find that their visa status is impacted if their studies at UCL are terminated. The law means that UCL must inform UK Visas and Immigration (UKVI) of any changes to a student's status. Students who are on a Student Visa must read the Student Visa responsibilities guidance. If students need any further advice, they should get in touch with UCL's Student Immigration Advice and Compliance Team who can assist.

3.5   Appealing a Suspension or Termination of Studies

1. If a student is dissatisfied with a decision to suspend or terminate their studies, appeals may be considered on one of the following grounds:

    a) There was a significant procedural irregularity in the conduct of the procedure, that had a material impact on the fairness of the outcome.

    b) The Faculty Tutor/ Faculty Graduate Tutor did not act in a way that was reasonable and the decision reached was not a possible conclusion that a similar process of consideration might have reached.

2. Appeals must be submitted to the UCL Academic Services within ten working days of the official notification of the decision.
3. Appeals will be considered by a senior member of staff nominated by the Vice-Provost (Education & Student Experience)/ Director of Education Services or Director of Student Operations as appropriate. The Appeal Assessor must not have been involved in the case previously.
4. Where an appeal is upheld in part or in full the Appeal Assessor will either:

    a) Request that the Faculty Tutor/ Faculty Graduate Tutor reviews their decision, with recommendations as required.

    b) Appoint a Faculty Tutor/ Faculty Graduate Tutor, who may be from another Faculty and who was not involved in the original decision, to look at the case and make a new decision.

5. Where an appeal is upheld, an outcome letter will be issued explaining what actions will be taken. A Completion of Procedures letter can be issued upon request.
6. Where an appeal is not upheld and is rejected the Appeal Assessor must provide a clear reason for any decisions reached and confirm that the original decision being appealed against will stand.
7. The outcome of an appeal that is not upheld will be issued in the form of a Completion of Procedures letter.
8. If the student remains dissatisfied, once a Completion of Procedures letter has been issued confirming that the internal procedures of UCL have been concluded, students have the right to submit a complaint for review to the Office of the Independent Adjudicator for Higher Education (OIA). OIA complaints must be submitted no more than 12 months from the date of the Completion of Procedures letter, using the OIA's Scheme Application form. The procedures and form are available from the OIA website.

4   Mandatory Faculty Interviews

1. Faculty Tutors and Faculty Graduate Tutors can summon students in their Faculty to mandatory Faculty interviews, requiring the student either to attend the interview at a set date and time or to make and keep an appointment by a set deadline.
2. If a student fails to do so, they will be written to by the Faculty Tutor or Faculty Graduate Tutor with a suspension warning, informing the student that failure to make and/or attend an alternative appointment by a set deadline will result in a suspension of studies.
3. If a student fails to make or attend the alternative appointment, the Faculty must send the student a formal letter confirming the suspension of studies and issuing a termination warning. The student must be informed that failure to make and/or attend a final appointment by a set deadline will result in a permanent termination of studies.
4. If a student fails to make or attend the final appointment, the Faculty must send the student a formal letter confirming the termination of studies and informing the student of the right to appeal.
5. Students have a right of appeal against a suspension or termination of studies at Mandatory Faculty Interviews through the procedures set out in <u>Section 3.5: Appealing a Suspension or Termination of Studies</u>.

5   Suspension of Regulations Procedure

1. In exceptional circumstances it *may* be necessary to suspend the regulations temporarily for one or more students. Requests for suspensions *must* be made on a case-by-case basis via Student & Registry Services.
    a) Suspensions of the Admissions regulations must be formally approved by the Director of Access and Admissions on behalf of the Vice Provost (Education & Student Experience). Requests should be submitted to Admissions in Student & Registry Services
    b) Suspensions of the Taught Programme regulations must be formally approved by the Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice Provost (Education & Student Experience). Requests should be submitted to Academic Services.
    c) Suspensions of the Postgraduate Research Degree regulations must be formally approved by the Pro-Vice Provost (Doctoral School). Requests should be submitted to Research Degrees.
2. Suspensions of regulations are reported to the next meeting of Education Committee or Research Degrees Committee as appropriate, and an annual analysis conducted to identify common issues that should be incorporated into the main regulations.

6   Material Irregularity Procedure

1. A Material Irregularity is an administrative or procedural error which has a significant, negative impact on a student's performance at summative assessment or a situation in which the integrity of summative assessment has been compromised. A Material Irregularity may affect one student or a group of students. It does not include disagreement with an academic judgement about the quality of student work submitted for assessment.
2. Where a student has a concern about a Material Irregularity, they *must* follow the procedure set out in Section 7: Academic Appeals Procedure.
3. Where a UCL member of staff identifies a potential irregularity in the assessment process, it *must* be investigated to establish whether the circumstances are material, which students have been affected and how UCL will address the irregularity.
4. Where Industrial Action affects assessment, progression, and award, guidance for staff can be found within Annex 6.6.2: Managing the Impact of the Industrial Action on Assessment.
5. Where the investigation concludes that a material irregularity has occurred, the Faculty Board of Examiners is responsible for determining an appropriate course of action in consultation with UCL Academic Services. This can be done by Chair's Action if necessary.
6. The options open to the Faculty Board of Examiners include:
   a) Where possible, rectifying or mitigating the irregularity before the assessment takes place, OR
   b) Offering a coursework extension, OR
   c) Suspending the late submission penalties, OR
   d) Adjusting an existing exam paper or assessment (the External Examiner must be informed), OR
   e) Offering an alternative method of assessment (approved by the External Examiner), OR
   f) Offering the student another opportunity to take the assessment as if for the first time and without penalty (Deferral with or without Tuition), OR
   g) Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, OR
   h) Making a recommendation to the Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education & Student Experience) for a Suspension of Regulations, OR
   i) Where the Board of Examiners has already made a decision on Progression or Award, recommending to the Director of Education Services or Director of Student Operations as appropriate on behalf of the Vice-Provost (Education & Student Experience) that the decision is overturned and a new decision is put in its place, in consultation with the relevant External Examiner, OR
   j) A combination of the above mitigations.
7. In no circumstances should a student be awarded additional marks to compensate for the irregularity.
8. All cases *must* be clearly recorded in the Faculty Board of Examiners minutes and any changes to student results recorded on Portico.

7   Academic Appeals Procedure

1.   Introduction

1.1   The Academic Appeals Procedure is a formal process in which students can request a review of a decision made by the Board of Examiners or an equivalent academic body (for Postgraduate Research Students) responsible for making decisions about student assessment, progression or award. A review of a decision may include the results of examinations including confirmation of PhD status from MPhil to PhD, marks, viva outcome, award or degree classification.

1.2   If a student wishes to express their dissatisfaction about an action of UCL, lack of action, or about the standard of service provided by UCL. The Student Complaints Procedure should be used.

1.3   This procedure applies to all registered students at UCL taking a programme of study leading to a formal award. Recent graduates may also submit an appeal within **10 working days** of the date of the official notification of the decision.

1.4   Students on programmes delivered with an external partnership institution should use the procedures referred to in their programme-specific terms and conditions, where these apply to the programme, or refer to the additional terms of the Memorandum of Agreement of the partnership.

1.5   The purpose of the Procedure is not to dispute academic judgement, that is the decision made by academic staff on the quality of the work or the criteria applied to the work or disagree with a professional judgement, that is a decision reached in due process of an extenuating circumstances panel. It is to ensure that consideration can be given to whether UCL applied its Regulations and Procedures correctly and whether any decision was reasonable and proportionate.

1.6   It is the responsibility of a student to draw to the attention of UCL any factors which they consider may have adversely affected the decision of a Board of Examiners or an equivalent academic body (Postgraduate Research).

1.7   Students are expected to set out their concerns clearly, succinctly and in accordance with the grounds that are relevant to their appeal.

1.8   The appeals process is evidence-based and circumstances mentioned in the statement including the impact on the students studies should be supported by independent evidence. It is the student's responsibility to provide evidence to support their appeal. The Casework Team cannot obtain evidence on a student's behalf. A translation (undertaken by an accredited translator) must be provided for any material not in English – untranslated documents cannot be considered. Faculty responses requested at any stage of this procedure must also be corroborated by evidence when a decision is made not to uphold an appeal.

1.9   UCL may further investigate any evidence provided by the student to confirm its authenticity, including (but not limited to) conducting internet searches or third-party verification checks. Where there is evidence that a student or their representative may have provided false evidence or misinformation to deceive or influence the outcome of an appeal the student will normally be informed by an Appeal Assessor in writing within 10 working days of such concerns and of any action that may be taken, such as referring the matter for consideration under another Procedure. UCL reserves the right to pause the Academic Appeals Procedure pending conclusion of such other Procedure.

1.10 An appeal raised by a third party on behalf of a student, (this includes parents, guardians, relatives, the spouse or partner of a student or other third parties) will only be considered in exceptional circumstances. Written authorisation and valid reasons for the third party acting as the student's representative must be provided by the student. UCL's consent to such arrangements may be withdrawn at any time if the behaviour of a third party is not appropriate. A third party supporting, advising, or representing the student should not delay the process. This provision does not extend to legal representation. For the position with regards to legal representation, see Section 6.3.

1.11 Students and their representatives are expected to conduct themselves in a respectful and courteous manner. UCL may apply restrictions to the Procedure, a student's access to staff or terminate consideration of an appeal where their behaviour is considered unacceptable as set out in Appendix 3. A student can appeal a decision to terminate the consideration of an appeal in writing to the Executive Director of Student Services and Registrar by email to casework@ucl.ac.uk within **10 working days** of the date of the decision.

1.12 An appeal that is raised by several students on the same issue can be considered as one collective appeal. In such circumstances, the names of all students must be included on the Appeal Form. The group are advised to appoint a representative (no more than two students) to facilitate communication for the purposes of the formal Procedure.

1.13 Where an appeal has been submitted, the original decision of the relevant Board of Examiners or an equivalent academic body (Postgraduate Research) shall stand until the outcome of this Procedure reached.

1.14 A student can submit an appeal without risk of disadvantage as a result of their submission of an academic appeal. Equally, this Procedure shall not form or be seen to form a disciplinary process against the member(s) of staff concerned in the initial decision being appealed.

1.15 A student considering submitting an appeal may seek advice from Students' Union. The Casework Team can provide procedural advice but cannot advise on the substance of an appeal.

1.16 The Casework team are responsible for the day-to-day operation of this Procedure and can be contacted at casework@ucl.ac.uk.

2. Grounds for Academic Appeal

2.1 An appeal can be submitted on one or more of the following grounds:

i. there were circumstances that significantly affected the student's academic performance, where for compelling reasons, the relevant Extenuating Circumstances Panel was not made aware of the circumstances through the Short-term Illness and other Extenuating Circumstances Procedure;

ii. there occurred a material irregularity (an administrative or procedural error) that had a significant impact on a student's performance and which had not been determined prior to a Board of Examiners;

iii. there is substantive evidence that one or more of the examiners can be shown to have been biased or prejudiced against the student in one or more specific assessments.

2.2 Medical and other circumstances that should have been reported to UCL at the time of their occurrence will not normally be considered. If a student submits an appeal on the ground that the relevant Extenuating Circumstances Panel were not made aware of circumstances through the Short-term Illness and other Extenuating Circumstances Procedure, there must be compelling reasons with independent supporting evidence, explaining why the student was unable to previously disclose the information through the appropriate Procedure. There is a strong expectation that the circumstances would have been considered through the Short-term Illness and Extenuating Circumstances Procedure prior to the meeting of a Board of Examiners or equivalent academic body for Postgraduate Research Students.

Matters that cannot be addressed under this Procedure

2.3 The following matters cannot be considered under this Procedure:

   i. appeals regarding admission decisions;

   ii. appeals relating to a student's Fitness to Practise where an appeal relates to external assessment by a Professional Statutory or Regulatory Body (PSRB). Appeals in these cases will be considered in its own Fitness to Practice Procedure;

   iii. decisions relating to Support to Study, Appeals in these cases will be considered via UCL's Support to Study Procedure;

   iv. appeals from third parties without written consent from the registered student;

   v. complaints relating to the quality of teaching, supervision, service provision or other circumstances that relate to the delivery of a programme of study. Such matters should be considered via UCL's Student Complaint Procedure;

   vi. issues relating to allegations of harassment and bullying. Allegations of this nature will be dealt with under the UCL Prevention of Bullying, Harassment and Sexual Misconduct Policy and should be submitted to HR via Report and Support;

   vii. appeals that are more appropriately addressed by third parties, for example the Home Office or Student Finance England. Such organisations generally have their own Procedures and it is their organisational procedure that must be followed where UCL has no role in the decision-making process;

   viii. disagreement with academic judgement, the examiners' assessment of the performance of a student in an assessment, or against academic decisions properly arrived at in accordance with approved Procedures. In this context, disparities in a student's performance between assessments (or between examinations and a student's expectations) are not necessarily evidence of procedural irregularity or bias in the assessment process.

2.4 There may be circumstances where, for good reason, UCL needs to extend this timeframe. If this occurs the student will be informed of the extended timeframe. Circumstances that may delay completion of the Procedure at any stage (Appeal and Appeal Review) include but are not limited to:

   i. incomplete forms;

   ii. lack of clarity regarding the grounds relied upon;

   iii. UCL Closure days;

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iv. the absence of key staff members;

v. an appeal is put on hold to allow for matters to be considered as part of another Procedure, for instance a student complaint or student disciplinary process.

2.5 A student can normally expect an appeal at Stage 1 to completed within **30 working days** of the date of receipt by the Casework Team. A further Stage 2 Appeal Review, if pursued, will normally be completed within a further **30 working days.** Overall, both processes should normally be concluded within **60 working days** of the initial receipt by the Casework Team of the original Stage 1 Appeal.

2.6 Any period during which an appeal is put on hold to allow for consideration of another procedure shall not be included in the timeframe referred to in paragraph 2.5 above.

2.7 Before deciding whether to submit a Stage 1 Appeal, students are encouraged to seek clarification of an assessment or a Board of Examiners decision following the publication of results from their Department, or Faculty.

The Procedure

3. Stage 1 Appeal

Student Submission and Eligibility

3.1 An appeal must be submitted within **10 working days** of the date of the official notification of a Board of Examiners decision or outcome of an equivalent academic body for Postgraduate Research students. Appeals received beyond this timeframe will be deemed out of time and will not be taken forward for consideration unless the student has demonstrated good reason supported by independent evidence, for any period of delay.

3.2 An appeal submitted by a student more than 12 months after the date of the official notification of a decision will not be considered under any circumstances. A Completion of Procedures (COP) Letter can be issued on request, noting the reason the appeal was not taken forward for consideration. The student may be able to submit a complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

3.3 An appeal must be submitted in writing on the Stage 1 Appeal Form completing all relevant sections including full name; student number; signature of the student and date. Students should indicate the date of the official notification of the decision and the ground(s) which they are appealing. A clear and succinct explanation as to why they are dissatisfied with the decision should be provided. The appeal should encompass all matters within the scope of this procedure that the student would like to be considered. New aspects of an appeal cannot be introduced later in the procedure.

3.4 Students must submit any relevant documentation and independent evidence as appropriate when submitting an appeal. Where the documentation includes data relating to third parties, the Casework Team reserves the right to redact or remove such material before proceeding, so far as is practicable without undermining the substance of the appeal.

3.5 The completed Stage 1 Appeal Form and all relevant supporting documentation and evidence should be submitted to the Casework Team at casework@ucl.ac.uk. The Casework Team cannot initiate this Procedure until a signed and dated Stage 1

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Appeal Form is received. Incomplete, missing information or unclear statements may be returned for completion or clarification.

3.6   Notice of an intention to appeal within the Procedural timeframe shall not be deemed to constitute submission of an appeal and will not be accepted as such. The timescales outlined in this Procedure shall only begin once a fully completed Stage 1 Appeal Form has been received.

3.7   The Casework Team will acknowledge receipt and will conduct an initial assessment of the appeal against the ground(s) in Section 2 and the criteria set out in the student submission and eligibility paragraphs 3.1-3.6 above.

3.8   If after the initial assessment, it is determined that the grounds and criteria for an appeal have not been met the Casework Team will normally reject the appeal within **10 working days** of receipt of the appeal, giving reasons for the decision. A student who is dissatisfied with this decision may request a review under Stage 2 Appeal Review based on the relevant grounds in Section 4.1 of the Procedure.

3.9   The list below (which is not exhaustive) are not considered valid grounds for an appeal and are reasons why an appeal is not upheld and will be rejected:

    i.   disagreement with the academic judgement of the examiners as defined in paragraphs 1.5 and 2.3 viii. Academic judgement includes the assessment mark or the pass/fail decision awarded by the markers of an assessment;

    ii. marginal failure to attain progression or a higher class of award (where such classifications are non-discretionary and made according to published arithmetic formulae);

    iii. the retrospective reporting of Extenuating Circumstances which could reasonably have been made known at the time of those circumstances;

    iv. lack of awareness of the relevant UCL Regulations and/or Procedures and their associated timescales;

    v.   the appeal was received outside the deadline without good reason and evidence for the delay. In cases where a delay is unavoidable, the appeal must be submitted as soon as possible after the deadline and must include an explanation and independent supporting evidence covering the entire period affected;

    vi. appealing unofficial results, an academic appeal can only be submitted once the decision is confirmed by a Board of Examiners or an equivalent academic body (Postgraduate Research).

3.10   Where matters raised do not wholly fall within the scope of this Procedure the student will be informed that the appeal will not be progressed. By agreement with the student, the matter may be referred for consideration under the relevant Procedure.

3.11   Where matters are multi-issues relating to decisions made by the Board of Examiners or an equivalent academic body (Postgraduate Research) and dissatisfaction with a service or other aspects of provision. UCL reserves the right to issue an outcome at Stage 1 addressing the grounds for an academic appeal and inform the student that matters that constitute a complaint cannot be considered within this procedure.

3.12   If, after the initial assessment it is determined that the grounds and the criteria may have been met the appeal will usually be considered at Stage 1 within **30 working days**. There may be circumstances where, for good reason, UCL needs to extend this timeframe; if this occurs the Casework Team will inform the student and provide an indication of the extended timeframe.

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Consideration of Appeal

3.13   The Casework Team will forward the Stage 1 Appeal Form and any supporting documentation to the relevant Faculty for consideration. This will normally be submitted to an Appeal Assessor who can be a Faculty Tutor (or nominee), a member of the Casework Team or a Faculty Tutor within another Faculty. The appeal will be considered by an Appeal Assessor who has not previously been involved in matters relating to the appeal nor has been involved in the teaching or assessment of the student to avoid actual or potential conflicts of interest.

3.14   The paper-based appeal will be considered on the basis of the student's written statement and supporting evidence. Relevant information from staff, other students or external agencies may be sought by an Appeals Assessor by way of response when considering the appeal. A student submitting an appeal can respond to the information sought by way of a written statement at the Review Stage. The Appeal Assessor will normally inform the Casework Team of the decision within **10 working days** of the appeal being sent to the Appeal Assessor for consideration.

3.15   Exceptionally, the Appeal Assessor may decide that further consideration of the appeal is necessary. That it is not possible to reach a suitably informed decision alone due to the complexities of the appeal, or it is considered reasonable on a case-by-case basis to make reasonable adjustments to the procedure to take account of the individual needs of the student. In such instances, the Appeal Assessor will refer the matter to an Appeals Panel for consideration.

3.16   The membership of the Appeals Panel shall comprise no fewer than two and no more than three members of academic staff with the provision of a nominee where necessary, and will be as follows:

- a senior member of staff (Chair) drawn from a list approved by Academic Committee, usually a Faculty Tutor from a Faculty other than that in which the student is registered;
- a Departmental Graduate Tutor from a Department other than that in which the student is registered and/or
- an elected member of Research Degrees Committee

3.17   The paper-based Appeals Panel does not require the student to attend. The Panel is permitted to conduct its discussions electronically or virtually to ensure the case is considered in a timely manner. Exceptionally, when the Appeals Panel considers it appropriate, a hearing will be required, to which the student will be invited.

3.18   In the event of an Appeal Panel hearing, the proceedings will be conducted in accordance with Section 6. The student will be informed no later than **10 working days** in advance of the hearing taking place. It is expected that the student will attend in person. UCL may, at its discretion approve alternative arrangements for the student to attend virtually online where it is not possible for the student to attend in person.

Appeal Outcome

3.19   Where an appeal is accepted and upheld in part or in full, dependent upon the grounds that the appeal was submitted, the Appeal Assessor, or exceptionally, an Appeals Panel shall reach one of the following decisions:

i. request that the Board of Examiners review its decision, with a recommendation

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to provide a deferred assessment or reassessment in accordance with the Academic Manual;

ii. request the Board of Examiners to review or revise its decision where the grounds of appeal are considered to have had a material impact on the performance or progression of a student, with recommendations as required;

iii. request the Board of Examiners or relevant Faculty Extenuating Circumstances Panel to implement the outcome or mitigation that the student is seeking in accordance with the relevant Procedure;

iv. refer the decision back to the relevant Faculty Extenuating Circumstances Panel or the Vice-Provost Education and Student Experience (or nominee) for reconsideration to determine a revised outcome in accordance with the Short-term Illness and other Extenuating Circumstances Procedure;

v. require the equivalent academic body for Postgraduate Research Students to consider an appropriate outcome. In cases where a candidate has been denied upgrade or a thesis has been examined (for Postgraduate Research students) this may include but is not limited to:

   a. the Upgrade Panel/Examiners being invited to reconsider their decision;

   b. the appointment of a new Upgrade Panel/new Examiners.

3.20 Where an appeal is not upheld and is rejected the Appeal Assessor or Appeals Panel shall provide a clear reason for any decisions reached and confirm that the original decision being appealed against shall stand;

3.21 An Appeal Assessor or Appeals Panel cannot change marks, change a degree classification or recommend award.

3.22 If an appeal outcome leads to a revised decision of a Board of Examiners that changes a degree or award following due process and the student has received their certificate, the student will be required to return any original certificate within **10 working days** before a revised certificate is reissued.

3.23 A revised decision of a Board of Examiners or equivalent academic body (for Postgraduate Research) resulting from this procedure shall be final and may not be subject to further appeal, unless it can be evidenced that the appeal relates to the implementation of the earlier appeal outcome.

3.24 Evidence should also be provided when a decision is made not to uphold an appeal to support the reason for any decision reached. In appropriate cases the Appeals Assessor or Appeals Panel may provide a single decision in response to a group appeal.

3.25 Where it is not possible to provide the outcome of the Stage 1 Appeal within **30 working days** the Casework Team will notify the student of the progress of the consideration of the appeal.

3.26 Students who are dissatisfied with the outcome reached at Stage1 may request a review of the decision under Stage 2. This stage is a paper-based review which the student does not attend. No new issues may be introduced at Stage 2.

3.27 Appeals that do not proceed to the Stage 2 Appeal Review process after the elapse of **10 working days** after the notification of the Stage 1 decision will be considered as closed. A Completions of Procedure (COP) letter can be provided upon request, although students should be aware that the University's internal processes are not

complete at this stage.

3.28 An Appeal Review Form received beyond this timeframe will be deemed out of time and will not be taken forward for consideration unless the student has demonstrated good reason supported by independent evidence for any period of delay. A COP Letter will be issued upon request noting the reason the appeal review not taken forward for consideration. The student may be able to submit a complaint to the OIA.

4. Stage 2 Appeal Review

Grounds for Appeal Review

4.1 A student may request a review of the Stage 1 Appeal decision on the following grounds:

    i. that there is a material irregularity (an administrative or procedural error) in the handling of the appeal at Stage 1;

    ii. there is new and relevant evidence to support the appeal which for good reason was not available and could not reasonably have been provided at the time the appeal was submitted;

    iii. there is a response by way of written representation to the information sought by the Appeal Assessor at the appeal stage that demonstrates that the decision reached at the earlier stage was not reasonable given the circumstances of the case.

Student Submission and Eligibility

4.2 A request for a review can only be submitted following the completion of the Stage 1 Appeal. A request for a review will not be considered if Stage 1 of the procedure has not been completed.

4.3 A request for a review must be submitted within **10 working days** of the date of the notification of the Stage 1 decision. An appeal review received beyond this timeframe will be deemed out of time and will not be taken forward for consideration unless the student has demonstrated good reason supported by independent evidence, for any period of delay.

4.4 A request for a review must be submitted in writing on the Stage 2 Appeal Review Form completing all relevant sections, including full name; student number; signature of the student and date. Students should indicate the date of the official notification of the decision and the ground(s) which they are appealing. A clear and succinct explanation as to why they are dissatisfied with the decision should be provided.

4.5 Students must submit any relevant documentation and independent evidence where relevant at this stage when submitting an appeal review. Where the documentation includes data relating to third parties, before proceeding, the Casework Team reserves the right to redact or remove such material, so far as is practicable without undermining the substance of the appeal.

4.6 The completed Stage 2 Appeal Review Form and evidence, where relevant should be submitted to the Casework Team at casework@ucl.ac.uk. The Casework Team cannot initiate this Procedure until a signed and dated Stage 2 Appeal Review Form is

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received. Incomplete, missing information or unclear statements may be returned for completion or clarification. The timescales outlined in this Procedure for the Stage 2 Appeal Review will only begin once a fully completed Stage 2 Appeal Review Form has been received.

4.7   Notice of an intention to appeal within the Procedural timeframe shall not be deemed to constitute submission of a request for a review and will not be accepted as such.

4.8   The Casework Team will acknowledge receipt and will conduct an initial assessment of the appeal review against the ground(s) in Section 4 and the criteria set out in the student submission and eligibility paragraphs 4.2-4.6 above.

4.9   If after the initial assessment, it is determined that the grounds and criteria for an appeal review have not been met, the Casework Team will normally reject the appeal review within **10 working days** of receipt, giving reasons for the decision. A COP Letter will be issued upon request noting the reason the appeal review was not taken forward for consideration. The student may be able to submit a complaint to the OIA.

4.10   If after the initial assessment, it is determined that the grounds and the criteria may have been met, the request for a review will usually be considered at Stage 2 within **30 working days.** There may be circumstances where, for good reason, UCL needs to extend this timeframe; if this occurs the Casework Team will inform the student and provide an indication of the extended timeframe.

Consideration of Appeal Review

4.11   Where it is determined that the grounds and criteria may have been met, the Casework Team shall accept the request for a review and refer the matter for consideration by an Appeal Review Panel.

4.12   The Review will not entail a reconsideration of the appeal. Instead, it will consider the matters raised about the Stage 1 decision and the grounds for the request of review.

4.13   The Review Panel will conduct a paper-based review and shall base its decision on the information provided by the Student and the Faculty, if applicable.

4.14   Neither the student nor the Faculty will normally be permitted to introduce new further material at the Stage 2 Appeal Review stage unless it was not known to the student or Faculty at Stage 1 and the Chair deems it permissible.

4.15   The membership of the Appeal Review Panel with the provision of a nominee where necessary will be as follows:

- the Vice-Provost (Education and Student Experience) (Chair);
- a senior member of staff from a list approved by the Academic Committee, usually a Faculty Tutor or Faculty Graduate Tutor, as appropriate to the status of the appellant;
- a senior member of staff usually a Director or Head from a Professional Services Division, Department or Faculty;
- a Students' Union Sabbatical Officer, UCL.

4.16   The quorum of an Appeal Review Panel is three, including the Chair. At the discretion of the Chair the Panel may proceed in the event of no Sabbatical Officer being in attendance.

4.17   No member of the Panel shall have had any previous involvement in the case being considered, nor shall be from the Faculty in which the student is registered.

4.18   The paper-based Review Panel does not require the student to attend. The Panel is permitted to conduct its discussions electronically or virtually to ensure the case is considered in a timely manner. Exceptionally, when the Review Panel considers it appropriate, a hearing will be required to which the student will be invited.

4.19   A member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Review Panel. The Secretary will not act as a member of the Panel but will provide guidance on the Procedure where appropriate.

4.20   In the event of a hearing, the proceedings will be conducted in accordance with Section 6. The student will be informed no later than **10 working days** in advance of the hearing taking place. It is expected that the student will attend in person. UCL may, at its discretion approve alternative arrangements for the student to attend virtually online where it is not possible for the student to attend in person.

Appeal Review Outcome

4.21   Where an appeal is accepted and upheld in part or in full, dependent upon the grounds on which the appeal was submitted, the Appeal Review Panel shall reach one of the following decisions:

   i.   request that the Board of Examiners review its decision, with a recommendation to provide a deferred assessment or reassessment in accordance with the Academic Manual;

   ii.   request the Board of Examiners to review or revise its decision where the grounds of appeal are considered to have had a material impact on the performance or progression of a student, with recommendations as required;

   iii. recommend the Board of Examiners or relevant Faculty Extenuating Circumstances Panel to implement the outcome or mitigation that the student is seeking in accordance with the relevant Procedure;

   iv.   refer the decision back to the relevant Faculty Extenuating Circumstances Panel or the Vice-Provost Education and Student Experience (or nominee) for reconsideration to determine a revised outcome in accordance with the Short-term Illness and other Extenuating Circumstances Procedure;

   v.   require the equivalent academic body for Postgraduate Research Students to consider an appropriate outcome. In cases where a candidate has been denied upgrade or a thesis has been examined (for Postgraduate Research students) this may include but is not limited to:

      a) the Upgrade Panel/Examiners being invited to reconsider their decision; or

      b) the appointment of a new Upgrade Panel/Examiners.

4.22   Where a request for a review is not upheld and is rejected, the Appeal Review Panel shall provide a clear reason for any decisions reached and confirm that the original decision being appealed against shall stand.

4.23   The student will normally be informed of the outcome of the Review Panel within **30 working days of** the Appeal Review Form being received by the Student Casework Team. There may be circumstances where, for good reason, UCL needs to extend this timeframe; if this occurs the Casework Team will inform the student and provide an indication of the extended timeframe.

5.   Completion of Procedures (COP)

5.1   The decision of an Appeal Review Panel is the final stage of this Procedure for consideration of an academic appeal. At this point, students who remain dissatisfied with the outcome have the right to submit a complaint to the OIA for Higher Education. Students should refer to the OIA Website to establish whether their complaint is something that the OIA would consider. A complaint must be submitted to the OIA within 12 months of the UCL's final decision.

5.2   A Completions of Procedures (COP) letter will be provided where a decision not to uphold (reject) an appeal as an outcome at Stage 2. A COP letter will not automatically be issued where an appeal is deemed out of time, considered to have no grounds, is concluded at Stage 1, or is upheld at any stage of the Procedure. A COP letter can be issued to a student upon request.

6.   Proceedings for an Appeals Panel and/or an Appeal Review Panel Hearing

6.1   In cases where an in-person hearing is considered necessary, the process relating to the proceedings of a hearing and outcome decisions set out in paragraph 3.19 by the Appeals Panel and/or paragraph 4.21 by the Appeal Review Panel will apply.

6.2   The student will be invited to attend the hearing and is entitled to be accompanied by a "Friend". A "Friend" who must be a UCL student or member of staff of UCL or Students' Union UCL by way of support. The accompanying person's capacity at the hearing is to provide moral support and would not normally make representations nor cross-examine on behalf of the student at the panel hearing.

6.3   Legal representation is not normally permitted at any stage of the procedure; the Academic Appeals Procedure is internal to UCL and is not considered unduly formal. If the student requests to be legally represented at a panel hearing because of the complexity of the case, UCL will consider this on an exceptional basis. The student must make their request at least 5 working days before the panel hearing and must include details of their proposed representative. UCL reserves the right to arrange its own legal representation in connection with the case. The student remains responsible for ensuring that any statements, evidence, or representations made throughout the Procedure by their legal representative are accurate and are responsible for meeting any costs associated with their own representation.

6.4   If a student does not attend a panel hearing, having declared an intention to do so, the Panel has the right to reach a decision in the absence of the student without further notice. In this event, the student shall have no grounds for appeal, or for seeking a further hearing solely based on their non-attendance at the panel hearing.

6.5   A representative from the relevant Faculty will be invited to attend the hearing to present the reason for the Board of Examiners of the equivalent academic body (Postgraduate Research) decision, to provide any necessary information which might not have been included in the Faculty response and to respond to any new material introduced, which at the Stage 2 Appeal Review stage is only permittable permissible by the Chair. If the Faculty representative is unable to attend, the panel hearing may proceed in their absence.

6.6   The student will be informed no later than **10 working days** in advance of the hearing taking place. A student may object procedurally to any member of the panel hearing on one or more of the criteria specified in paragraphs 3.13, 3.16, 4.15 or 4.17. Any

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procedural objections must be submitted to the Casework Team within **3 working days** from the notification of the hearing membership being sent. That member may, at the discretion of the Casework Team, be required to withdraw and may be replaced.

6.7   All documentation relating to the appeal will normally be received by all parties no later than **5 working days** before the panel hearing. No further documentation will be accepted for consideration by the Panel after this time except at the discretion of the Chair.

6.8   A member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Panel. All documentation will be passed through the Secretary and there will be no direct communication, either written or verbal between the Panel and the student or the Faculty representative.

6.9   An additional member of staff from UCL Student and Registry Services may be appointed by the Registrar to support and advise a Panel as necessary in respect of the UCL Academic Regulations for Manual and/or other relevant UCL regulations and procedures, according to the nature of the appeal.

6.10   Where necessary, an independent expert in the field of study or related discipline may be appointed, subject to the agreement of all parties, to advise the Panel either verbally or in writing.

6.11   At the start of the panel hearing, the Chair shall summarise the procedure and the conduct of the panel hearing. The Chair has the discretion to manage the panel hearing as they consider appropriate to ensure:

(i)   Fairness, allowing each party an equal opportunity to make statements and to be questioned about the appeal, or the appeal review;
(ii)   seek further clarification of the written evidence or statement from one or both parties, where considered appropriate;
(iii) that the student, if present, is given the opportunity to make the final statement before concluding the hearing.

6.12   The student and the Faculty representative will each be present when the other is speaking. Only in exceptional circumstances, and with the agreement of all parties, will individuals be heard separately.

6.13   Neither party shall be present when the Panel deliberates on its decision. The decision of a Panel will be reached by a majority vote. In the event of a tie, the Chair of the Panel shall have a second or casting vote. The standard of proof for the Panel when reaching a decision is on the balance of probabilities.

6.14   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.

6.15   The Panel members, in the absence of all other parties except the Secretary to the panel hearing, can consider the matter and reach a decision in accordance with this Procedure.

6.16   A single written record of the meeting and reasons for any decision reached will normally be made by the Secretary for the purpose of providing a factual record.

6.17   The Panel may adjourn for a period not exceeding **5 working days** for the purpose of reaching its decision and/or deciding upon the appropriate action to be taken.

7. Disclosure and Confidentiality

7.1 UCL will process all information in accordance with its [Student Privacy Notice](#) the principles the General Data Protection Regulation (GDPR). Appeals will be handled with an appropriate level of confidentiality. Information should only be released for the purposes of consideration or responding to the appeal. No third party should be told more than is necessary about the appeal to obtain the required information from them. The outcome of the Procedure will be communicated to members of staff deemed appropriate by the Casework Team, for instance, to implement upheld appeals, either after, or at the same time as the student has been informed.

7.2 The outcomes and recommendations from appeals may be shared across the University for institutional learning and reporting purposes, for instance to Academic Board. However, personal information will be removed and handled in accordance with the Student Privacy Notice.

8   UCL Student Complaints Procedure

Contact: Casework Team, Student and Registry Services (casework@ucl.ac.uk)

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APPENDICES	
1	Guide to University procedures
2	Support Provisions
3	Unacceptable complainant behaviour; malicious, vexatious or frivolous complaints

UCL's Student Complaints Procedure ('the Procedure' hereafter) has been prepared in accordance with the QAA's Quality Code on Concerns, Complaints and Appeals (November 2018). It was drafted in consultation with the Students' Union UCL and the current version was approved by UCL Council on 10 June 2022 to apply to student complaints made from 1 September 2022. This version supersedes all previous versions. The Procedure is written and maintained by Student and Registry Services.

1   INTRODUCTION

1.1   UCL is committed to providing a high-quality educational experience for all students. The university recognises however that from time to time problems do arise, and welcomes the opportunity to correct mistakes and to respond constructively when students are dissatisfied with a particular service or other aspect of UCL provision. Where a complaint is upheld, we will where possible seek to put things right for a student. If a complaint is not upheld, we will give reasons for the decision.

1.2   Many complaints can be resolved at an informal and/or local level. In the first instance, the most effective approach is usually for the student to take the matter directly to the member of staff best able to deal with it. Alternatively, the UCL Student Mediator is available to provide the opportunity to discuss concerns before escalating them into a formal complaint. Guidance on the services offered by the Student Mediator can be found at Appendix 2. Students are generally expected to have pursued an appropriate early resolution prior to bringing a formal complaint.

1.3   Where an early resolution has not resolved the issue, students may enter the formal procedure at Stage One [see Section 5]. If, at the end of Stage One, a student is still not satisfied that a complaint has been adequately addressed, they may be able to request a Stage Two review of the outcome [see Section 7]. UCL's Student Complaints Procedure concludes with Stage Two. Once the UCL Procedure has been exhausted students have the right to submit their complaint for independent external review by the Office of the Independent Adjudicator for Higher Education (OIA) [see Section 8].

1.4   The Procedure is not a legal process. It serves primarily as the formal mechanism through which consideration can be given to whether or not UCL has applied its regulations and/or procedures correctly and/or delivered its services to students satisfactorily, and whether any decision arrived at was both reasonable and proportionate.

1.5   Where there is dispute over the facts of a case, the standard of proof to be applied shall be the balance of probabilities.

1.6   Legal representation is not permitted at any meeting held under this Procedure. If a student initiates legal proceedings against UCL, any complaint on the same or a related matter will normally be paused until those proceedings are complete.

1.7   Where appropriate, we will make reasonable adjustments at any stage of the proceedings to accommodate the needs of students with protected characteristics. Students with any particular requirements should write to casework@ucl.ac.uk so that we can discuss any adjustments that may be necessary.

1.8   Responsibility for the day-to-day operation of this Procedure lies with the Student Casework Team, who are based in Student and Registry Services. The Student Casework Team can be contacted at any time at casework@ucl.ac.uk.

2   SCOPE AND TIME LIMITS

Who may complain under this Procedure

2.1   This Procedure can be used by all registered students[1] of UCL. Recent graduates or students on interruption, placement or a year abroad may also submit complaints about UCL provision so long as they are within the timescales set out at Paragraph 2.6.

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[1] For the purposes of this Procedure a 'registered student' is defined as either a full-time, part-time, affiliate or intercollegiate student, including those on a flexible mode of attendance, taking a recognised programme of study leading to a formal award, or undertaking a 'short-course' under UCL's Life Learning Regulatory Framework (Academic Manual, Chapter 10). Complaints about intercollegiate modules are often most

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2.2   Complaints from students registered at partner institutions relating to provision by UCL, or from registered UCL students relating to the provision of another institution in the context of intercollegiate programmes, should use the procedures referred to in their programme specific terms and conditions, where these apply to the programme or refer to the additional terms of the memorandum of agreement of the partnership.

2.3   Complaints from groups of students can be considered under this Procedure. Group complaints should be submitted on a single Complaint Form signed by all complainants, with one individual nominated to act as the point of contact for the process. We will communicate with the nominated student, who will be responsible for keeping the group informed about the progress of the complaint.

Matters which cannot be addressed under this Procedure

2.4   The following matters cannot be considered under this Procedure:

   a)   complaints about Students' Union UCL. The Students' Union is a separate legal entity from UCL with its own complaints procedure;[2]
   b)   complaints from third parties, ie those who are not included in 2.1–2.3 above. Members of the public may use UCL's Public Complaints Procedure;[3]
   c)   complaints about bullying and/or harassment by members of UCL staff. Allegations of this nature will be dealt with under the UCL Prevention of Bullying, Harassment and Sexual Misconduct Policy and should be submitted to HR via Report and Support;
   d)   complaints about other UCL students. Where appropriate, evidence of misconduct by other students will be considered under UCL's Disciplinary Code and Procedure in respect of Students[4] (in the case of non-academic misconduct) or the Student Academic Misconduct Procedure[5] (in the case of academic misconduct);
   e)   complaints which, by their nature, are more appropriately addressed by third parties, for example a government organisation such as the Home Office or Student Finance England. Such organisations generally have their own complaints procedures and it is their organisational procedure which must be followed where UCL has no role in the decision-making process;
   f)   anonymous complaints. Please refer to UCL's Public Interest Disclosure Policy[6] for information on how to address matters in this way.

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appropriately addressed in the first instance through the procedures of the institution responsible for delivering that module. Students on programmes delivered with an external organisation should use the procedures referred to in their programme-specific terms and conditions, where these apply to the programme. Students are invited to contact the Casework Team via casework@ucl.ac.uk.

[2] http://studentsunionucl.org/how-to-guides/how-to-make-complaints-about-union

[3] https://www.ucl.ac.uk/academic-manual/chapters/chapter-6-student-casework-framework/section-11-public-complaints-about-ucl

[4] https://www.ucl.ac.uk/academic-manual/chapters/chapter-6-student-casework-framework/section-2-disciplinary-code-and-procedure-respect

[5] https://www.ucl.ac.uk/academic-manual/chapters/chapter-6-student-casework-framework/section-9-student-academic-misconduct-procedure

[6] https://www.ucl.ac.uk/hr/docs/public_interest_disclosure.php

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Time Limits

2.5   Students are encouraged to submit a complaint as soon as possible after the event in question, as this facilitates timely investigation and enables UCL to take prompt corrective action where necessary. At the most, complaints *must* be submitted within **three months** of the event giving rise to the complaint. Complaints submitted beyond this timeframe will be deemed to be out of time and will not be considered unless there <u>are compelling reasons supported by independent evidence to demonstrate</u> why the complaint was not raised in a timely manner. Where a complaint is deemed out of time, UCL will issue a Completion of Procedures Letter on request, noting the reason why the complaint was not considered and advising the student that they may be able to make a complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

2.6   Formal complaints from former students or recent graduates should be submitted to the Casework Team for the attention of the Executive Director of Student Services and Registrar. The Complaint and supporting evidence must be received within **three months** of leaving UCL. Former students or recent graduates must provide compelling reasons for not raising the complaint within three months. Complaints received after this time will not normally be considered. The Executive Director of Student Services and Registrar (or nominee) has the sole discretion to consider complaints more than three months after the matter being complained of and will only be considered in exceptional circumstances.

2.7   We are committed to dealing with all complaints as quickly as reasonably possible and will seek to follow the time limits set out in this Procedure. Students can expect that UCL will normally have completed its consideration of a complaint within 60 working days of its submission. However, from time to time there may be valid reason for a delay, particularly in more complex cases. In such circumstances students will be informed of any delay and the reason for it.

3.   ADVICE AND SUPPORT

3.1   Students are welcome to seek advice or clarification on the operation of the Procedure from the Student Casework Team. The Casework Team however is not in a position to provide support with the drafting of complaints as this would conflict with their role in the process.

3.2   Where appropriate, a student may prior the submission of a formal complaint request mediation to help resolve their complaint. This can be done by contacting the UCL Student Mediator (see Appendix 2). The Student Mediator can also provide ways to resolve student concerns before they escalate into formal complaints such as provide information or suggest solutions where mediation is not an option.

3.3   In cases where a student and/or the Department or Faculty may want to seek an early resolution the Student Mediator and/or the Department or Faculty will normally liaise with the Student Casework Team if a resolution is being sought within **three months** of the event giving rise to a possibly of a formal complaint. In exceptional circumstances, the timescales set out in this Procedure may be put on hold usually for no longer than a further 25 working days where the student and/or the Department or Faculty is reasonably satisfied that an early resolution can be sought. At the conclusion of an attempt at an early resolution, and where proportionate, the Department or Faculty should write to the student setting out the outcome. This can then be made accessible to those dealing with any formal complaints at a later stage.

3.4   Most students accessing this Procedure are adults, and UCL's contract is with the student. For this reason, we request that students personally liaise with the relevant officers regarding their case unless there is good reason preventing them from doing so. We cannot accept complaints made on behalf of students by UCL staff, staff at partner providers (including providers of work placements), parents, or other third parties. In an exceptional case where a third party does represent a student, written consent is required from the student (except where they are incapacitated and unable to give consent) before any information in connection with the case is disclosed. UCL's consent to such arrangements may be withdrawn at any time if the behaviour of a third party is not appropriate. We will only communicate with one party at a time.

3.5   The sole purpose of any inquiries made under this Procedure will be to investigate the complaint by the student; the Procedure will not in any way constitute or be seen to constitute a disciplinary process against the member(s) of staff or UCL department, faculty or service concerned.

4.   DISCLOSURE AND CONFIDENTIALITY

4.1   We will deal with complaints discreetly and sensitively and students will be treated without discrimination or disadvantage. It is nevertheless necessary to provide aspects of the written complaint and supporting evidence to any relevant members of staff whose response is required in order to address the complaint fully. Where a complaint is taken forward and concerns the actions of an individual member of UCL staff, that individual will be given the opportunity to respond. That individual will also have the right to be accompanied and/or assisted at any related meeting by a 'friend', who must be a member of the UCL community[7]. The role of the friend is to provide moral support during a meeting or hearing. They cannot make representations nor cross-examine any other party at a meeting of the Complaints Panel.

4.2   The outcome of the Procedure will be communicated to anyone who has been deemed the subject of the complaint by the Student Casework Team, following the issue of the decision to the student.

4.3   In some rare cases a duty to breach confidentiality may exist, typically where it is necessary for the safety of the student or of other people. Students will be required, as part of their submission of a complaint, to give explicit consent to the above approach to the operation of disclosure.

4.4   Advice has been taken to ensure that this Procedure complies with the standards set out in the General Data Protection Regulation (GDPR), which became effective in May 2018.

5.   STAGE ONE: SUBMISSION AND CONSIDERATION OF COMPLAINT

5.1   If, following attempts of an early resolution, a student wishes to pursue a formal complaint, they must complete a Complaint Form (available at https://www.ucl.ac.uk/academic-manual/chapters/chapter-6-student-casework-framework/section-8-ucl-student-complaints-procedure) and submit this via casework@ucl.ac.uk with any relevant supporting documentation. We are not able to initiate this Procedure until a signed Complaint Form has been received. Simple notice of an intention to complain given in writing by a student within the prescribed timeframe shall not be deemed to constitute a formal complaint and will not be accepted.

5.2   This Procedure relates to complaints about UCL. In submitting a Complaint Form the student is requested to specify the nature of the matter complained about according to the following definition for the purpose of this Procedure:

        a) a **complaint** relates to an expression of dissatisfaction by one or more student about an action of UCL, or lack of action, or about the standard of service provided by UCL.

5.3   Complaints concerning alleged deficiency in teaching/supervision and/or unsatisfactory delivery/administration of a programme of study may not be considered if received after the student's results have been confirmed by UCL's Education Committee or Research Degrees Committee and published on Portico. Students dissatisfied with this aspect of UCL's delivery are expected to raise the issue at the time.

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[7] Defined as a person who is a currently enrolled student of UCL, a member of staff of UCL, or a member of the Students' Union UCL.

Submission of the Complaint Form

5.4   In submitting a [Complaint Form](#), students should state clearly what it is that they are complaining about, why they are dissatisfied, and what it is that they would like to see done to resolve this issue. The complaint should encompass everything that the student would like to see addressed; new elements cannot be introduced later in the process. If a complaint relates to several different issues, students should ensure that these are clearly distinguished.

5.5   All sections of the Complaint Form must be completed by the student. If a form is incomplete is missing any necessary information, it will be returned to the student for completion. The timescales outlined in this Procedure will only begin once a fully completed Complaint Form has been received.

5.6   Students are encouraged to submit relevant supporting documentation and evidence with their Complaint Form. The Casework Team is unable to seek evidence on a student's behalf. It is the student's responsibility to provide this with the complaint. A translation (undertaken by an accredited translator) must be provided for any material not in English – untranslated documents cannot be considered. Where the documentation includes data relating to third parties, we reserve the right to redact or remove such material before proceeding, so far as is practicable without undermining the substance of the complaint.

5.7   The completed Complaint Form should be submitted casework@ucl.ac.uk. The Student Casework Team will acknowledge receipt and will conduct an initial assessment of the case against the scope and criteria set out in the Procedure. If, in the view of the Casework Team in consultation with the Chair of the Complaints Panel, this assessment indicates that there are no valid grounds for consideration of the matter under the Procedure, the student will be advised of the reasons for this within ten UCL working days[8] of receipt.

5.8   Where it is considered that the matter should more properly be considered under a different Procedure (Paragraph 2.4) the student will be informed of this within ten UCL working days and the complaint will not be progressed. By agreement with the student, the matter may be referred direct to the appropriate UCL office-holder for consideration under the relevant procedure.

5.9   In cases involving both academic and non-academic matters, it may be necessary to inform the student that elements of the complaint will not be progressed. By agreement with the student, the matter may be referred for consideration under the relevant procedure. Wherever practicable, however, the complaint will be considered as a single entity and a single Outcome Letter or Completion of Procedures Letter issued addressing the complaint. The student will be informed in the outcome letter or Completion of Procedures letter that elements that constitute academic matters pertaining to an academic appeal cannot be considered within this Procedure.

Consideration of the Complaint

5.10   Where the initial assessment of a complaint shows that it is eligible for consideration under this Procedure, the Student Casework Team will review the complaint. The student will be notified within ten UCL working days of receipt of the complaint whether the matter will be progressed. Where a complaint raises multiple issues, we reserve the right to progress part of a complaint and inform the student that matters that constitute matters outside the scope of this Procedure cannot be considered.

5.11   If it is decided not to proceed with the complaint, Student Casework Team will inform the student in an Outcome Letter, giving reasons for this decision. A student who is dissatisfied with this decision may request a review under Stage Two (Section 7).

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[8] 'UCL Working Days' means all days except weekends, bank holidays, and periods of UCL closure at Easter and Christmas.

5.12   Where a complaint is progressed, the Casework Team will submit the Complaint Form and any supporting documentation to the relevant academic unit or Professional Services division with a request for a written response. This will normally be submitted to the Head of the unit or division concerned with a request that they co-ordinate a response from the relevant colleagues. Where the nature of the complaint is such that in the opinion of the Casework Team a named individual would be most able to respond, the complaint may be sent to that member of staff directly. In developing its response the department may consult any members of staff who are able to provide relevant information. In the case of academic complaints, the relevant Faculty Tutor will also receive a copy of the complaint.

5.13   The written response will be requested within ten UCL working days of notification. This timescale may be subject to extension where circumstances require and where the response is felt to be necessary in order to respond to the complaint satisfactorily. The Casework Team reserves the right however to proceed to a decision if the department's response is not forthcoming by the stated deadline.

5.14   The response from the department concerned will be forwarded to the student, who will be given five UCL working days to comment on any matters of factual accuracy. This does not constitute an opportunity to introduce new elements into the complaint which have not previously been considered and on which the members of staff concerned have not had an opportunity to comment. This timescale may be subject to extension where circumstances require and on the agreement of the Casework Team. The Casework Team may however proceed with taking a decision if the response is not forthcoming by the stated deadline.

5.15   The Casework Team will then determine whether a decision on the complaint can be reached on the basis of the written material. In cases where a decision can be taken, the Casework Team will notify all parties, in the form of an Outcome Letter, normally within ten UCL working days of the student's comments on factual accuracy (Paragraph 5.17). The Outcome Letter will confirm whether the complaint has been upheld, partially upheld, or not upheld, and will give reasons for the decision and details of any action UCL proposes to take as a result.

5.16   Where a student is dissatisfied with the decision of the Casework Team, they may apply for a review by the Complaints Review Panel (Section 7 below).

5.17   Where the Casework Team conclude that further consideration of the complaint is necessary, or where it is not possible to reach a suitably informed decision without discussion with the parties concerned, the Casework Team will refer the matter to a meeting of the Complaints Panel (Section 6 – Complaints Panel refers).

6.   THE COMPLAINTS PANEL

Operation and Membership

6.1   Where the complaint is referred to a meeting of the Complaints Panel ('the Panel' hereafter), the Panel will consider the complaint and in so doing will:

(i) accord equal procedural treatment to both or all parties concerned;

(ii) seek further clarification of the written evidence from whomever it feels appropriate;

(iii) interview the parties concerned.

6.2   The membership of the Panel will be as follows:

- the Chief Operations Officer/Executive Director of Student Services and Registrar (or nominee) *[Chair]*
- a senior manager selected from one of the Professional Services Divisions or Schools/Faculties or

- a senior member of staff drawn from a list approved by Academic Committee, usually a Faculty Tutor/Faculty Graduate Tutor from a Faculty other that with the student is registered
- a student representative (normally a Sabbatical Officer of Students' Union UCL).

6.3   The appointment of Panel members will be made with regard to considerations of an appropriate balance of diversity.

6.4   A member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Panel. All documentation will be passed through the Secretary and there will be no direct communication, either written or oral, between the Panel and either the student or the member or members of staff concerned.

6.5   An additional member of staff from UCL Student and Registry Services may be appointed by the Registrar to support and advise a Panel as necessary in respect of UCL's Academic Regulations for Students and/or other relevant UCL regulations and procedures, according to the nature of the complaint.

6.6   Where necessary, an independent expert in the field of study or related discipline may be appointed, subject to the agreement of all parties, to advise the Panel either orally or in writing.

Conduct of Complaints Panel Meetings

6.7   The conduct of a Complaints Panel meeting will be determined by the Chair of the Panel in order to ensure that the complaint is heard in such manner as s/he considers appropriate and fair.

6.8   All documentation relating to the complaint will normally be received by all parties no later than ten UCL working days before the meeting of the Panel. No further communications of any sort will be accepted for consideration by the Panel after this time except at the discretion of the Chair.

6.9   A single written record of the meeting will normally be made by UCL for the purpose of providing a factual record in the event of the decision going to Review.

6.10   Both the student and the member(s) of staff concerned are entitled to be present throughout a Panel meeting except when the Panel deliberates on its decision. Only in exceptional circumstances, and with the agreement of all parties, will individuals be heard separately. Each party will be entitled to be accompanied[9] during the Panel meeting by a 'friend' as defined at Paragraph 4.1.

6.11   Requests by either the student or member(s) of staff concerned to call witnesses will be decided by the Chair of the Panel. Where agreed, the presence of either party (or of witnesses) at a Panel may be through virtual means such as video or telephone conferencing.

6.12   If any party fails to attend the Panel meeting, the Panel may proceed and determine the complaint in the absence of that party.

The Decision of the Complaints Panel

6.13   The decision of a Panel will be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.

6.14   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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[9] Where a complainant is under 18 years of age they *must* be accompanied to any meeting by a parent, guardian or other responsible adult.

6.15   The Panel may adjourn for a period not exceeding five UCL working days for the purpose of reaching its decision and/or deciding upon the appropriate action to be taken.

6.16   The Panel will complete a written statement of its findings and decision, in the form of an Outcome Letter, normally to be issued within ten UCL working days of the date of the meeting. The Panel is authorised to impose a solution on the officers of the area of UCL in which the complaint occurred, including where appropriate a recommendation for a Suspension of the Regulations. Any compensating action proposed in the light of the complaint will not be implemented until it is clear if a review of the Panel's findings will be made and, if so, until the outcome of the review is known.

6.17   Subject to the rights of review, all decisions made in accordance with these procedures shall be binding on all parties.

7.   STAGE TWO: COMPLAINT REVIEW

7.1   Stage Two will only be initiated once Stage One has been completed. The purpose of the review stage is not to reinvestigate the complaint itself but to address concerns about the decision, on any of the grounds set out at 7.4 below.

7.2   A student holding an Outcome Letter, either following a meeting of the Complaints Panel or following a decision taken by the Casework Team, may under certain circumstances apply for a review of that decision. In order to apply for a review the student must complete a Complaint Review Form and submit it to the Student Casework Team within ten UCL working days of the date of the Outcome Letter. A Complaint Review submitted beyond this timeframe will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the review was not requested in a timely manner. Where a Complaint Review is deemed out of time, UCL will issue a Completion of Procedures Letter on request, noting the reason why the Complaint Review was not considered and advising the student that he/she may be able to make a complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

7.3   The student must sign and date the Complaint Review Form, and include a statement explaining why they remain dissatisfied, attaching where appropriate any new evidence. All sections of the Complaint Review Form must be completed by the student and include a statement explaining why they remain dissatisfied, attaching where appropriate any new evidence. The Casework Team is unable to seek evidence on a student's behalf. It is the student's responsibility to provide this. A translation (undertaken by an accredited translator) must be provided for any material not in English – untranslated documents cannot be considered.

7.4   Students should note that a disagreement with the decision reached on their complaint does not in itself constitute grounds for seeking a review. Requests for a review of a decision can only be submitted on the grounds of:

(i) *procedural irregularity* in the way in which the decision was reached;

(ii) *new evidence* that was not available during consideration of the complaint and where it would have been impossible for that evidence to have been made available at the time;

(iii) the decision was not reasonable given the circumstances of the case

7.5   If a Complaint Review Form is not received within 10 working days, we will assume that the student does not wish to request a review. Where a student subsequently requests a Completion of Procedures Letter, UCL will issue a Completion of Procedures Letter, noting that the student did not engage with the Complaint Review procedures in a timely manner and advising the student that he/she may be able to make a complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

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7.6   A member of the Student Casework Team with no previous involvement with the case will acknowledge receipt of the Complaint Review Form and will assess the application to determine whether there are grounds for a review under Paragraph 7.4.

7.7   Where, in the view of the Casework Team, the information submitted contains no grounds for further consideration of the complaint by a Complaints Review Panel, the student will be informed of this and will be issued with a Completion of Procedures letter within ten UCL working days of the receipt of the Review Form.

7.8   If the facts of the case indicate that the complaint decision did not take into account all the relevant information which had been provided by the student, a member of the Casework Team with no previous involvement with the case, may issue an Amended Outcome Letter which details any new or additional action UCL proposes to take.

7.9   There shall be no right to request a further review of the outcome as set out in the amended Outcome Letter. On receipt of the Amended Outcome Letter, if the student is dissatisfied with the outcome, the student may request a Completion of Procedures Letter be issued which will advise the student that he/she may be able to make a complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

7.10   Where the information submitted contains grounds for further consideration of the complaint by a Complaints Review Panel, a member of the Student Casework Team with no previous involvement with the case will refer the matter to the members of the Complaints Review Panel.

7.11   The constitution of the Panel will be as follows:

        a)   a Vice-Provost or the Chief Operating Officer (Chair), or nominee;
        b)   a Students' Union UCL Sabbatical Officer;
        c)   a senior member of staff from a list approved by the Academic Committee.

        Those appointed to the Panel will not have had any prior involvement in the case.

7.12   The Complaints Review Panel will proceed as follows:

        a)   Where the Review is granted on the grounds of new evidence, the Chair of the Complaints Review Panel will determine within five UCL working days whether a further response from the Department, Faculty or Service concerned is required. Where such a response is deemed necessary, the review material will be sent to the Department within two UCL working days, together with a full copy of the original complaint and Outcome Letter, with a request for a response within ten UCL working days;
        b)   Where the Review is granted on the grounds of procedural irregularity or where a case is made that any compensating action was inadequate, the Review paperwork and original complaint will be sent within two UCL working days to the individual who was Chair of the Complaints Panel under Stage One, with a request for a response within ten UCL working days;
        c)   after receipt of any responses under (a) and (b) above, the Complaints Review Panel will consider the review application and the response.

7.13   The Complaints Review Panel may carry out its work by correspondence, or may arrange a meeting by agreement between its members. In either case, a member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Review Panel.

7.14   Where the Complaints Review Panel will carry out its work by correspondence, the Panel will make a determination which will be communicated to the student and all other relevant parties by the Secretary, normally within three working weeks of the receipt of the Complaints Review Form.

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7.15   In cases where a meeting is deemed necessary, the procedures relating to the conduct of meetings and the confirmation of a decision by the Complaints Panel (Paragraphs 6.7 – 6.17) will apply, with the exception that the outcome will be confirmed in a Completion of Procedures letter rather than an Outcome Letter.

7.16   The Complaints Review Panel will have the power to reverse or modify the decision reviewed in any way that it thinks fit, or to direct that the matter be referred back to the original Panel for reconsideration.

7.17   A Completion of Procedures Letter will normally be issued five UCL working days after a decision is reached on the Stage Two review. If this timescale is to be extended for any reason, the student will be advised of this in writing.

8.   OFFICE OF THE INDEPENDENT ADJUDICATOR

8.1   The outcome of the Complaint Review will conclude UCL's consideration of the complaint and will be confirmed in the form of a Completion of Procedures letter.

8.2   When a student has received a Completion of Procedures letter confirming that the internal procedures of UCL have been concluded, they have the right to submit their complaint for review to the Office of the Independent Adjudicator for Higher Education (OIA) if they remain dissatisfied. A student choosing to do this must do so no later than twelve months from the date of the Completion of Procedures letter, using the OIA's Scheme Application form. The procedures and the form are available from the website of the OIA: https://oiahe.org.uk or from the UCL Students' Union Advice Service (who will also be able to provide advice and assistance).

9   Student Academic Misconduct Procedure

9.1   Introduction and Scope of Application

1. The Student Academic Misconduct procedure sets out how UCL will investigate and penalise any conduct which is considered to breach UCL's assessment regulations and which is likely to give an unfair advantage to the candidate and/ or affect the security of assessments and/ or affect the integrity of the degrees awarded by UCL.

Scope

2. These procedures apply to all current and former taught students of UCL, including Undergraduates, Taught Postgraduates and Postgraduate Research Students.
3. The Student Academic Misconduct Procedure applies to all methods of assessment and to both summative and formative assessment.
4. Any instances of Research Misconduct by taught or research students in work intended for publication will be investigated under UCL's Procedure for Investigating and Resolving Allegations of Misconduct in Academic Research.
5. Incoming Intercollegiate and Affiliate students will normally be subject to the procedures of their home institution in cases where a penalty more severe than a mark   reduction is under consideration. If UCL identifies Academic Misconduct, the information will be shared with the home institution.
6. UCL students studying modules at other institutions are subject to the host institution's Academic Misconduct procedures. The host institution should provide UCL with information on any cases of Academic Misconduct committed by a UCL student, including the penalty imposed. Resulting issues of progression and award on the UCL degree should be decided by the relevant UCL Board of Examiners.
7. Students studying at another institution with a formal Academic Partnership with UCL are subject to the procedures as outlined in the individual Memorandum of Agreement.
8. Wherever in the procedures a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or their nominee' are to be understood.
9. Where the procedures refer to the 'Department', this should be taken to also mean any departmental equivalents within UCL's organisation structures, such as Division or Institute, and Departmental Tutor and Departmental Panel should be interpreted accordingly.
10. Where the procedures refer to the Departmental Tutor, this may be delegated to the Programme Leader or Exam Board Chair.
11. Students may seek advice on their case or the procedures from the Students' Union UCL Advice Service.
12. Where successful completion of a programme of study will lead to part or full professional accreditation, membership of a professional body, or the right to practise professionally, UCL retains the rights to notify the relevant professional body and/or any UCL fitness to practise officer or panel to which such power has been delegated, of any proven Academic Misconduct.

Guiding Principles

13. In considering allegations of Academic Misconduct adjudicators should apply "on the balance of probabilities" as the standard of proof.
14. Where allegations of suspected Academic Misconduct are being investigated, Departments should, where possible, check all available summative work the student has submitted within the same assessment period.
15. Under no circumstances during any stage of the Academic Misconduct procedure will a student be granted an additional attempt at assessment beyond those normally permitted.
16. In investigating allegations of Academic Misconduct adjudicators can make use of TurnItIn software and submit the work of the student to it.
17. In cases of involving falsification of third-party evidence (i.e., medical evidence) the Adjudicator may verify this with the provider whilst ensuring obligations to confidentiality are maintained at all times.

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18. Extenuating Circumstances will not normally be considered relevant in determining whether Academic Misconduct has occurred.
19. Academic Misconduct and Extenuating Circumstances should be considered independently to one another with neither outcome being dependent on the other.
20. A claim that Academic Misconduct has been committed unintentionally or accidentally cannot be considered as a defence to an allegation of Academic Misconduct.
21. If, after investigation, no case of Academic Misconduct is found against a student, no record will be kept on the student's official record. Where a student is found to have committed Academic Misconduct, this will be placed on their official record.

9.2   Definitions

1. Academic Misconduct is defined as any action or attempted action that may result in a student obtaining an unfair academic advantage. For the purposes of this procedure this includes, but will not necessarily be restricted to, the following:
   a) Examination Room Misconduct, including:
      i. The use or possession of unauthorised books, notes, software, electronic devices, paper, or other materials in an examination other than those permitted in Chapter 4, Part B: Student Regulations for Exams and Assessments.
      ii. The unauthorised marking or annotation of any materials authorised for use in an examination (such as the Candidate Card Printout), or writing notes on hands, or other parts of the body.
      iii. Reading or writing before the start of the examination (with the exception of student information on the answer book front cover and examination envelope), or writing after the one minute allowance has passed.
      iv. The unauthorised removal of an examination script or stationery in any state from the examination room except by a person with the designated authority.
      v. Any attempt to confer with or gain access to the script of any other candidate during the period of the examination.
      vi. Any attempt to gain access to or tamper with examination envelopes, answer books, question papers or other examination stationery before or after submission.
      vii. Removing oneself from the examination room during the period of an examination without permission from a member of staff.
      viii. Causing a disturbance or disrupting the examination process
   b) Online Assessment Misconduct, including:
      i. Any use of unauthorised material.
      ii. Any unauthorised communication or attempted communication with other students or third parties in relation to the assessment.
      iii. Discussion or sharing of assessment content with other students or third parties.
      iv. Unauthorised collaboration with other students or third parties.
      v. Copying or attempting to copy from another student's work.
      vi. Any attempt to confer with or gain access to the script of any other candidate during the period of the assessment.
   c) Plagiarism: defined as the representation of other people's work or ideas as the student's own without appropriate referencing or acknowledgement.
   d) Self-Plagiarism: defined as the reproduction or resubmission of a student's own work which has been submitted for assessment at UCL or any other institution. This does not include earlier formative drafts of the particular assessment, or instances where the department has explicitly permitted the re-use of formative assessments but does include all other formative work except where permitted.
   e) Collusion: defined as the unauthorised collaboration by two or more students on any assessment.
   f) Any attempt to gain access to the assessed coursework of any other candidate with or without the knowledge of the other candidate, unless authorisation to do so has been given by the module convenor.
   g) Falsification: defined as the fraudulent creation, alteration or misrepresentation of data, or any other information. This includes falsification of word count.

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h) Contract Cheating: defined as commissioning a piece of assessment to be carried out by a third party or knowingly using a commissioned piece of assessment. Students should be aware that it is a criminal offence to advertise or provide Contract Cheating services, and UCL would normally report this to the Police.

i) Falsification of Extenuating Circumstances.

j) Any conduct that is likely to affect the security of assessments.

k) Any attempt to tamper with coursework after submission.

l) Impersonation (including attempted, solicited or attempts at soliciting impersonation) in any form of assessment.

m) Any other conduct that would give an unfair academic advantage to a student.

2. For the purposes of this procedure, the following will not be considered Academic Misconduct:

a) Poor Academic Practice: Where it is established that the student has not yet received teaching or guidance on Academic Misconduct and the use of referencing protocols, instances of plagiarism may be considered under the Poor Academic Practice procedures in 9.4.1.

b) Language and Writing review: defined as having a third-party or software check areas of academic writing such as structure, fluency, presentation, grammar, spelling, punctuation, and language translation. However, this may be considered Academic Misconduct if substantive changes to content have been made by the reviewer or software or at their recommendation, which would suggest that the reviewer had either produced or determined the substantive content of the submission, or, in cases of language translation, if the student is being assessed on their ability to translate or use a language other than English.

c) File Sharing: defined as the sharing of files or data between two or more students as part of authorised collaboration. However, this may be considered Academic Misconduct if File Sharing occurs between students where collaboration is not authorised.

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9.3 Adjudication and Penalty Framework

1. The following framework indicates who should adjudicate the offence being considered, and the penalties that are within scope.
2. The choice of penalty from within the permitted range will be a matter of academic judgment left to the discretion of the adjudicating body.
3. Academic Misconduct will be considered a second offence if a penalty has already been received for any prior offence which has taken place during the degree programme on which the student is registered.
4. "Component" in the framework below refers to a Component as defined in Chapter 7, Part A, Section 3.1.1: Components.

Description of Offence	Extent of Misconduct	Procedure	Penalties within scope	Consequential considerations
Plagiarism/Self-Plagiarism (first offence) Collusion (first offence)	Up to and including 10% of the component consists of offending material	Module Convenor	A reduction of marks for the component in which the offence took place by 10 percentage points or one letter grade.	The 10 percentage points reduction should be applied to both pass and fail marks. Any plagiarised content should be excluded from the marking of the component. If it is established, at the time or subsequently, that the penalty prevents the progression or award of a student, the misconduct must be referred to a Departmental Panel.
Plagiarism/Self-Plagiarism (first offence) Collusion (first offence)	More than 10% and up to and including one third of the component consists of offending material	Programme Leader, Departmental Tutor or Exam Board Chair	The component in which the offence took place be given a mark of 0.00%/Grade F.	If it is established, at the time or subsequently, that the penalty prevents the progression or award of a student, the misconduct must be referred to a Departmental Panel.
Plagiarism/Self-Plagiarism (first offence) Collusion (first offence)	More than one third of the component consists of offending material.	Departmental Panel (owning the affected module)	1. The component in which the offence took place be given a mark of 0.00%/Grade F. OR 2. The module in which the offence took place be given a mark of 0.00%/Grade F.	If there are remaining attempts, the student should be reassessed by the same Method as the first attempt, but a new Task must be set as outlined in Chapter 4, Part A, Section 9.4: Resitting a Module. The reassessment will be capped at the pass mark. Under exceptional circumstances the Faculty Tutor may give approval to waive the reassessment requirement, or require the student to resubmit a revised version of their assessment.
Falsification (first offence)				
Plagiarism/Self-Plagiarism (second or subsequent offence) Collusion (second or subsequent offence)	Up to and including one third of the component consists of offending material.	Departmental Panel (owning the affected module)	The module in which the offence took place be given a mark of 0.00%/Grade F.	If there are remaining attempts, the student should be reassessed by the same Method as the first attempt, but a new Task must be set as outlined in Chapter 4, Part A, Section 9.4: Resitting a Module. The reassessment will be capped at the pass mark.

Description of Offence	Extent of Misconduct	Procedure	Penalties within scope	Consequential considerations
Plagiarism/Self-Plagiarism (second or subsequent offence) Collusion (second or subsequent offence) Falsification (second or subsequent offence) Falsification of Extenuating Circumstances Examination Misconduct Online Assessment Misconduct Any attempt to gain access to or use the assessed work of another candidate without that candidate's knowledge. Any attempt to tamper with coursework after submission. Impersonation	More than one third of the component consists of offending material.	Academic Misconduct Panel	1. The module in which the offence took place be given a mark of 0.00%/Grade F. OR 2. Suspension from UCL for the remainder of the Academic Year. OR 3. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student may be permitted to receive an interim qualification if eligible. OR 4. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student will not be permitted to receive a qualification, even if eligible.	If there are remaining attempts, the student should be reassessed by the same Method as the first attempt, but a new Task must be set as outlined in Chapter 4, Part A, Section 9.4: Resitting a Module. The reassessment will be capped at the pass mark. Where a student is suspended from UCL they will forfeit any remaining first attempts, and return as a repeating student with those remaining assessments capped.
Contract Cheating		Academic Misconduct Panel	1. Suspension from UCL for the remainder of the Academic Year. OR 2. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student may be permitted to receive an interim qualification if eligible. OR 3. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student will not be permitted to receive a qualification, even if eligible.	Where a student is suspended from UCL they will forfeit any remaining first attempts, and return as a repeating student with those remaining assessments capped.

Description of Offence	Extent of Misconduct	Procedure	Penalties within scope	Consequential considerations
Plagiarism, Collusion, or Falsification by a Research student in work presented for upgrade or final examination.		Academic Misconduct Panel	1. The student fails the upgrade or final examination but may be permitted to resubmit if they are still permitted a further opportunity within the regulations of their research programme. OR 2. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student may be permitted to receive an interim qualification if eligible. OR 3. The student is excluded from UCL and is not permitted to re-enrol on any other programme at UCL. The student will not be permitted to receive a qualification, even if eligible.	
Any other conduct that would give an unfair academic advantage to a student. Any conduct which was likely to affect the security of the assessment.		Academic Misconduct Panel	Any of the penalties mentioned above depending on the nature of the misconduct.	

9.4 Procedures

9.4.1 Module Convenor - Poor Academic Practice

1. Where the Module Convenor is presented with evidence of the representation of work or ideas as the student's own without appropriate referencing or acknowledgement, they must determine whether this amounts to Plagiarism or Poor Academic Practice with reference to 9.2.2 above.
2. Where the Module Convenor deems the evidence to amount to Poor Academic Practice, they must take the following action to address this:
   i) Require the student to undertake UCL's Understanding Academic Integrity course; and
   ii) Require the student to meet with the Departmental Tutor, Departmental Graduate Tutor or Programme Leader to discuss the Poor Academic Practice and receive warning that any further instances of Poor Academic Practice would be deemed to amount to Academic Misconduct and penalised as outlined in 9.3; and
   iii) Require the student to present the work in question with corrections to address all of the Poor Academic Practice. If the student fails to present such work the matter will be dealt with as one of plagiarism. Presenting the corrected work will not count as another assessment 'attempt'. The original mark awarded to the work prior to the corrections being made will stand but will only be entered formally on the record once the corrected version of the work has been presented; and
   iv) Ensure that the Poor Academic Practice is recorded on the module minutes in Portico.

9.4.2 Module Convenor - Standard Procedure

1. Where an allegation of Academic Misconduct is initially made, the Module Convenor must first determine the appropriate Adjudication process as outlined in 9.3.
2. Determination of the extent of plagiarised material is a matter of academic judgment to be made by the Module Convenor. TurnItIn reports will be relevant but not conclusive evidence in this regard.
3. Where the matter falls within the adjudication scope of the Module Convenor and, after investigation, Academic Misconduct is found to have been committed, the Module Convenor will apply the penalty indicated in the Adjudication and Penalty Framework table (see 9.3 above).
4. Where the penalty imposed would prevent the progression or award of a student the misconduct must be referred to a Departmental Panel.
5. The Module Convenor should formally notify the student of the decision, or that the case has been referred onto a Departmental Panel, within 10 working days of the allegation being made.
6. Where a penalty is applied, the Module Convenor must ensure that this is recorded on the module minutes in Portico.
7. Where the matter falls outside the adjudication scope of the Module Convenor, the Module Convenor must refer the case to either the Departmental Tutor, a Departmental Panel, or the Academic Misconduct Panel, as prescribed in Section 9.3.
8. In referring a case onto the Departmental Tutor, Departmental Panel, or Academic Misconduct Panel for consideration, the Module Convenor must send the following:
   i) An Academic Misconduct Report Form, with Parts 1 and 2 completed (see annex 6.9.1);
   ii) A copy of the affected assessment, where applicable annotated or highlighted to identify the extent of the Academic Misconduct.
   iii) Any other evidence relevant to the case.
9. Students may appeal against the decision of the Module Convenor under the procedures outlined under 9.5 Appeals Process.

9.4.3 Departmental Tutor – Standard Procedure

1. Where the matter falls within the adjudication scope of the Departmental Tutor and, after investigation, Academic Misconduct is found to have been committed, the Departmental Tutor or their nominee will apply the penalty indicated in the Adjudication and Penalty Framework table (see 9.3 above), unless the penalty imposed would prevent the progression or award of a student, in which case the misconduct must be referred to a Departmental Panel.
2. Where the penalty imposed would prevent the progression or award of a student the misconduct must be referred to a Departmental Panel.
3. The Departmental Tutor should formally notify the student of the decision, or that the case has been referred onto a Departmental Panel, within 10 working days of the allegation being made.
4. Where a penalty is applied, the Departmental Tutor must ensure that this is recorded on the module minutes in Portico.
5. In referring a case onto a Departmental Panel or the Academic Misconduct Panel for consideration, the Departmental Tutor must send the following:
   i) An Academic Misconduct Report Form, with Parts 1 and 2 completed (see annex 6.9.1);
   ii) A copy of the affected assessment, where applicable annotated or highlighted to identify the extent of the Academic Misconduct;
   iii) Any other evidence relevant to the case.
6. Students may appeal against the decision of the Departmental Tutor under the procedures outlined under 9.5 Appeals Process.

9.4.4 Departmental Panel

1. Where a case of Academic Misconduct is referred to a Departmental Panel, the Chair of the Board of Examiners for the module concerned should appoint a secretary from the same Department, who will be responsible for all communications, completion of Parts 3 and 4 of the Academic Misconduct Report Form, circulation of documentary evidence, and organisation of the panel.
2. The Secretary must provide the student with the following:
   i) A copy of all documentary evidence relating to the case;
   ii) Part 1 of the Academic Misconduct Report Form;
   iii) A link to these Student Academic Misconduct Procedures;
   iv) An invitation to the Departmental Panel, outlining the date, time, and location;
   v) A request to the student to submit a statement, which must be received no later than two working days before the Departmental Panel;
   vi) A statement confirming that the student may bring a 'friend' who must be a member of staff at UCL, Students' Union Advisor, or a student currently registered at UCL. The person may be legally qualified but they will not be acting in a legal capacity. The person must not be a member of the Academic Misconduct decision or panel procedure.
3. A Departmental Panel should be organised within four working weeks of the student being informed of the alleged Academic Misconduct, unless either of the following applies:
   i) There are reasonable circumstances that make this impractical, in which case the student must be kept informed of this; or
   ii) The student has reasonable grounds to request a postponement of the panel hearing to a later date.
4. The Departmental Panel should be constituted as follows:
   i) Chair of the Board of Examiners owning the affected module (acting as Chair); and
   ii) At least two other members of staff from the Department not directly involved in the teaching of the affected module(s);
   iii) Where possible, the Faculty Tutor, the Faculty Graduate Tutor, or their nominee, will be invited to act as an observer;

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Where determined by the Chair that the disciplinary expertise is required on the panel a member of staff from the Department directly involved in the teaching of the affected module(s) may join in an advisory capacity;
Where the affected module is delivered by a Department other than the student's own, the Chair of the Board of Examiners for the student's Home Department or their nominee.

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The quorum for the Departmental Panel must be three including the Chair.
The Secretary must provide to the panel all documentary evidence and statements relating to the case.
There must be no communication in relation to the allegations, either written or oral, between the Departmental Panel and either the student or the member(s) of staff involved in the affected module.
The purpose of the Departmental Panel will be to investigate the grounds on which the allegation has been made; decide, on the balance of probabilities, whether Academic Misconduct has occurred and, if so, determine which penalty to impose as per the Adjudication and Penalty Framework table (see 9.3 above).
The decision of the Departmental Panel will be by majority vote and, in the case of a tie, the Chair of Departmental Panel will have the casting vote.
Where a penalty is imposed on a student, the following action must also be taken:
<ol type="i">
Require the student to undertake UCL's Understanding Academic Integrity course; and
Require the student to meet with the Departmental Tutor, Departmental Graduate Tutor or Programme Leader, to discuss the Academic Misconduct and receive warning that any further instances of Academic Misconduct may have severe consequences as outlined in 9.3.

The Secretary should inform the student of the Departmental Panel decision informally within one working day of the hearing, send formal notification including the completed Academic Misconduct Report Form (excluding Part 2) within one working week and record this on the module minutes in Portico.
Students may appeal against the decision of the Departmental Panel under the procedures outlined under 9.5 Appeals Process.

9.4.5 Departmental Panel – Investigatory Viva (Contract Cheating and Collusion)

Where there is suspicion of Contract Cheating or Collusion, the Chair of the Departmental Panel may, with the approval of the Faculty Tutor, initiate an investigatory viva.
The student should be informed that there is an allegation of Academic Misconduct and be invited to an investigatory viva as soon as practicable, consideration being given to the timing of the student's other assessments.
The viva should be conducted by the Departmental Panel which should inform the student whether or not the case will proceed within five working days of the viva taking place.
For cases of Contract Cheating, if prima facie evidence of lack of authorship is found to exist, the Departmental Panel must forward the outcome of the Investigatory Viva (see annex 6.9.2) and all of the relevant documentation to the Secretary of the Academic Misconduct Panel to be considered under the Academic Misconduct Panel procedures (see 9.4.7 below).
For cases of Collusion, the Departmental Panel must forward the outcome of the Investigatory Viva (see annex 6.9.2) and all of the relevant documentation to the appropriate Adjudicator outlined in the Adjudication and Penalty Framework (see 9.3 above).

9.4.6   Academic Misconduct Panel – Examination Misconduct special procedure

1. Where an allegation of Examination Misconduct is made, UCL Examinations or the Department organising the examination must provide the Academic Misconduct Panel Secretary with the following:
    i)   For centrally-organised examinations, the Supervisor Report Form.
    ii)   For Departmentally-organised examinations, an Academic Misconduct Report Form, with Parts 1 and 2 completed (see annex 6.9.1);
    iii) A student statement, taken at the time the misconduct is found;
    iv)   A supervisor statement, taken at the time the misconduct is found;
    v)   Any other evidence relevant to the case;
2. All cases of Examination Misconduct will be considered under the Academic Misconduct Panel procedures (see 9.4.8 below), with the exception of the following minor Examination Hall Misconduct which will result in the student being issued with a Hall Warning:
    i)   Opaque pencil cases or staplers;
    ii)   Food, hot drinks, alcoholic drinks or carbonated drinks (except on medical grounds with prior approval);
    iii) Use of an E-cigarette;
    iv)   Use of ear plugs (except UCL-issued ear plugs provided on medical grounds with prior approval);
    v)   Wearing of headgear (except on religious grounds).
3. In consultation with the Director of Education Services or Director of Student Operations as appropriate, some cases of Examination Misconduct may be considered to be of a minor or technical nature, and under those circumstances will not be considered under the Academic Misconduct Panel Procedures.
4. The Academic Misconduct Panel Secretary will inform the student of this, and remind the student they must strictly to observe the examination regulations.

9.4.7   Academic Misconduct Panel

1. Where a case of Academic Misconduct is referred to an Academic Misconduct Panel, the Secretary of the Academic Misconduct Panel (appointed by the Registrar, Student & Registry Services) will be responsible for all communications, circulation of documentary evidence, and organisation of the panel.
2. The Secretary must provide the student with the following:
    i)   A copy of all documentary evidence relating to the case;
    ii)   Where applicable, Part 1 of the Academic Misconduct Report Form;
    iii) A link to these Student Academic Misconduct Procedures;
    iv)   An invitation to the Academic Misconduct Panel, outlining the date, time, and location;
    v)   A request to submit a statement, which must be received no later than two working days before the Academic Misconduct Panel;
    vi)   A statement confirming that the student may bring a 'friend' who must be a member of staff at UCL, Students' Union Advisor, or a student currently registered at UCL. The person may be legally qualified but they will not be acting in a legal capacity. The person must not be a member of the Academic Misconduct decision or panel procedure.
3. The student's statement, with any other information provided by the student, will be sent to the Chair of the Board of Examiners for the module concerned, who will be invited to reply to any points raised in the statement which have not been covered in the information so far received by the Secretary.
4. An Academic Misconduct Panel should be organised within four working weeks of the student being informed of the alleged Academic Misconduct, unless either of the following applies:

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       i)   There are reasonable circumstances that make this impractical, in which case the student must be kept informed of this; or

       ii)   The student has reasonable grounds to request a postponement of the panel hearing to a later date.

5. The Academic Misconduct Panel should be constituted as follows:
     i)   The Pro Vice-Provost (Education & Student Experience) or, in the case of Research Students, the Pro Vice-Provost (Doctoral School and Early Career Researchers) who shall be Chair of the Panel. The Chair may delegate to a nominee; and
     ii)   A Faculty Tutor or Faculty Graduate Tutor nominated by the Chair of the Panel who should neither be from any Department involved nor Chair of any Board of Examiners involved, unless it is determined that the disciplinary expertise is required on the panel; and
     iii)   A Sabbatical Officer of the [Students' Union UCL;](#) and
     iv)   The Director of Education Services or Director of Student Operations as appropriate.

6. The quorum for the Academic Misconduct Panel must be three including the Chair.

7. The Secretary must provide to the panel all documentary evidence relating to the case.

8. There must be no communication in relation to the allegations, either written or oral, between the Academic Misconduct Panel and either the student or the member(s) of staff involved in the affected module. Any such communication by any party directly with members of the Academic Misconduct Panel will not be admitted as part of the case documentation.

9. An audio recording of the hearing will be taken for the purpose of providing a factual record in the event of the hearing going to appeal.

10. The purpose of the Academic Misconduct Panel will be to investigate the grounds on which the allegation has been made, decide on the balance of probabilities whether Academic Misconduct has occurred and, if so, determine which penalty to impose as per the Adjudication and Penalty Framework table (see 9.3 above).

11. The decision of the Academic Misconduct Panel will be by majority vote and, in the case of a tie, the Chair of Academic Misconduct Panel will have the casting vote.

12. Where a penalty other than expulsion is imposed on a student, the following action must also be taken:
     i)   Require the student to undertake UCL's Understanding Academic Integrity course; and
     ii)   Require the student to meet with the Department to discuss the Academic Misconduct and receive warning that any further instances of Academic Misconduct may have severe consequences as outlined in 9.3.

13. The Secretary should inform the student of the Academic Misconduct Panel decision informally within one working day of the hearing, send formal notification including the completed Academic Misconduct Report Form (excluding Part 2) within one working week and record this on the module minutes in Portico.

14. Students may appeal against the decision of the Academic Misconduct Panel under the procedures outlined under 9.5 Appeals Process.

15. The Secretary of the Academic Misconduct Panel will submit an annual report to Education Committee outlining the decisions made across UCL at all levels.

9.5   Appealing an Academic Misconduct Decision

1. An appeal against an Academic Misconduct decision will only be heard if it is based on one or more of the following grounds:
   i) The decision or panel process was not conducted in accordance to the procedures;
   ii) Fresh evidence has become available which was not available and could not reasonably be available for consideration during the decision or panel process.
   iii) The decision was not reasonable given the circumstances of the case.

2. Students must, within 10 working days of receiving formal notification of the decision, send notification to appeal (see annex 6.9.4) to the Casework Team

(casework@ucl.ac.uk), providing all documentation regarding the appeal, any statements they wish to make, and the grounds on which the appeal is being made.

3. No further communications will be accepted for consideration under an appeal after 10 working days of the contested decision being made.

4. Upon receipt of the appeal the UCL Student Casework Team will approach the student's Department and make a request for documentation relating to the allegation of Academic Misconduct. Once this documentation has been obtained it should be presented to the Chair of the Academic Misconduct Appeals Panel who will review the casefile. The student making the appeal should also receive the documentation obtained from the Department.

5. If it is decided not to proceed with the appeal, the Casework Team will inform the student of the decision of the Chair of the Appeals Panel, giving reasons, normally within five working days of receiving it. If an appeal is not taken forward a Completion of Procedures letter must be issued.

6. For allegations of Academic Misconduct considered by a Departmental Tutor, Chair of a Board of Examiners, Module Leader or Programme Leader, the Chair of the Appeals Panel may refer an allegation of Academic Misconduct to 9.4.4. of this Procedure, if it is felt that an allegation of Academic Misconduct requires further consideration by a Departmental Panel.

7. Where the appeal is being made against a Departmental Panel decision or Academic Misconduct Panel decision and it is decided that the appeal will be taken forward, the Casework Team will inform the student and 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 appeal. The student 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).

8. The constitution of an Appeals Panel should be as follows:
   i) The Pro Vice-Provost (Education & Student Experience) or, in the case of Research Students, the Pro Vice-Provost (Doctoral School and Early Career Researchers) who shall be Chair of the Panel. The Chair may delegate to a nominee; and
   ii) two members of academic staff to be nominated by the Chair of Academic Board; and
   iii) a Students' Union UCL Sabbatical Officer or nominee.

9. Members of the Appeals Panel must not have been involved in the decision or panel process against whose decision the appeal is made, nor a member of any Department involved, nor have assisted the student in any way with the presentation of their case at any stage.

10. The Chair of the Appeals Panel must be different to the Chair of the original decision or panel process under consideration e.g. where the Pro Vice-Provost (Education & Student Experience) chaired the original panel, they must nominate a different chair for the Appeals Panel).

11. The quorum for the Appeals Panel is three including the Chair.

12. The Secretary of the Appeals Panel will be appointed by the Registrar, Student & Registry Services, and must not have acted in any decision or panel process being appealed.

13. The Registrar, Student & 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 student's academic position.

14. The Chair of the original Panel or their nominee will also be invited to attend the Appeal hearing as a witness.

15. The Appeals Panel and all other parties should receive a statement of the grounds for appeal and a copy of the Report of the original proceedings and any other evidence relevant to the allegations in question as is considered appropriate.

16. A sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the matter going to further appeal with the Office of the Independent Adjudicator for Higher Education (OIA).

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17. An Appeals Panel has power to reverse or modify the decision appealed in any way that it thinks fit.
18. In reaching its decision an Appeals Panel should take into consideration the evidence provided.
19. The decision of an Appeals Panel must be reached by a majority vote of the members of the Panel and announced as the decision of the Panel.
20. The votes of individual Panel members must always be treated as confidential and there must be no disclosure either of individual votes or of information showing whether the decision was reached by a unanimous or a majority vote.
21. 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.
22. Within 10 working days of the conclusion of the hearing the Appeals Panel should notify the Casework Team, in writing, of the outcome of the appeal. The Casework Team will in turn notify all parties of the decision of the Appeals Panel and the decision will be included in an annual report on its proceedings submitted to UCL Education Committee.
23. A decision of an Appeals Panel will be final as far as internal UCL procedures are concerned.

9.6 Office of the Independent Adjudicator for Higher Education

1. When a student has received a Completion of Procedures letter confirming that the internal procedures of UCL have concluded, they have the right to submit a complaint for review to the Office of the Independent Adjudicator for Higher Education (OIA) if they are dissatisfied with UCL's decision.
2. A student choosing to do this must do so no later than twelve months from the date that a Completion of Procedures letter is issued, using the OIA's Scheme Application form. Students making a complaint to the OIA can seek advice and support from the Students' Union Advice Service.

10 Procedure for Student Fee Debts

It is a condition of the Student Relationship agreement with UCL that all fees are paid on time, and students are expected to arrange prompt payment to meet the required deadlines. Once an outstanding balance falls overdue, the student is deemed to be a debtor and UCL will undertake the appropriate measures for collection, as set out in the procedures below.

Overdue balances that result in debtor status will include, without limitation: tuition fees, accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

It should be noted that students are individually responsible for the settlement of all charges, including those invoiced to a sponsor, and that the procedures outlined in this guidance will apply equally to all such amounts.

Tuition Fee Debts

Students with a tuition fee debt to UCL will receive a series of e-mail reminders, via their UCL account, informing them of overdue balances and warning of possible future sanctions. Continued non-payment will lead to the withholding of access to selected services and facilities (library, computer access, building access) and may ultimately result in a suspension of registration. Debtor status relating to outstanding tuition fees will also affect a student's ability to re-enrol, graduate or receive any official UCL documentation. Once the balance of overdue tuition fees has been settled in full, a request is made for the sanctions to be lifted.

Students (current and former) are expected to monitor their Portico accounts for details of any tuition fee debts that might arise and to contact the Student Fees office with any queries, concerns or issues at the earliest opportunity.

Non-Tuition Fee Debts

For the avoidance of doubt non-tuition fees include, without limitation: accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

Academic sanctions (specifically those referred to in the section above) are not applied to non-tuition fee debts.

For such debts, students are expected to liaise with the relevant UCL Department to resolve outstanding issues and may be subject to other proportionate sanctions applied at a local level.

Further Procedures for the Collection of Debt

Ultimately, UCL reserves the right to engage a third party debt collection agency to facilitate recovery of any overdue balances and to pursue a legal claim where it is deemed appropriate.

11   Public Complaints about UCL

1. Persons other than current staff or students of UCL who wish to make a complaint about their experience of UCL should follow the advice below.
2. Anyone who wishes to make a complaint about her/his experience of UCL should try first to resolve the matter informally, in consultation with either the person who has caused the complaint, or with that person's line manager, or with another appropriate person within the area of UCL where the complaint has arisen. If a complaint cannot be resolved informally, the person wishing to make the complaint should put details of the matter causing complaint in writing to the Chief Operating Officer via casework@ucl.ac.uk. In order for a complaint to be considered, these details must normally be received by the Chief Operating Officer no later than one calendar month after the date on which the event causing the complaint occurred. If the form is received any later, the Chief Operating Officer will exercise discretion as to whether or not to investigate the matter.
3. The complainant is invited to indicate, if he/she wishes, the form of remedy which may be sought. While UCL will take such wishes into consideration in the resolution of the issue, this information is, nevertheless, given without prejudice to the final outcome.

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UCL Academic Manual 2022-23

Chapter 7, Part A: Qualifications and Credit Framework

Chapter 7, Part A is UCL's regulatory framework defining the underpinning structures of all Programmes leading to taught and research Qualifications at UCL.

1 Introduction

1. The University College London Qualifications and Credit Framework (QCF) defines the underpinning structures of all Programmes leading to taught and research Qualifications at UCL.
2. All UCL Qualifications and Programmes of Study must be aligned with the Qualifications and Credit Framework.
3. The QCF is a constituent part of the UCL Academic Manual which forms the basis of the contract between students and UCL.

1.1 Purposes

1. The main purposes of the QCF are:
   i. To promote a shared and common understanding of UCL Qualifications
   ii. To promote consistency in the use of Qualifications and credit across UCL faculties and departments
   iii. To provide a reference point for setting and assessing academic standards when designing, approving, monitoring and reviewing Programmes of Study and Modules
   iv. To ensure that UCL Qualifications are of an academic standard at least consistent with the standards referred to in the UK Framework for Higher Education Qualifications (FHEQ)
   v. To communicate to employers, schools, parents, prospective students, Professional, Statutory and Regulatory Bodies (PSRBs) and other stakeholders the achievements represented by the Qualifications of UCL
   vi. To inform international comparability of academic standards.

1.2 Reference Points

1. The Qualifications and Credit Framework is drafted with reference to the following:
   i. The UK Quality Code for Higher Education.
   ii. The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (FHEQ)
   iii. The Higher Education Credit Framework for England: Guidance on Academic Credit Arrangements in Higher Education in England
   iv. The Framework for Qualifications of the European Higher Education Area (FQ-EHEA)
   v. The European Credit Transfer System (ECTS) under the Bologna Declaration
   vi. The QAA Degree characteristics statements, including the Doctoral Degree Characteristics, the Masters Degree Characteristics and the Foundation Degree Characteristics
   vii. The requirements of Professional, Statutory or Regulatory Bodies (PSRBs) associated with particular Programmes of Study, some of which grant a licence to practise.

1.3 Key to Abbreviations

- **APL:** Accredited Prior Learning
- **ECTS:** European Credit Transfer System
- **EPL:** Experiential Prior Learning
- **FE:** Further Education
- **FHEQ:** The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies
- **FQ-EHEA:** Framework for Qualifications of the European Higher Education Area
- **FTE:** Full Time Equivalent
- **HE:** Higher Education
- **HEI:** Higher Education Institution
- **PSRB:** Professional, Statutory or Regulatory Body
- **QAA:** Quality Assurance Agency

- **QCF:** Qualifications and Credit Framework
- **QTS:** Qualified Teacher Status
- **RPL:** The Recognition of Prior Learning

See also Section 2: The Qualifications of UCL for Qualification abbreviations.

2 The Qualifications of UCL

The following Qualifications are accredited by University College London, granted under the ordinances and statutes of the University of London[1] and governed by this Qualifications and Credit Framework:

2.1 Further Education Qualifications

Level 3

- University Preparatory Certificate (UPC)

2.2 Undergraduate Qualifications

Level 4

- Certificate of Higher Education (Cert HE)

Level 5

- Diploma of Higher Education (Dip HE)
- Foundation Degree (FD)

Level 6 Bachelors Degrees

- Bachelor of Arts (BA)
- Bachelor of Arts and Sciences (BASc) (see Annex 7.10.1: BASc Qualification Descriptor)
- Bachelor of Education (BEd)
- Bachelor of Engineering (BEng)
- Bachelor of Fine Arts (BFA)
- Bachelor of Laws (LLB)
- Bachelor of Science (BSc)
- Integrated Bachelor of Science (iBSc)
- Intercalated Bachelor of Science (iBSc)
- Bachelor of Science (Economics) (BSc (Econ))
- Ordinary Degree (Bachelors without Honours)

Level 7 Bachelors Degrees

- Bachelor of Medicine, Bachelor of Surgery (MBBS)[2]

Level 7 Integrated Masters Degrees

- Master of Engineering (MEng)
- Master in Science (MSci)
- Master of Pharmacy (MPharm)

2.3 Graduate Qualifications

Level 6 Graduate Certificates

- Graduate Certificate (Grad Cert)

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[1] University of London Statutes, Ordinances and Regulations. Available from: http://www.london.ac.uk/fileadmin/documents/about/governance/ordinances/Ordinances_2015/Regulation_1_UoL_Awards.pdf [last accessed 04/02/14]

[2] The Bachelor of Medicine, Bachelor of Surgery (MBBS) was amended from Level 6 to Level 7 in 2021/22 to align with the FHEQ's classification of primary medical qualifications at level 7 in 2014. This change was backdated to 2016/17, and therefore all awards made from 2021/22 onwards will be at Level 7.

- Professional Certificate in Teaching and Learning in Higher and Professional Education (PCTL)

Level 6 Graduate Diplomas

- Graduate Diploma (Grad Dip)

Pre-Masters Programmes

- International Pre-Masters

2.4 Taught Postgraduate Qualifications

Level 7 Postgraduate Certificates

- Postgraduate Certificate (PG Cert)
- Postgraduate Certificate in Education (PGCE)

Level 7 Postgraduate Diplomas

- Postgraduate Diploma (PG Dip)
- Postgraduate Diploma in Education (PGDE)

Level 7 Taught Masters Degrees

- Master of Architecture (MArch)
- Master of Arts (MA)
- International Master of Arts (MA (International))
- Master of Arts and Sciences (MASc) (see Annex 7.10.2: MASc Qualification Descriptor)
- Master of Business Administration (MBA) (see Annex 7.10.3: MBA Qualification Descriptor)
- Master of Clinical Dentistry (MClinDent)
- Master of Education (MEd)
- Master of Fine Art (MFA)
- Master of Landscape Architecture (MLA)
- Master of Laws (LLM)
- Master of Planning (MPlan)
- Master of Public Administration (MPA)
- Master of Public Health (MPH)
- Master of Science (MSc)
- Master of Surgery (MS)
- Master of Teaching (MTeach)

2.5 Postgraduate Research Qualifications

Level 7 Research Masters Degrees

- Master of Research (MRes)
- Master of Philosophy (MPhil)
- Master in Philosophical Studies (MPhilStud)

Level 8 Doctorates

- Doctor of Philosophy (MPhil/ PhD)
- Doctor in Engineering (EngD)
- Doctor of Medicine (Research) (MD(Res))
- Doctor of Public Administration (DPA)

Level 8 Professional Doctorates

- Doctor in Clinical Psychology (DClinPsy)
- Doctor in Dentistry (DDent)

- Doctor in Education (EdD)
- Doctor in Educational Psychology (DEdPsy)
- Doctor in Educational and Child Psychology (DECPsy)
- Doctor in Orthopaedics (Doc.Orth)
- Doctor in Psychotherapy (DPsychotherapy)

Level 8 Integrated Doctorates

- Bachelor of Medicine, Bachelor of Surgery/ Doctor of Philosophy (MB PhD)
- Master of Research/ Doctor in Engineering (MRes/ EngD)
- Master of Research/ Doctor of Philosophy (MRes/ MPhil/PhD)

3 Framework Components

1. A number of components define the basic structures of all UCL Qualifications:

3.1 Qualification

1. A Qualification is a Doctorate, Degree, Diploma or Certificate accredited and conferred by UCL following the successful completion of an approved Programme of Study.
2. A Qualification must meet the minimum academic standards set out in Section 6: Threshold Qualification Requirements.
3. Qualifications may fall into one or more of the following categories:

   - **Exit Qualifications:** The full set of possible Qualifications associated with a Programme of Study, including the Final Qualification and any Interim and Alternative Qualifications.
   - **Final Qualification:** The intended Qualification from a Programme of Study which a student will be awarded if they meet all the Programme requirements e.g. BEng (Hons) Engineering.
   - **Interim Qualification:** A lesser Qualification made as a result of a student either leaving a Programme of Study early or failing to meet the requirements for the Final Qualification e.g. Cert HE Engineering. See Section 3.14: Interim Qualifications for further details.
   - **Alternative Qualification:** An Exit Qualification at the same Level as the Final Qualification, awarded where a student is unable to meet the specific requirements for the Programme of Study on which they initially enrolled but nonetheless meets UCL's minimum threshold standards for the award of a Qualification. Often used where a student does not meet the professional accreditation requirements associated with a Final Qualification. Includes a named, approved, alternative Field of Study e.g. BSc (Hons) Engineering Studies.

4. The form of the Qualification Title must signify both the Level of the Qualification and the broad discipline in which the study has been undertaken (e.g. Bachelor of Science). The Qualification Title is combined with the Field of Study to create the Degree Title e.g. Bachelor of Science in Engineering. A Programme of Study may have one or more Degree Titles associated with it, reflecting different Routes and Pathways.
5. Proposals for new Qualifications must be developed in line with the Qualifications and Credit Framework, approved by Academic Committee and incorporated into Section 2: The Qualifications of UCL and Section 6: Threshold Qualification Requirements.

3.2 Programme of Study (Programme)

1. A Programme of Study (Programme) is an approved, coherent path of study with specified learning outcomes leading to a specified Qualification in a specified Field of Study.
2. New Programmes must be aligned to Section 6: Threshold Qualification Requirements, which describe the typical characteristics of the main groups of UCL Qualifications, and approved by the Programme and Module Approval Panel on behalf of Education Committee.
3. Programmes may include some of the following characteristics:

   - **Route:** A Route is a formal, named specialism within a Programme leading to a discrete Field of Study e.g. BSc Human Genetics would be a Route within the BSc Biological Sciences Programme. A Route has a specific curriculum structure, typically defined by the different Option and Elective Modules available within the Programme, and is discretely defined in the Student Record System and on the student's degree certificate and transcript.
   - **Pathway:** A Pathway is an informal specialism within a Programme or Route which guides students towards a particular area but which does not lead to a discrete Field of Study. A Pathway is typically defined by the different Option and Elective Modules available within the Programme but this Pathway is not recorded separately in the

Student Record System and does not appear on the student's degree certificate or transcript.

- **Cognate Programme:** A Cognate Programme is one which has a substantial volume of content and/ or teaching in common with another Programme e.g. BA (Hons) Greek and Latin would be considered cognate with BA (Hons) Latin since the Programmes have a substantial number of Modules in common.

3.3 Professional, Statutory and Regulatory Bodies

1. Many UCL Qualifications are recognised or accredited by Professional, Statutory or Regulatory Bodies (PSRBs):

- **Professional, Statutory or Regulatory Body:** A legally-recognised body which accredits, recognises, or endorses graduates from specific UCL programmes as qualified to act within a recognised profession or which leads to initial registration or supports enhanced registration with that body, e.g. the Royal Institute of British Architects or the General Medical Council.

2. These Qualifications must meet both UCL's Threshold Qualification Requirements (see Section 6) and the PSRB's requirements which may include additional learning hours, credits, assessments and Fitness to Practice procedures.
3. A Programme may require exemption from certain UCL regulations in order to comply with professional standards. All exemptions must be approved by Education Committee and detailed in the Portico Progression and Award Rules Tool.

3.4 Academic Partnerships

1. A UCL Programme may be offered in collaboration with an external organisation leading or contributing to the award of UCL academic credit and/or a UCL Qualification. The requirements for Academic Partnerships are defined in the UCL Academic Manual, Chapter 8: Academic Partnerships Framework.

3.5 Field of Study

1. The Field of Study reflects the nature of the Programme's curriculum and outcomes and, together with the Qualification Title, completes the Degree Title e.g. Bachelor of Science in Chemistry.
2. A Programme may incorporate one or more Fields of Study delivered on a Major/Minor, Combined (Joint) or Triple basis according to the following rules:

Degree Title Conventions
- **Single:** A Programme which comprises one subject or which reflects a combination of subjects presented as an integrated whole. The Degree Title should reflect the nature of the Programme curriculum and outcomes.
- **Combined (Joint):** A Programme with an approximately equal balance between two subjects. Subjects should be listed as approved in the Programme Summary and the conjunction 'and' used to join the two subjects.
- **Major/Minor:** A major subject accounts for at most three quarters of the Programme; a minor subject accounts for at least a quarter of the Programme, using a subject ratio between 2:1 and 3:1. The major subject should be listed first and the conjunction 'with' used to join the two subjects.
- **Triple (three subject):** A Programme with an approximately equal balance between three subjects. Subjects should be listed as approved in the Programme Summary with a comma separating the first two subjects and the conjunction 'and' used before the third subject.

3. Students failing to meet the requirements of a particular Programme of Study may be eligible for an Alternative Qualification with a different Field of Study.

3.6   Academic Level

1. Each Qualification must have an associated Academic Level which aligns with the Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (FHEQ) and the Framework for Qualifications of the European Higher Education Area (FQ-EHEA).
2. Programmes and Modules must be developed with reference to the Level Descriptors in Section 5 of this Framework. These describe the depth and complexity of each Academic Level and outline the academic skills, amount of prior knowledge and amount of learner autonomy required to pass a Programme or Module at each Academic Level.
3. The following table indicates the terminology associated with typical UCL Programmes; some Programmes may include a small amount of study at a higher or lower Academic Level:

Further Education	
UG Preparatory Certificate	Level 3
Undergraduate	
Cert HE	Level 4
Dip HE	Levels 4 and 5
Foundation Degree	Levels 4 and 5
Bachelors	Levels 4, 5, and 6
Integrated Masters	Levels 4, 5, 6, and 7
Graduate	
Grad Cert	Level 6
Grad Dip	Level 6
Taught Postgraduate	
PG Cert	Level 7
PGCE	Level 7
PG Dip	Level 7
PGDE	Level 7
Taught Masters	Level 7
Postgraduate Research	
Research Masters	Level 7
Doctorates	Level 8

3.7 Academic and Calendar Years

1. A Programme may run over an academic year or a calendar year, defined as follows:

Academic Year

- 1200 learning hours
- 120 credits
- 3 terms
- 30 weeks
- 40 hours per week
- September start date

Calendar Year

- 1800 learning hours
- 180 credits
- n/a (terms)
- 45 weeks
- 40 hours per week
- September, January or April start date

2. Undergraduate, Graduate and short Taught Postgraduate Programmes should follow an Academic Year.
3. Taught Masters, Research Masters and Doctoral Programmes should follow a Calendar Year, although some Programmes of more than a year's duration may be delivered on an Academic-year basis.
4. A Programme may include a different start date; this must be recorded in the Programme Summary.

Vacation Periods

5. The total Learning Hours include both Contact Hours (teaching sessions) and Independent Study.
6. **For programmes on an Academic Year structure:** Contact Hours must only take place during UCL Term Times. Students may be expected to undertake some Independent Study (e.g. working on assignments) outside of Term Time but not on UK Bank Holidays or UCL College Closure Days.
7. **For programmes on a Calendar Year structure:** Contact Hours should take place during UCL Term Times but may also take place during the Christmas, Easter and Summer breaks. Students are also expected to undertake Independent Study outside of Term Time. Departments must ensure that students are made aware of expectations at the start of the programme and must not schedule contact hours or expect independent study on UK Bank Holidays or UCL College Closure Days.

3.8 Credit and Learning Hours

1. Credit is awarded to a student on successful completion of the outcomes associated with a particular block of learning at a specified Academic Level, up to and including Level 7 Qualifications (Level 8 Qualifications are not credit-rated).
2. In line with the Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies (FHEQ), one credit equates to 10 notional learning hours.
3. Credits must be converted to the European Credit Transfer System (ECTS) using the following ratio:

   - 1 FHEQ credit = 0.5 ECTS credits = 10 notional learning hours

4. A Programme of Study must meet the minimum credit requirements for the Qualification being awarded. This includes:
   a) The total amount of credit required for the Qualification
   b) The maximum amount of credit which may be taken at the lowest Academic Level
   c) The minimum amount of credit which must be taken at the Level of the Qualification.
5. A Programme may set higher thresholds, for example where it includes a year abroad or a placement year, or where a Professional, Statutory or Regulatory Body requires it. Where this is the case, the rationale for the variable structure must be scrutinised at Programme approval and clearly defined in the Portico Progression and Award Rules Tool.
6. The following table outlines the minimum credit requirements associated with each main group of UCL Qualifications:

Qualification	FHEQ Credits	ECTS Credits	Learning Hours	Max. credit at lowest Level	Min. credit at Level of Qualification
Certificate of Higher Education	120	60	1200	120 at Level 4	120 at Level 4
Diploma of Higher Education	240	120	2400	150 at Level 4	90 at Level 5
Foundation Degree	240	120	2400	150 at Level 4	90 at Level 5
Ordinary Degree (Bachelors without Honours)	300	150	3000	150 at Level 4	60 at Level 6
Bachelors with Honours	360	180	3600	150 at Level 4	90 at Level 6
Integrated Masters with Honours	480	240	4800	150 at Level 4	120 at Level 7, 90 at Level 6
Graduate Certificate	60	30	600	15 at Level 5	45 at Level 6
Graduate Diploma	120	60	1200	30 at Level 5	90 at Level 6
Postgraduate Certificate	60	30	600	15 at Level 6	45 at Level 7
Postgraduate Diploma	120	60	1200	30 at Level 6	90 at Level 7
Taught Masters	180	90	1800	30 at Level 6	150 at Level 7
Research Masters	180	90	1800	30 at Level 6	150 at Level 7

3.9 Modes of Study

1. The Mode of Study comprises several factors: the intensity of study, the location of study (in relation to the UCL campus) and, possibly, fixed period study arrangements.
2. Each Programme will have a defined set of Modes of Study, which must be determined as part of the Programme approval/amendment process.

The Intensity of Study

- **Full-time:** Students study for 40 hours per week. Additionally students retaking a year will be deemed Full-time, when retaking more than half of the activity of the year.
- **Part-time:** Students study at a structured rate per week, normally half the rate of Full-time study. Additionally students retaking a year will be deemed Part-time when retaking half or less of the activity of the year.
- **Flexible:** The number of Modules studied in a given year is determined by the student, in agreement with their Department. There will be a specified maximum time in which the student must complete.

The Location of Study

- **Campus-based:** Students are required to attend UCL for enrolment and some scheduled activities, such as lectures, seminars, tutorials etc.
- **Distance Learning:** Students are not required to attend UCL for enrolment nor scheduled activities. Students have access to UCL libraries, facilities and learning support. All teaching, learning and assessment activities take place away from UCL.
- **Mixed-mode:** Students attend as Distance Learning and then change to Campus-based (or vice versa). This change may occur multiple times within the student's Programme of Study, and will either be at set points within the Programme or will be determined by student Module selection.
- **Non-resident (Postgraduate Research Students only):** Students study primarily away from campus, and are required to attend UCL on a limited number of occasions in order to meet their supervisor and attend the meetings for upgrade and assessment.

Note: Location of Study in this context relates to the UCL Campus(es) and not to the country in which a student is based.
Note: Distance Learning is the term used by UK government agencies. Within UCL this may be referred to in other ways, such as "non-campus".

Fixed Period Study Arrangements

- **Integrated Placement or Study Abroad:** Students spend a defined period of time studying in another country or undertaking a professional or industrial placement within the minimum number of credits needed to complete the UCL Qualification, as defined in Section 6: Threshold Qualification Requirements. See Sections 3.15 and 3.16 for further details.
- **Extra-mural/ Additional Placement or Study Abroad:** Students spend an additional period of time, either on a professional or industrial placement or studying in another country. The period is taken in addition to the minimum number of credits needed to complete the UCL Qualification. See Sections 3.15 and 3.16 for further details.
- **Study Leave (Postgraduate Research Students only):** Students can apply to spend a defined period of time away from UCL undertaking research related to their Field of Study.

3.10 Modules

1. Modules are self-contained, credit-rated blocks of learning and teaching which make up a taught Programme of Study. The Programme Diet must specify the range of Modules which students must undertake in order to achieve the Final Qualification and any Interim or Alternative Qualifications, including different Routes and Pathways.

Non-modular Programmes

2. In exceptional circumstances, and where there is a clear pedagogic rationale, a Programme may be Non-Modular **subject to approval by UCL Education Committee or its nominee**. Such Programmes are subject to differential regulations with regards to Progression, Award, Classification etc., as defined in Chapter 4, Part A: Assessment Regulations for Taught Programmes.

Credit-Weighting

3. All Modules should include a single, defined credit-weighting; students will be awarded the credit upon successful completion of the Module and the number of credits will be used to weight each Module mark in the calculation of a student's Progression, Award and Classification.
   a) **Subject to approval by UCL Education Committee or its nominee**, a Module may be non-credit-bearing – for example in the case of Supplementary Modules, Placement Modules or Study Abroad Modules.
4. On modular Undergraduate, Graduate and Taught Postgraduate Programmes, Modules should carry a credit-weighting of 15, 30, 45 or 60 credits.

a) Undergraduate Dissertations and Masters Dissertations/ Substantive Projects may carry a higher credit-weighting e.g. 60 or 90 credits on a one-year Taught Masters or 105-150 credits on a one-year Research Masters Programme (pro-rata for longer or extended Masters Programmes).

b) Subject to approval by UCL Education Committee or its nominee, a Programme may include larger or smaller Modules, or Modules which are not based on multiples of 15 credits. A clear rationale must be provided as differential Module sizes can limit student choice and prevent students from undertaking Modules in other Departments and Faculties.

Module Level

5. A Module must be assigned an Academic Level (e.g. Level 6) determining the difficulty of the Module, and the Marking Criteria, Marking Scale, Pass Mark and Condonable Range applicable to the Module.

6. A Module may be offered at more than one Academic Level (e.g. Level 6 or Level 7). Students may be taught in the same classroom, but the Marking Criteria, Marking Scales, Pass Marks and Condonable Ranges must be set at the correct Academic Level for each group of students.

Module Characteristics

7. In relation to a Programme of Study, a Module may include one or more of the following characteristics:

- **Compulsory:** Modules which students must take to successfully complete a particular Programme or Route.
- **Option:** Specific, limited collections of Modules from which students may choose within their Programme of Study.
- **Elective:** Broad collections of Modules which may be thematically grouped, from which students may choose, and which may be from outside their main Programme of Study.
- **Supplementary:** Additional, non-credit-bearing Modules e.g. synoptic or comprehensive papers, generic skills Modules etc. The marks from such Modules must not be included in the degree Classification calculation.
- **Prerequisite:** A specified preparatory Module which must have been successfully completed for a student to enrol on a subsequent Module.
- **Co-requisite:** A specified Module which must be taken at the same time as another Module.
- **Restricted:** A Module which cannot be taken by students on specified Programmes, Routes or Pathways e.g. a Module with very similar content to one already undertaken.
- **Condonable:** Condonement is the award of credit for a Module despite the Pass Mark not having been achieved, provided other certain criteria have been met. All Modules should be eligible for Condonement, The Condonable Range of marks is defined by the Qualification on which the student is enrolled. The volume of credit which may be condoned is defined by the Programme on which the student is enrolled.
- **Non-condonable:** Subject to approval by Education Committee, a Module may be designated as Non-condonable if it is:
    - A Compulsory Module and/ or
    - A Module necessary for Professional Accreditation and/ or
    - An Undergraduate Dissertation and/ or
    - A Masters Dissertation/ Substantive Project.
  Students must pass all Non-condonable Modules on their Programme.

8. Chapter 4, Part A: Assessment Regulations for Taught Programmes includes further details about the specific requirements for a student to pass a Module, and how Module marks are combined to determine Progression, Award and Classification.

3.11   Components

1. A Module may include one or more Components. Components may be equally weighted, or some may carry a higher weighting than others (e.g. Essay 60%, Presentation 40%).
2. Components may be Formative or Summative; the marks from Summative Components are used to determine the overall Module mark.
3. A Component may be designated as Non-condonable i.e. the Component must be passed in order to pass the Module, for example as a requirement of Professional Accreditation. Non-condonable Components are only possible on Non-condonable Modules.
4. Chapter 4, Part A: Assessment Regulations for Taught Programmes includes further details about the assessment of Formative and Summative Components.

3.12   Taught Elements on Research Programmes

1. Non-modular Research Masters (e.g. MPhil) may include training in research methods or transferable skills which require attendance at lectures and seminars.
2. Doctorates by research (MPhil/PhD and EngD) are not modular but may include training in research methods or transferable skills which require attendance at lectures and seminars.
3. Professional Doctorates are not modular but typically include a taught element, a research element and practicum assignments and assessments. Students must demonstrate satisfactory attendance and performance in each element.

3.13   Progression and Continuation

Progression on Undergraduate Programmes

1. **Progression** applies to Undergraduate Programmes running over multiple Academic Years and multiple Academic Levels. Taught Postgraduate and Graduate Programmes must not include Progression Requirements.
2. Progression is typically defined as the successful completion of one Academic Level and approval to commence the next Academic Level. However, as UCL's Undergraduate Programmes do not necessarily include a direct correlation between Academic Years and Academic Levels, in practice 'Progression' is determined at the end of each Academic Year.
3. A student must meet minimum standards in order to Progress to the next Academic Year; UCL's threshold requirements are set out in Chapter 4, Part A: Assessment Regulations for Taught Programmes. Any specialist requirements for an individual Programme over and above these thresholds must be approved by UCL Education Committee or its nominee, and be clearly defined in the Portico Progression and Award Rules Tool.

Continuation on Taught Postgraduate and Graduate Programmes

4. **Continuation** applies to some Taught Postgraduate and Graduate Programmes which run over multiple Academic or Calendar Years. Programmes are not obliged to include Continuation Requirements.
5. Continuation is defined as approval to commence a subsequent year of study at the same Academic Level.
6. Programmes may include Continuation Requirements which define the threshold academic standards which a student must meet in order to continue to the next year. Continuation Requirements are defined at Programme Level. They must be approved by UCL Education Committee or its nominee, and be clearly defined in the Portico Progression and Award Rules Tool.
7. It should be noted that some Taught Postgraduate and Graduate Programmes allow students to undertake a small number of credits at a higher or lower Academic Level. Such Programmes do not include Progression Requirements between these Academic Levels.

3.14   Interim Qualifications

1. An approved Programme of Study may include one or more Interim Qualifications to recognise the achievements of any students unable to complete the intended Final Qualification.
2. Details of the minimum credit and Level requirements for each Interim Qualification are specified in the Threshold Qualification Requirements.
3. The criteria for the award of an Interim Qualification are defined in Chapter 4, Part A, Section 10: Interim Qualifications, and Chapter 5: Research Degrees Framework.

Advertised Outcomes

4. An Interim Qualification is defined as an 'Advertised Outcome' where there are discretely-defined, Programme-specific Interim Qualification Learning Outcomes which are published in the Programme Summary. The Board of Examiners must assess the student's eligibility for the Interim Qualification against these Learning Outcomes. On Graduate and Taught Postgraduate Programmes, an Interim Qualification which is an Advertised Outcome is eligible for a Classification.
5. Where an Interim Qualification is **not** an Advertised Outcome of the Programme, the Board of Examiners must assess the student's eligibility for the Interim Qualification against the standard UCL Interim Qualification Learning Outcomes defined in Chapter 4, Part A, Section 10: Interim Qualifications. On Graduate and Taught Postgraduate Programmes, an Interim Qualification which is **not** an Advertised Outcome is **not** eligible for a Classification.

Interim Qualifications available in Programme Design

6. The Interim Qualifications in place on a given Programme are defined in the Programme Summary. Not all Programmes include Interim Qualifications. Interim Qualifications are not awarded automatically, nor are they a student entitlement. The following Interim Qualifications may be considered as part of the Programme Approval process:

Final Qualification	Available Interim Qualifications
All	Qualification with Alternate Field of Study Aegrotat Degree
Certificate of Higher Education	-
Diploma of Higher Education	Cert HE
Foundation Degree	Cert HE
Bachelors with Honours Degree	Ordinary Degree (Bachelors without Honours) Dip HE Cert HE
Integrated Masters with Honours Degree	Honours Degree Ordinary Degree (Bachelors without Honours) Dip HE Cert HE
Graduate Certificate	-
Graduate Diploma	Grad Cert
Postgraduate Certificate	-
Postgraduate Certificate in Education	PG Cert Grad Cert
Postgraduate Diploma	PG Cert
Postgraduate Diploma in Education	PG Cert Postgraduate Certificate in Education (PGCE)
Taught Masters	PG Dip PG Cert

Research Masters	PG Dip
	PG Cert
Doctor of Philosophy	MPhil

3.15   Industrial Placements

1. A Programme may include a defined period of time on a professional or industrial Placement.
2. The Placement must be spent attached to an organisation or institution approved by the Department/Division on behalf of UCL as having a function relevant and suitable to the student's Field of Study.
3. A plan of work must be agreed by the Departmental/Divisional Tutor and be supervised by the student's tutor.
4. Students must register the name and contact details of an Industrial Supervisor with their Departmental/Divisional Tutor.

Qualification Requirements and Programme Requirements

5. When designing a Programme, Departments/ Divisions must ensure that the Programme Structure meets Threshold Qualification Requirements in Section 6. These set out the minimum Credit and Academic Level requirements for UCL to be able to award a particular Qualification, but many UCL Programmes exceed these thresholds. Once the Programme Structure is formally approved by UCL, students must meet all of the Programme Requirements as defined in the Programme Summary, even if these are in excess of the UCL's Threshold Qualification Requirements.
6. The following sections set out the options open to Departments/ Divisions when designing a Programme. Each decision must be recorded in the Programme Summary.

Programme Structure

7. At the point of Programme Design, the Department/ Division must decide whether the student will be awarded **additional** credits for successful completion of the Placement, from the following options:

   - **Additional Placement (also known as an 'Extra-Mural' or 'Sandwich'):** The Programme Structure includes one module or one academic year of Placement activity over and above the minimum number of credits needed to complete the UCL Qualification. The student is awarded additional credit for successful completion of the Placement.
     - Example: An Integrated Masters with Honours must include a minimum of 480 credits. The Programme Structure requires students to undertake an additional year (120 credits) of Placement activity. On successful completion of the Programme, the student is awarded 600 credits.
   - **Integrated Placement:** The Programme Structure includes one module or one academic year of Placement activity within the minimum number of credits needed to complete the UCL Qualification. The student is not awarded additional credit for successful completion of the Placement.
     - Example: An Integrated Masters with Honours must include a minimum of 480 credits. A Placement is considered integral to the Threshold Qualification Requirements if it is part of these 480 credits.

Timing of the Placement

8. At the point of Programme Design, the Department/ Division must decide when the Placement will take place from the following options:

   - **Undergraduate Placement Year:** Students spend one academic year on Placement. The Placement usually takes place in the penultimate year of the Programme but may take place in any year but the first year.

- **Undergraduate Placement Module:** Students spend one module on Placement. The Placement may take place in any year.
- **Graduate or Taught Postgraduate Placement Module:** Students spend some of their taught modules on Placement.

Compulsory and Optional Placements

9. At the point of Programme Design, the Department/ Division must decide whether the Placement is Compulsory or Optional from the following options:

- **Compulsory Placement:** Students must undertake the Placement in order to satisfy the Programme Requirements and be awarded a Qualification with a particular Field of Study.
- **Optional Placement:** Students are offered the opportunity to undertake a Placement as part of their Programme, but they may elect not to and still meet the Programme Requirements.

Assessment of Placements

10. At the point of Programme Design, the Department/ Division must decide how the Placement will be assessed from the following options:

- **Standard Assessment:** All Integrated Placement Years or Modules must be assessed according to the standard UCL regulations and carry the standard credit-weighting in the calculation of the Classification.
- **Assessment of the Placement itself:** On Additional Placement Years or Modules, students should be awarded credits for successful completion of the Placement Module/Year, however these credits must be weighted at 0 in the calculation of the Classification.
- **Assessment via an Additional 30-credit Project Module:** Alternatively, an Additional Placement Year may be assessed via a 30-credit Project Module. Students receive credit for successful completion of the Project Module but not the Placement Year itself. The Project Module must be weighted at 0 in the calculation of the Classification. Project Modules are usually 'Non-Condonable'.

Consequences of Failing a Placement

11. At the point of Programme Design, the Department/ Division should decide the consequences of failing the Placement from the following options:

- **Failure of an Integrated Placement:** On Integrated Placements, the standard UCL Progression and Award Requirements apply and students must therefore pass, or be formally condoned in, all Placement Modules and/ or Years (see Chapter 4, Part A: Assessment Regulations for Taught Programmes). Where a student fails to meet these requirements after all permitted attempts, they will be required to leave the Programme. Students may be eligible for an Interim Qualification such as a Cert HE or Dip HE.
- **Failure of an Additional Placement Module:** Where a student fails an Additional, Optional Placement Module but meets all the other Programme Requirements, they should still be eligible for the award of the same Qualification (Bachelors, Integrated Masters etc.). The Department/ Division must determine whether this will be with the same Field of Study or with an Alternative Field of Study, and document this in the Programme Summary.
- **Failure of an Additional Placement Year:** Where a student fails or withdraws from an Additional, Optional Placement Year but meets all the other Programme Requirements, they should still be eligible for the award of the same Qualification (Bachelors, Integrated Masters etc.). The Qualification may be awarded in one of the following ways
    - The Department/ Division may decide that the student will be eligible for the same Qualification with the same Field of Study.

- The Department/ Division may allow a student to transfer to a cognate Programme without a Placement Requirement. For example, if a student on "MSci Geophysical Sciences with a Year in Industry" fails a Placement in Year 3, they may be transferred from to "MSci Geophysical Sciences" to complete their degree.
- The Department/ Division may incorporate an Exit Qualification with an Alternate Field of Study into the Programme, with an associated Programme Diet. For example, if a student fails the Placement element of "MSci Biological Sciences", they may be eligible for the award of "MSci Biological Studies".

In all cases, the Programme Requirements/ Diet must be agreed as part of the Programme Design process and recorded in the Programme Summary.

3.16   Study Abroad

1. A Programme may include one term or one academic year of study at an overseas Higher Education institution approved by UCL.

Qualification Requirements and Programme Requirements

2. When designing a Programme, Departments/ Divisions must ensure that the Programme Structure meets Threshold Qualification Requirements in Section 6. These set out the minimum Credit and Academic Level requirements for UCL to be able to award a particular Qualification, but many UCL Programmes exceed these thresholds. Once the Programme Structure is formally approved by UCL, students must meet all of the Programme Requirements as defined in the Programme Summary, even if these are in excess of the UCL's Threshold Qualification Requirements.

3. The following sections set out the options open to Departments/ Divisions when designing a Programme. Each decision must be recorded in the Programme Summary.

Programme Structure

4. At the point of Programme Design, the Department/ Division must decide whether the student will be awarded **additional** credits for successful completion of the Study Abroad, from the following options:

- **Additional Study Abroad Year (also known as an 'Extra-Mural' or 'Sandwich'):** An Undergraduate Programme Structure may include one academic year (nine months) of Study Abroad over and above the minimum number of credits needed to complete the UCL Qualification. The student is awarded additional credit for successful completion of the Study Abroad.
  - Example: A Bachelors with Honours must include a minimum of 360 credits. The Programme Structure requires students to undertake an additional year (120 credits) of Study Abroad. On successful completion of the Programme, the student is awarded 480 credits.
- **Integrated Study Abroad:** The Programme Structure includes one module or one term of Study Abroad within the minimum number of credits needed to complete the UCL Qualification. The student is not awarded additional credit for successful completion of the Study Abroad.
  - Example: A Bachelors with Honours must include a minimum of 360 credits. Study Abroad is considered integral to the Threshold Qualification Requirements if it is part of these 360 credits.

Timing of the Study Abroad

5. At the point of Programme Design, the Department/ Division must decide when the Study Abroad will take place from the following options:

- **Undergraduate Study Abroad Year:** Students spend one academic year (nine months) studying abroad. The Study Abroad usually takes place in the penultimate year of the Programme but may take place in any year but the first year.
- **Study Abroad Module or Term:** Students spend one module or one term studying abroad. The Study Abroad may take place in any year.

Compulsory and Optional Study Abroad

6. At the point of Programme Design, the Department/ Division must decide whether the Study Abroad is Compulsory or Optional from the following options:

    - **Compulsory Study Abroad:** Students must undertake the Study Abroad in order to satisfy the Programme Requirements and be awarded a Qualification with a particular Field of Study.
    - **Optional Study Abroad:** Students are offered the opportunity to undertake Study Abroad as part of their Programme, but they may elect not to and still meet the Programme Requirements.

Assessment of Study Abroad

7. At the point of Programme Design, the Department/ Division must decide how the Study Abroad will be assessed from the following options:

    - **Standard Assessment:** All Integrated Study Abroad Years or Modules must be assessed according to the standard UCL regulations and carry the standard credit-weighting in the calculation of the Classification.
    - **Assessment of the Study Abroad itself:** On Additional Study Abroad Years or Modules students should be awarded credits for successful completion of the Study Abroad Module/Year, however these credits must be weighted at 0 in the calculation of the Classification.
    - **Assessment via an Additional 30-credit Project Module:** Alternatively, an Additional Study Abroad Year may be assessed via a 30-credit Project Module. Students receive credit for successful completion of the Project Module but not the Study Abroad Year itself. The Project Module must be weighted at 0 in the calculation of the Classification.

Consequences of Failing a Study Abroad Requirement

8. At the point of Programme Design, the Department/ Division must decide the consequences of failing the Study Abroad from the following options:

    - **Failure of Integrated Study Abroad:** On programmes with an Integrated Study Abroad Module or Year, the standard UCL Progression and Award Requirements apply and students must therefore pass, or be formally condoned in, all Study Abroad Modules and/ or Years (see Chapter 4, Part A: Assessment Regulations for Taught Programmes). Where a student fails to meet these requirements after all permitted attempts, they will be required to leave the Programme. Students may be eligible for an Interim Qualification such as a Cert HE or Dip HE.
    - **Failure of an Additional Study Abroad Module:** Where a student fails an Additional Study Abroad Module but meets all the other Programme Requirements, they should still be eligible for the award of the same Qualification (Bachelors, Integrated Masters etc.). The Department/ Division must determine whether this will be with the same Field of Study or with an Alternative Field of Study, and document this in the Programme Summary.
    - **Failure of an Additional Study Abroad Year:** Where a student fails or withdraws from an Additional Study Abroad Year but meets all the other Programme Requirements, they should still be eligible for the award of the same Qualification (Bachelors, Integrated Masters etc.). The Qualification may be awarded in one of the following ways
        - The Department/ Division may decide that the student will be eligible for the same Qualification with the same Field of Study.
        - The Department/ Division may allow a student to transfer to a cognate Programme without a Study Abroad Requirement. For example, if a student on "BA Music with a Year Abroad" fails a Study Abroad Year in Year 3, they may be transferred to "BA Music" to complete their degree.

- The Department/ Division may incorporate an Exit Qualification with an Alternate Field of Study into the Programme, with an associated Programme Diet. For example, if a student fails the Study Abroad element of "BA Music", they may be eligible for the award of "BA Music Studies".

In all cases, the Programme Requirements/ Diet must be agreed as part of the Programme Design process and recorded in the Programme Summary.

3.17 Degree Apprenticeship Programmes

1. A Programme may be offered as a Degree Apprenticeship, which combines practical training in a job with study towards a degree awarded by UCL.
2. A Degree Apprenticeship programme must meet UCL's Threshold Qualification requirements (see Section 6). The aims and learning outcomes of a Degree Apprenticeship Programme must be mapped to the relevant Degree Apprenticeship Standard published by the Institute for Apprenticeships and Technical Education.
3. Students undertaking a Degree Apprenticeship Programme must be employed and must remain in employment until completion of the Degree Apprenticeship.
4. The mode of study for a Degree Apprenticeship Programme is Flexible (see Section 3.9). Students undertaking a Degree Apprenticeship Programme are required to attend UCL for periods of learning which must be a minimum of 20% of the Programme duration. Students are required to spend the remainder of the Programme duration in practical training at an employer's workplace.
5. While the maximum duration allowed for completion is 5 years, apprentices without any prior learning are expected to spend a minimum of 3 years in the programme.

Assessment of a Degree Apprenticeship Programme

6. A Degree Apprenticeship must include an End Point Assessment to determine whether an apprenticeship student has met the required occupational competence as set out in the relevant Degree Apprenticeship Standard.
7. During Programme Design, the Department / Division must produce an End Point Assessment Plan to decide on the nature of the End Point Assessment from the following options:

- **Non-integrated End Point Assessment:** The End Point Assessment is conducted by an independent End Point Assessment Organisation which must be on the Register of End-Point Assessment Organisations [RoEPAO].
- **Integrated End Point Assessment**: The End Point Assessment is an integrated part of the assessment requirements of the UCL Programme and UCL acts as the End Point Assessment Organisation.

8. Students must successfully complete the relevant End Point Assessment for the successful completion of their Degree Apprenticeship programmes.

4 Types of Qualification

This section describes the typical attributes of the main Qualifications offered by UCL and provide a reference point for the development of Programmes and Modules. The following descriptors outline the basic Qualification; UCL Programmes may be supplemented by further learning, which may or may not be credit-bearing.

4.1 Undergraduate Qualifications

Level 4

Certificate of Higher Education

- A Cert HE may be a stand-alone Qualification or a named Interim Qualification from a Bachelors with Honours, Integrated Masters with Honours or Foundation Degree.
- Programmes must include at least 120 credits of learning at Level 4 or above. The Qualification typically takes 1200 hours, or one FTE Academic Year, to complete.

Level 5

Diploma of Higher Education

- A Dip HE may be a stand-alone Qualification or a named Interim Qualification from a Bachelors or Integrated Masters.
- Programmes must include at least 240 credits of learning. There must be no credits below Level 4, a maximum of 150 credits at Level 4, and a minimum of 90 credits at Level 5 or above. The Qualification typically takes 2400 hours, or two FTE Academic Years, to complete.

Foundation Degree

- A Foundation Degree is an Undergraduate Qualification distinguished by a vocational orientation. The Qualification is equivalent to the first two years of a Bachelors Degree and may be supplemented by a further 'Top-up' year at Level 6, allowing students to complete a full Bachelors with Honours Degree.
- Programmes must include at least 240 credits of learning. There must be no credits below Level 4, a maximum of 150 credits at Level 4 and a minimum of 90 credits at Level 5 or above. The Qualification typically takes 2400 hours, or two FTE Academic Years, to complete.

Level 6

Bachelors with Honours Degree

- Bachelors with Honours Degrees form the largest group of HE Qualifications and are awarded to students who have developed an understanding of a complex body of knowledge, analytical techniques and problem-solving skills.
- Programmes must include at least 360 credits. There must be no credits below Level 4, a maximum of 150 credits at Level 4 and a minimum of 90 credits at Level 6 or above. A Bachelors with Honours typically takes 3600 hours, or three FTE Academic Years, to complete. Programmes may include an additional placement or study abroad year, in which case students complete 480 credits over four FTE Academic Years. The Qualification may also be completed via a 'Top-up' year comprising 120 Level 6 credits following successful completion of a Foundation Degree. A Bachelors with Honours includes an Honours Classification.

Ordinary Degree (Bachelors without Honours)

- Students unable to meet the requirements for a Bachelors with Honours may be eligible for an Ordinary Degree (Bachelors without Honours). The minimum requirements for an Ordinary Degree are at least 300 credits with a maximum of 150 credits at Level 4 and a minimum of 60 credits at Level 6.
- UCL only offers the Ordinary Degree as an Interim Qualification.

Level 7

Integrated Masters with Honours Degree

- An Integrated Masters incorporates the attributes and outcomes of both a Bachelors with Honours Degree and a Taught Masters Degree.
- Programmes must include at least 480 credits. There must be no credits below Level 4, a maximum of 150 credits at Level 4 and a minimum of 120 credits at Level 7. The Qualification typically takes 4800 hours, or four FTE Academic Years, to complete. Programmes may also include a placement or study abroad year.
- Programmes fall under the Undergraduate regulations, and the Honours Classification system.

4.2   Graduate Qualifications

Level 6

Graduate Certificate

- The Grad Cert is a short Programme or professional 'conversion' course based largely on Undergraduate material and taken usually by those who already hold a Bachelors Degree in another Field of Study.
- Programmes must include at least 60 credits. There must be no credits below Level 5, a maximum of 15 credits at Level 5 and a minimum of 45 credits at Level 6 or above. The Qualification typically takes 600 hours, or half an FTE Academic Year, to complete.

Graduate Diploma

- The Grad Dip is a short Programme or professional 'conversion' course which is considered equivalent to the final year of a Bachelors Degree. It is based largely on Undergraduate material and taken usually by those who already hold a Bachelors Degree in another Field of Study.
- Programmes must include at least 120 credits. There must be no credits below Level 5, a maximum of 30 credits at Level 5 and a minimum of 90 credits at Level 6 or above. The Qualification typically takes 1200 hours, or one FTE Academic Year, to complete.

4.3   Taught Postgraduate Qualifications

Level 7

Postgraduate Certificate

- The PG Cert is a Masters-Level short Programme which may be a stand-alone Qualification or a named Interim Qualification on a Masters or PG Dip Programme.
- Programmes must include at least 60 credits, with a maximum of 15 credits at Level 6 and a minimum of 45 credits at Level 7. The Qualification typically takes 600 hours, or half an FTE Academic Year, to complete.

Postgraduate Diploma

- The PG Dip is a Masters-Level short Programme which may be a stand-alone Qualification or a named Interim Qualification on a Masters Programme.
- Programmes must include at least 120 credits, with a maximum of 30 credits at Level 6 and a minimum of 90 credits at Level 7. The Qualification typically takes 1200 hours, or one FTE Academic Year, to complete.

Taught Masters Degree

- A Taught Masters is a Level 7 Qualification distinguished from the PG Cert and PG Dip by an increased intensity and complexity of study, a planned intellectual progression, and an in-depth research or scholarly activity of at least 30 credits in the form of a Dissertation or other Substantive Project.
- Programmes must include at least 180 credits, with a maximum of 30 credits at Level 6 and a minimum of 150 credits at Level 7 (although PSRB requirements may result in a

longer Programme of Study). The Qualification typically takes 1800 hours, or one FTE Calendar Year, to complete.

4.4 Postgraduate Research Qualifications

Level 7

Master of Research Degree

- The Master of Research (MRes) is a Level 7 Qualification distinguished from a Taught Masters by its high ratio of research to teaching, and by the focus of teaching on research methods. The curriculum and the student experience are governed by the research Programme regulations, whilst assessment processes are subject to the regulations for taught Programmes.
- Programmes are modular and must include at least 180 credits, with a maximum of 30 credits at Level 6 and a minimum of 150 credits at Level 7. Programmes should include at least 30 credits of identifiable, transferable skills Modules and a Dissertation/ Substantive Project of 105-150 credits (on 180-credit Programmes; pro-rata for extended Programmes). The Qualification typically takes a minimum of 1800 hours, or one FTE Calendar Year, to complete.

Master of Philosophy

- The MPhil is a Level 7 research Qualification which may be a stand-alone Qualification or the first step towards completion of a PhD. The Programme is non-modular, but may require attendance at lectures and seminars. Programmes typically require two Calendar Years of study at Level 7 or Level 8. A student may opt to complete the MPhil via submission of a thesis, or the student may be eligible to Upgrade to PhD status.

Master of Philosophical Studies

- The MPhilStud is a Level 7 research Qualification, successful completion of which may qualify graduates to enter a relevant PhD programme with PhD (rather than MPhil) status. The curriculum and the student experience are governed by the research Programme regulations, assessment of research training and specialisation Modules are subject to the regulations for taught Programmes, whilst the assessment of the Dissertation is subject to research Programme regulations.
- The Programme is modular and must include at least 360 credits at Level 7. The Programme should include at least 90 credits of research training Modules, 150 credits of research specialisation Modules, and a Dissertation of 120 credits. The Qualification typically takes 3600 hours, or two FTE Calendar Years, to complete.

Level 8

Doctorate

- Doctorates are awarded for the creation and interpretation, construction and/ or exposition of knowledge which extends the forefront of a discipline.
- Programmes typically require three Full-time or five Part-time Calendar Years of study at Level 8 and students must be registered for at least two Calendar Years. On PhD Programmes, students must initially register on the MPhil before Upgrading to the PhD.

Professional Doctorate

- Professional Doctorates aim to develop an individual's professional practice and to support them in producing an original contribution to professional knowledge.
- Programmes include a substantial taught element in addition to the research component. Programmes typically require three FTE Calendar Years of study at Level 8 and students must be registered for at least two Calendar Years.

Integrated Doctorate

- An Integrated Doctorate incorporates the attributes and outcomes of both a Research Masters (MRes) and a Doctorate (MPhil/PhD, EngD), providing students with a sound

grounding in research methods from which to develop an original contribution to knowledge.

- The Masters must include at least 180 credits, with a maximum of 30 credits at Level 6 and a minimum of 150 credits at Level 7, and typically takes 1800 hours, or one FTE Calendar Year, to complete. On successful completion of the Masters, the student may progress to the Level 8 doctoral Programme, studying for a further three FTE years. Students must be registered on the doctoral Programme for at least two Calendar Years and, on PhD Programmes, students must initially register on the MPhil before Upgrading to the PhD.

5   Level Descriptors

1. Level Descriptors define the depth and complexity of each Academic Level and outline the academic skills, amount of prior knowledge and amount of learner autonomy required to pass a Programme or Module at that Level.
2. The descriptors are closely aligned to the Framework for Higher Education Qualifications (FHEQ) and, together with the more discipline-specific QAA Subject Benchmark Statements, should be used as a reference point in the development of Qualifications, Programmes and Modules, and for the determination of local Marking Criteria.

Level 3

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- A skills base of conceptual and factual knowledge with some appreciation of the Field of Study and of terminology used
- An ability to apply those skills independently in a range of complex activities or with guidance when working with greater complexity.

Level 4

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- Knowledge of the underlying concepts and principles associated with their Field of Study, and an ability to evaluate and interpret these within the context of that field
- An ability to present, evaluate and interpret qualitative and quantitative data in order to develop lines of argument and make sound judgements in accordance with the basic theories and concepts of their Field of Study.

Level 5

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- Knowledge and critical understanding of the well-established principles of their Field of Study, and of the way in which those principles have developed
- An ability to apply underlying concepts and principles outside the context in which they were first studied, including, where appropriate, the application of those principles in an employment context
- Knowledge of the main methods of enquiry in the Field of Study
- An ability to evaluate critically the appropriateness of different approaches to solving problems in the Field of Study
- An understanding of the limits of their knowledge, and how this influences analyses and interpretations which might be based on that knowledge.

Level 6

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- A systematic understanding of key aspects of their Field of Study, including the acquisition of coherent and detailed knowledge, at least some of which is at, or informed by, the forefront of the field
- An ability to deploy accurately established techniques of analysis and enquiry within the Field of Study
- A conceptual understanding that enables the student:
    - To devise and sustain arguments, and/or to solve problems, using ideas and techniques, some of which are at the forefront of the Field of Study
    - To describe and comment upon particular aspects of current research, or equivalent advanced scholarship, in the Field of Study
- An appreciation of the uncertainty, ambiguity and limits of knowledge
- An ability to manage their own learning

- An ability to make use of scholarly reviews and primary sources (for example, refereed research articles and/or original materials appropriate to the Field of Study).

Level 7

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- A systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their field
- A comprehensive understanding of techniques applicable to their own research or advanced scholarship
- Originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the field
- A conceptual understanding that enables the student:
  - To evaluate critically current research and advanced scholarship in the field
  - To evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Level 8

Students successfully completing Programmes or Modules at this Level will have demonstrated:
- An ability to create and interpret new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the field, and merit publication
- A systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice
- An ability to conceptualise, design and implement a project for the generation of new knowledge, application or understanding at the forefront of the field, and to adjust the project design in the light of unforeseen problems
- A detailed understanding of applicable techniques for research and advanced academic enquiry.

6   Threshold Qualification Requirements

1. The Threshold Qualification Requirements describe the minimum academic standards expected of each Programme of Study leading to a UCL Qualification. A Programme may be approved with higher threshold standards, for example where a Professional, Statutory or Regulatory Body requires it.
2. The following definitions apply:

- **Years of FTE study:** The minimum length of time needed to complete the Qualification if studied on a full-time basis (part-time modes of study are calculated pro-rata).
- **Level:** The academic Level at which the Qualification is awarded e.g. a BSc (Hons) is awarded at Level 6.
- **FHEQ Credits:** The minimum number of credits needed to successfully complete the Qualification, aligned to the UK Framework of Higher Education Qualifications.
- **Notional learning hours:** The hours of study typically required to complete the Qualification, based on a ratio of 1 FHEQ credit to 10 notional learning hours.
- **ECTS credits:** The value of the UCL Qualification when translated to the European Credit Transfer System (ECTS) (UCL credits are translated to ECTS at a ratio of 2:1).
- **Range of Levels:** The Academic Levels included in the Qualification e.g. a three-year BSc includes Levels 4, 5 and 6.
- **Standard credits per Level:** The number of FHEQ credits typically studied at each Academic Level to achieve the Qualification. The number of credits in each Level may be adjusted within defined parameters to suit the needs of the individual Programme/ field.
- **Maximum credit taken at lowest Level:** The greatest number of credits which may be taken at the lowest academic Level e.g. a BSc typically includes 120 credits at Level 4 but may include as many as 150 credits at Level 4.
- **Minimum credit taken at or above Level of Qualification:** The fewest number of credits which must be taken at the highest academic Level e.g. a Postgraduate Diploma typically includes 120 credits at Level 7 but may include as few as 90 credits at Level 7.
- **Possible Interim Qualifications:** The range of Interim Qualifications which may be included as an approved component of a Programme of Study. Not all Interim Qualifications are available on all Programmes and students are not entitled to an Interim Qualification if it is not a validated part of their Programme.

6.1 Further Education Qualifications

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of levels	Standard credits per level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
University Preparatory Certificate	UPC	1 academic year	3	Not credit-rated							None

6.2 Undergraduate Qualifications

6.2.1 Level 4

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Certificate of Higher Education	Cert HE	1 academic year	4	120	1200	60	4	120 at Level 4	120 at Level 4	120 at Level 4 or above	None

6.2.2 Level 5

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Diploma of Higher Education	Dip HE	2 academic years	5	240	2400	120	4 & 5	120 at Level 4 & 120 at Level 5	150 at Level 4	90 at Level 5 or above	None
Foundation Degree	FD	2 academic years	5	240	2400	120	4 & 5	120 at Level 4 & 120 at Level 5	150 at Level 4	90 at Level 5 or above	Cert HE

6.2.3 Level 6 Bachelors Degrees

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Bachelor of Arts with Honours	BA (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Arts with Honours Top-Up Degree	BA (Hons)	1 academic year	6	120	1200	60	6	120 at Level 6	-	120 at Level 6 or above	None
Bachelor of Arts and Sciences with Honours[3]	BASc (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Education with Honours	BEd (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Education with Honours Top-Up Degree	BEd (Hons)	1 academic year	6	120	1200	60	6	120 at Level 6	-	120 at Level 6 or above	None
Bachelor of Engineering with Honours	BEng (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Fine Arts with Honours	BFA (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	360 across Levels 4, 5 & 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Laws with Honours	LLB (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	360 across Levels 4, 5 & 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Bachelor of Science with Honours	BSc (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree,

[3] See Annex 7.10.1: BASc Qualification Descriptor

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
											Dip HE, Cert HE
Integrated Bachelor of Science with Honours (for UCL MBBS candidates)	iBSc (Hons)	1 academic year	6	120	1200	60	6	120 at Level 6	120 at Level 6	120 at Level 6 or above	None
Intercalated Bachelor of Science with Honours (for external iBSc candidates)	iBSc (Hons)	1 academic year	6	120	1200	60	6	120 at Level 6	120 at Level 6	120 at Level 6 or above	None
Bachelor of Science (Economics) with Honours	BSc (Econ) (Hons)	3 academic years	6	360	3600	180	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	90 at Level 6 or above	Ordinary Degree, Dip HE, Cert HE
Ordinary Degree (Bachelors without Honours)	BA, BASc, BEd, BEng, BFA, LLB, BSc, BSc (Econ)	3 academic years	6	300	3000	150	4, 5 & 6	120 at Level 4 & 120 at Level 5 & 120 at Level 6	150 at Level 4	60 at Level 6 or above	Only offered as an Interim Qualification

6.2.4   Level 7 Bachelors Degrees

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Bachelor of Medicine, Bachelor of Surgery[4]	MB,BS	5 academic years	7	780	7800	390	4, 5, 6 & 7	120 at Level 4 & 120 at Level 5 & 180 at Level 6 & 360 at Level 7	120 at Level 4	360 at Level 7 or above	None

[4] The Bachelor of Medicine, Bachelor of Surgery (MBBS) was amended from Level 6 to Level 7 in 2021/22 to align with the FHEQ's classification of primary medical qualifications at level 7 in 2014. This change was backdated to 2016/17, and therefore all awards made from 2021/22 onwards will be at Level 7.

6.2.5 Level 7 Integrated Masters Degrees

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Master of Engineering with Honours	MEng (Hons)	4 academic years	7	480	4800	240	4, 5, 6 & 7	120 at Level 4 & 120 at Level 5 & 120 at Level 6 & 120 at Level 7	150 at Level 4	120 at Level 7 or above and 90 at Level 6 or above	BEng (Hons), Ordinary Degree, Dip HE, Cert HE
Master of Pharmacy with Honours	MPharm (Hons)	4 academic years	7	480	4800	240	4, 5, 6 & 7	120 at Level 4 & 120 at Level 5 & 120 at Level 6 & 120 at Level 7	120 at Level 4	120 at Level 7 or above and 120 at Level 6 or above	BSc (Hons), Ordinary Degree, Dip HE, Cert HE
Master in Science with Honours	MSci (Hons)	4 academic years	7	480	4800	240	4, 5, 6 & 7	120 at Level 4 & 120 at Level 5 & 120 at Level 6 & 120 at Level 7	150 at Level 4	120 at Level 7 or above and 90 at Level 6 or above	BSc (Hons), Ordinary Degree, Dip HE, Cert HE

6.3 Graduate Qualifications

6.3.1 Level 6 Graduate Certificates and Diplomas

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Graduate Certificate	Grad Cert	0.5 academic years	6	60	600	30	5 & 6	60 at Level 6	15 at Level 5	45 at Level 6 or above	None
Graduate Diploma	Grad Dip	1 academic year	6	120	1200	60	5 & 6	120 at Level 6	30 at Level 5	90 at Level 6 or above	Grad Cert

6.4 Taught Postgraduate Qualifications

6.4.1 Level 7 Postgraduate Certificates and Diplomas

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Postgraduate Certificate	PG Cert	0.5 academic years	7	60	600	30	6 & 7	60 at Level 7	15 at Level 6	45 at Level 7 or above	None
Postgraduate Certificate in Education	PGCE	1 academic year	7	60	1200	30	7	60 at Level 7	60 at Level 7	60 at Level 7 or above	PG Cert, Grad Cert
Postgraduate Diploma	PG Dip	1 academic year	7	120	1200	60	6 & 7	120 at Level 7	30 at Level 6	90 at Level 7 or above	PG Cert
Postgraduate Diploma in Education (PGDE)	PGDE	2 academic years	7	120	1200	60	6 & 7	120 at Level 7	30 at Level 6	90 at Level 7 or above	PGCE, PG Cert

6.4.2 Level 7 Taught Masters

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Master of Architecture	MArch	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Architecture with ARB RIBA Part 2 exemption	MArch (ARB RIBA)	2 academic years	7	300	3000	150	7	300 at Level 7	300 at Level 7	300 at Level 7 or above	PG Cert, PG Dip
Master of Arts	MA	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
International Master of Arts	MA (International)	2 academic years	7	240	2400	120	7	240 at Level 7	240 at Level 7	240 at Level 7 or above	PG Cert, PG Dip

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Master of Arts and Sciences[5]	MASc	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Business Administration[6]	MBA	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Clinical Dentistry	MClinDent	2 calendar years	7	360	3600	180	7	360 at Level 7	360 at Level 7	360 at Level 7 or above	None
Master of Clinical Dentistry with Speciality Training	MClinDent with MRD (Endodontics)/ MEndo	3 calendar years	7	540	5400	270	7	540 at Level 7	540 at Level 7	540 at Level 7 or above	None
Master of Education (Interim Qualification only)	MEd	-	7	-	-	-	-	-	-	-	-
Master of Fine Arts	MFA	2 academic years	7	240	2400	120	7	240 at Level 7	240 at Level 7	240 at Level 7 or above	PG Cert, PG Dip
Master of Landscape Architecture	MLA	2 academic years	7	300	3000	150	7	300 at Level 7	300 at Level 7	300 at Level 7 or above	PG Cert, PG Dip
Master of Laws	LLM	1 calendar year	7	180	1800	90	7	180 at Level 7	180 at Level 7	180 at Level 7 or above	PG Cert, PG Dip
Master of Planning	MPlan	21 months	7	300	3000	150	7	300 at Level 7	300 at Level 7	300 at Level 7 or above	PG Cert, PG Dip
Master of Public Administration	MPA	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Public Health	MPH	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Science	MSc	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip

[5] See Annex 7.10.2: MASc Qualification Descriptor

[6] See Annex 7.10.3: MBA Qualification Descriptor

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Master of Surgery	MS	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Teaching	MTeach	2-3 calendar years	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip

6.5   Postgraduate Research Qualifications

6.5.1   Level 7 Research Masters

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Master of Research	MRes	1 calendar year	7	180	1800	90	6 & 7	180 at Level 7	30 at Level 6	150 at Level 7 or above	PG Cert, PG Dip
Master of Philosophy	MPhil	2 calendar years	7	-	-	-	7	-	-	-	None
Master of Philosophical Studies	MPhilStud	2 calendar years	7	360	3600	180	7	360 at Level 7	360 at Level 7	360 at Level 7 or above	None

6.5.2   Level 8 Doctorates

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Possible Interim Qualifications
Doctor of Philosophy	PhD	3 calendar years	8	-	-	-	MPhil
Doctor in Engineering	EngD	3 calendar years	8	-	-	-	None
Doctor of Medicine (Research)	MD(Res)	2 calendar years	8	-	-	-	None
Doctor in Public Administration	DPA	4 calendar years	8	-	-	-	MRes

6.5.3   Level 8 Professional Doctorates

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Possible Interim Qualifications
Doctor in Clinical Psychology	DClinPsy	3 calendar years	8	-	-	-	None
Doctor in Dentistry	DDent	3 calendar years	8	-	-	-	None
Doctor in Education	EdD	4 calendar years part time	8	-	-	-	Master of Education
Doctor in Educational Psychology	DEdPsy	3 calendar years	8	-	-	-	PG Dip, MSc
Doctor in Educational and Child Psychology	DECPsy	3 calendar years	8	-	-	-	None
Doctor in Orthopaedics	Doc.Orth	6 calendar years part time	8	-	-	-	None
Doctor in Psychotherapy	DPsychotherapy	4 calendar years	8	-	-	-	None

6.5.4   Level 8 Integrated Doctorates

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Integrated Research Masters and Doctor of Philosophy	MRes/ PhD	1-year Research Masters + 3-year PhD	8	180	1800+	90	7 & 8	180 at Level 7	30 at Level 6	2 years PhD registration	MRes, MPhil

Qualification	Abbreviation	Years of FTE study	Level	FHEQ credits	Notional learning hours	ECTS credits	Range of Levels	Standard credits per Level	Maximum credit taken at lowest Level	Minimum credit taken at or above Level of Qualification	Possible Interim Qualifications
Integrated Research Masters and Doctor in Engineering	MRes/ EngD	1-year Research Masters + 3-year EngD	8	180	1800+	90	7 & 8	180 at Level 7	30 at Level 6	2 years EngD registration	MRes, MPhil
Integrated Bachelor of Medicine, Bachelor of Surgery/ Bachelor of Science and PhD	MBPhD	10 years (5 calendar years MBBS + 1 calendar year Integrated BSc in year 3 + 3 years PhD registration in years 5-7 + 1 year of Completing Research Status in year 8)	7 & 8	780	7800+	390	4, 5, 6, 7 & 8	120 at Level 4 & 120 at Level 5 & 180 at Level 6 & 360 at Level 7	120 at Level 4	3 years PhD registration	MPhil

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Chapter 7, Part B: Programme and Module Approval and Amendment

Chapter 7, Part B is UCL's regulatory framework for the approval, amendment, and suspension/withdrawal of taught academic programmes and modules including taught elements of research degrees. Approval of research degrees is covered in section 9.

Queries about any part of this chapter should be directed to the Senior Policy Advisor (Programme Approval) at acadserv.pmap@ucl.ac.uk

1 Introduction

1. University College London (UCL) must operate effective processes for the design, development and approval of programmes of study in order to discharge fully its responsibilities for setting and maintaining academic standards and assuring and enhancing the quality of learning opportunities.
2. Queries about any part of this chapter should be directed to the Senior Policy Advisor (Programme Approval) at acadserv.pmap@ucl.ac.uk.

1.1 Purposes

1. The main purposes of this chapter are to ensure that:
   a) Threshold academic standards are met through the approval and amendment processes;
   b) The appropriate quality of student learning opportunities are available for all taught provision;
   c) The information provided to students about their studies is complete with regard to programme structure and learning outcomes;
   d) The value of qualifications awarded to students at the point of qualification and over time is in line with sector-recognised standards;
   e) Due account is taken of internal and external reference points in the approval and amendment processes;
   f) Robust procedures are followed when modules or programmes are suspended or withdrawn;
   g) All new taught provision is viable financially, and in terms of student recruitment.

1.2 Reference Points

1. This chapter is drafted with reference to the UK Quality Code for Higher Education.
2. This chapter should be read in conjunction with the rest of the Academic Manual, in particular:
   a) Chapter 1: Student Recruitment and Admissions
   b) Chapter 3: Registration Framework for Taught Programmes
   c) Chapter 4: Assessment Framework for Taught Programmes
   d) Chapter 5: Research Degrees Framework
   e) Chapter 7, Part A: Qualifications and Credit Framework
   f) Chapter 8: Academic Partnerships Framework
3. This chapter should be read in conjunction with the Education Planning pages of the UCL Teaching and Learning portal.
4. The strategic context for taught provision can be found in the following documents:
   a) UCL 2034
   b) Education Strategy 2022-27
   c) Connected Curriculum

1.3   Terminology

1.   Key to abbreviations:

DTC	Departmental Teaching Committee
FHEQ	The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies
FTC	Faculty Teaching Committee
PMAP	Programme and Module Approval Panel
PSRB	Professional, Statutory or Regulatory Body
QAA	Quality Assurance Agency
FPPC	Financial Performance and Planning Committee
SNP	Student Numbers Planning

2.   Throughout this chapter, the term 'Department' is used to refer to relevant units below the Faculty level (e.g. Institute or Division).

2   Approval of New Taught Programmes

1. New taught programmes are approved by the UCL Education Committee under powers delegated from the UCL Academic Board. The Education Committee is advised by the Programme and Module Approval Panels (PMAP).
2. Programme planning is the first phase with new proposals considered through the Student Numbers Planning process with the mandate for further development granted by Financial Performance and Planning Committee (FPPC). Design, development and approval takes place in two stages: Outline Approval, which is granted by the relevant Faculty Teaching Committee; Final Approval, which is granted by the Education Committee.
3. Faculties and Departments may adopt local practices in addition to those outlined below, such as the involvement of additional committees or the Vice-Dean(s) Education. However, PMAP will continue to require sign-off from the named individuals and groups listed in the Programme Proposal form.

2.1   Timelines for the Approval of Taught Programmes

1. For marketing of programmes to be given the best opportunity to attract the highest quality students, for programmes to be included in the prospectus, and for UCL to uphold its responsibilities with respect to consumer protection legislation, the following deadlines are essential:
   a) For undergraduate programmes:
      Final Approval should be achieved not later than November of the calendar year two years prior to the intended start of a programme (22 months in advance of a September start).
   b) For postgraduate programmes:
      Final Approval should be achieved not later than the end of June in the year prior to the intended start of a programme (15 months in advance of a September start).
2. Where it has not been possible to meet the deadlines outlined above, final approval must be achieved not later than the end of September in the year prior to the intended start of a programme (12 months in advance of a September start).
3. While these are the very latest deadlines, programme initiators should be encouraged to begin work on programme development and Outline Approval much earlier to give sufficient time for: effective competition/market appraisal (both within and outside of UCL); development and approval of the business case; obtaining Faculty approval. Programme initiators should aspire to the timelines outlined in Annex 7.1.1: Detailed timelines for Programme Approval and Amendment.
4. Prior to embarking on the process towards outline approval, the business case for new programme proposals including the additional student numbers must be considered as part of the Student Numbers Planning (SNP) process and approved by the Financial Performance and Planning Committee (FPPC). The FPPC meets regularly throughout the year and the specific date for FPPC consideration of any given programme will be agreed with the VP (Strategy) normally as part of the SNP meeting in July. This is a new requirement from 2022/23.
5. Programme initiators should note that FPPC approval is required prior to the consideration of Outline Approval at a PMAP meeting. New programme proposals at Outline Approval Stage must be submitted no less than 10 working days in advance of a meeting. Submissions received later than 10 working days in advance of a meeting will be considered at a subsequent meeting of the Panel. A comprehensive list of the dates on which PMAP will meet

in 2022-23, as well as the corresponding paper deadlines, can be found in <u>Annex 7.1.2: PMAP 2022-23: Meeting Dates and Paper Deadlines.</u>

2.2 Initial Programme Development

1. The intention to develop a new programme should be reflected in the relevant department's strategic plan and should be included in the Faculty's strategic operating plan. This ensures that any projected increase in student numbers and/or required funding for staffing and learning resources is anticipated.

2. In addition, new programmes and their planned student numbers should be included in the student numbers planning submission as part of the annual Student Numbers Planning exercise. In year changes to student intake plans can be made using the Change Request process.

3. Programme initiators must consider how their programme contributes to the achievement of UCL's strategic aims and objectives as detailed in: UCL 2034; the Education Strategy 2022-27 and the Global Engagement Strategy as well as considering how the programme will embed equality, diversity and inclusion.

4. A programme proposal is usually initiated and developed at department level, in close consultation with relevant members of staff in the Faculty (usually the Faculty Tutor). Programme initiators should consult with the following relevant parties or documents when developing their programme proposal:

    - Head of Department;
    - Faculty Dean (or nominee such as Vice Dean Education);
    - Faculty Tutor;
    - The MarComms team in Office of the Vice-President (External Engagement), including the Director of Faculty Marketing; the Faculty Head of Marketing and Communications; the Director of Student Recruitment and Departmental colleagues responsible for Communications and Marketing;
    - Departmental colleagues and colleagues in other cognate disciplines;
    - Current or former students studying in cognate areas;
    - School Finance Director;
    - UCL Planning team, the Office of the Vice-President (Strategy);
    - UCL Estates team;
    - UCL Arena Centre – for advice on learning, teaching and assessment practice;
    - Library Services;
    - Digital Education;
    - Online and Lifelong Learning;
    - Study Abroad Office and Visa Compliance team – for programmes with an optional or compulsory period of study abroad;
    - Placement Information Pack for programmes that include an optional or compulsory period of placement (For further information on the pack, please refer to Chapter 8 of the 2022-23 UCL Academic Manual);
    - Academic Partnerships Review Group (APRG) – for programmes that will be delivered in partnership with others;
    - UCL Apprenticeships Steering Group – for Level 7 / Masters apprenticeship programmes. (For further information on Level 7 / Masters apprenticeships, please refer to Chapter 11 of the 2022-23 UCL Academic Manual);
    - External colleagues and members of industry;
    - Any professional, statutory or regulatory bodies;

- The UK Quality Code for Higher Education, developed by the Quality Assurance Agency (QAA) for Higher Education;
- The Office for Students (OfS) advice and guidance;
- Other relevant central services (such as Academic Services).

2.2.1   Programme Structure

1. Information on the level, structure and components of a programme of study, as well as a list of the approved qualifications, and their threshold requirements, can be found in Chapter 7, Part A: Qualifications and Credit Framework.
2. Information on programme length and modes of attendance can be found in Chapter 3, Registration Framework for Taught programmes.
3. Assessment, progression, award and classification should follow the regulations set out in Chapter 4, Assessment Framework for Taught Programmes.
4. Where a programme is made up of multiple routes or pathways leading to different named qualifications, the programme diet and statements of aims and learning outcomes must be clear for each.
5. Interim qualifications are available for all UCL programmes. It is possible to offer these interim qualifications as programmes of study, either connected to a larger award or as standalone programmes. In such cases, a programme summary must be maintained for each programme.

2.2.2   Material Programme Information

1. During the development stage, programme initiators should be mindful of the need to provide clear, accessible and accurate information to prospective and current students on the purpose, structure and aims of their programme.
2. Additionally, UCL is obliged, under the Quality Code and under consumer protection legislation, to provide clear and accurate information to prospective students and offer holders. Therefore, programme initiators must identify the following when designing a new programme:
   a) the level of the programme within the Framework for Higher Education Qualifications;
   b) the intended qualification and any interim qualifications;
   c) the programme title;
   d) the overall credit value;
   e) the programme's aims, objectives and learning outcomes (with reference to relevant subject benchmark statements);
   f) the entry requirements (both academic and non-academic);
   g) the programme's structure, including the number and type of contact hours, any compulsory modules, an indication of likely optional modules and the expected workload;
   h) the overall methods of assessment (both formative and summative);
   i) the duration of the programme and its modes of study;
   j) the location(s) of study, including where relevant, any distance learning;
   k) whether the programme could be accredited by a PSRB;
   l) whether the programme will be offered in partnership with others;
   m) whether the programme will have a period in placement or study abroad;
   n) an initial assessment of the tuition fees to be charged (in consultation with the Dean or nominee);
   o) any additional costs to students (such as field trips or material costs);
   p) any barriers to accessibility and how these could be mitigated.
3. The required documents for programme proposals provide space for the programme initiator to record this information.

2.2.3   Business Plan and Market Research

1. As detailed in 2.2 Initial Programme Development Section 3, all programme proposals require approval by the Faculty and the Financial Performance and Planning Committee (FPPC) prior to consideration of Outline Approval by the Department, the Faculty and PMAP and prior to completion of the detailed programme proposal. Documents required by FPPC and as part of the SNP process can be found at the [UCL Planning Team Sharepoint](#) and are:
    a. The New Programme Impact Assessment, including consideration of potential programme overlap or duplication, the implications for the student experience and information on the likely impact on central UCL resources including teaching space and regulatory support other admin costs.
    b. The Faculty Financial, detailing the anticipated student numbers, the expected income and any additional staffing, learning resources or other additional costs that may be incurred within the Faculty.
    c. Evidence of market research. The completion of the Market Demand Evidence Form leads to a structured discussion with the Director of Student Recruitment, the Director of Faculty Marketing and Faculty Head of Marketing and Communications on new programme rationale, evidence of demand, competition, proposed content, and graduate outcomes, with a series of recommended actions identified and agreed by the Director of Faculty Marketing
2. Templates for these documents will be released annually as part of the Student Numbers Planning process and Faculty submissions will be considered as part of the SNP process involving the Faculty Tutor/ Vice-Dean Education, Dean of Faculty and School Finance Director. The SNP process will enable updates to new programmes and numbers at additional points during the year.
3. Programme proposals must complete the business case documents (as above), including market research prior to developing the programme. Programmes that cannot demonstrate full business case viability and marketability will not be considered for outline approval.

2.2.4   Programme Development with the UCL Arena Centre

1. Programme initiators for all taught programmes should contact the UCL Arena Centre to discuss their programme proposal, in accordance with the timelines provided in Annex 7.1.1.
2. Initiators are strongly encouraged to attend a programme development workshop through UCL Arena Centre. This workshop, developed with input from Marketing and Communications and Careers, will support programme initiators in the preparation of programme approval documentation.
3. Programme initiators should not enrol on the workshop until the Business case and market research have been signed off.
4. Programme initiators can find further information at Annex 7.2.3 and should take account of the UCL Assessment Load Model which can be found at the Education Planning pages of the UCL Teaching and Learning portal.

2.3   Outline Approval

1. Outline approval is confirmed at Faculty level prior to consideration at PMAP and requires sign off from the Head of Department; DTC Chair; Dean of Faculty; School Finance Director and FTC Chair. In order to confirm outline approval, reviewers must satisfy themselves that:
    a) The proposal is included in and/or is in line with department and faculty level strategic operating plans, and student numbers plans;

b) The business case is appropriate, is backed by reliable market research and has accounted for all associated costs;

c) The proposed programme will not directly compete with other programmes of study operating in the Faculty or elsewhere in UCL;

d) The programme initiator(s) have sought or are in the process of seeking advice and guidance from relevant professional services teams or academic colleagues;

e) That the proposed curriculum is current, appropriate for the level of study and is in line with the relevant subject benchmark statements;

f) The constituent modules are suitable for the programme, the assessment is appropriately balanced across the modules and any new modules have been reviewed by an external scrutineer;

g) The proposed programme of study is in line with relevant UCL strategies, such as UCL 2034, the Education Strategy 2022-23 and the Global Engagement Strategy;

h) If the proposed programme constitutes additional growth in student numbers, there is sufficient space, staffing and resource to accommodate this and that comments from UCL Estates have been taken into account;

i) Proposals to make use of modules from other programmes of study, departments or faculties have been discussed and agreed with the relevant Head(s) of Departments and Faculty Tutor(s).

j) Programme proposers for taught programme proposals have discussed the proposal with the UCL Arena Centre and, where advised, attended a workshop through the Arena Centre on programme development.

2. In addition, reviewers must not approve proposals until all paperwork has been correctly completed. This includes ensuring that:

a) All documents have been signed in the appropriate place by the named role holder or approved delegate. This is crucial for audit purposes;

b) All document fields have been completed with the appropriate information, including where relevant, an indication that the field is not applicable;

c) The documents contain no errors or typographical errors;

d) All information is presented in a clear and accessible format. This is particularly important when describing the programme structure or the assessment format.

3. Once satisfied, reviewers should provide feedback to the programme initiator on further developments that could be made to the proposal, in preparation for the submission of the programme proposal for consideration by PMAP.

4. Submission to PMAP for Outline approval is contingent on the sign off and approval of the programme business case by FPPC. Programmes that do not get full business case viability and marketability approval will not be considered by PMAP for outline approval.

2.3.1   Information and Documentation Required

1. Outline approval by PMAP will focus on academic and quality assurance aspects. A summary of the other minimum information and corresponding documentary evidence required for outline programme approval by PMAP, is provided below:

Category	Information required	Corresponding documentary evidence
Named Roles	Initiator, programme lead, external scrutineer (if known), other nominees	Programme Proposal Form (Annex 7.2.4)

Category	Information required	Corresponding documentary evidence
Structure	Proposed start date Location(s), level(s), mode(s) of study Qualification title(s) and interim qualification(s), including proposed routes/pathways Any programme specific entry requirements New modules proposed and an indicative list of any existing modules	Programme Diet Template (Annex 7.2.5) Programme Proposal Form (Annex 7.2.4)
Description	Programme Description (c. 500 words)	Programme Proposal Form (Annex 7.2.4)
Internal Partnerships	Description of intent to make use of existing modules, and other internal partnerships.	Evidence of approaches made to departments for any anticipated module or staff sharing. (This will usually take the form of email correspondence)
External Partnerships (essential if any partnership activity envisaged)	Name of the proposed academic partner. Evidence of approaches to the academic partner. Description of any year abroad or placement year, including how it will be organised and assessed.	Draft Academic Partnership Proposal Form (for APRG). (For further information, refer to Chapter 8 of the 2022-23 UCL Academic Manual) Evidence of discussion with Senior Policy Advisor (Academic Partnerships) (For further information, refer to Chapter 8 of the 2022-23 UCL Academic Manual) Evidence of engagement with Placements Information Pack (for placements). (For further information, refer to Chapter 8 of the 2022-23 UCL Academic Manual)

Category	Information required	Corresponding documentary evidence
		Evidence of discussion with UCL's Study Abroad Team (Annex 7.2.9 UG Affiliate / Study Abroad Programme checklist)
	Description of any Level 7 / Masters Apprenticeship programme, including how it will be organised, managed and assessed.	Evidence of discussion with, and endorsement from, the UCL Apprenticeships Steering Group. Completion of the Level 7 / Masters Apprenticeship Feasibility Form (Annex 7.2.10)
Externality	Statement on externality to date, and proposed externality in future development	Where relevant, evidence of discussion or engagement with external bodies or PSRBs.
Sign-off	DTC; Head of Department; Faculty Dean; FTC; School Finance Director. With recommendations as appropriate	Programme Proposal Form. (Annex 7.2.4)

2.3.2   Outline Approval Process

1. Once approved by the Faculty, programme proposals must be submitted to the PMAP Secretary by the Faculty Tutor. These proposals are circulated to members of the Education Committee and relevant professional services teams and are considered at the next PMAP meeting.
2. PMAP formally considers the programme proposal at this stage.
3. Once granted, outline programme approval status is valid for 24 months. If the final programme proposal is not approved within this 24 month period, a new programme proposal must be submitted to FPPC, the DTC, the FTC and PMAP.
4. Once outline approval is considered at a PMAP meeting, programmes may be advertised on departmental websites in the following format:
   a) Programme title and intended qualification;
   b) Aniticipated start date;
   c) A brief description of the programme content and structure omitting references to particular modules or credit values;
   d) The following disclaimer:
      Please note that this programme is still subject to final approval. As such, the content and structure of the programme is subject to change and may differ from the outline given here. As soon as the programme has been approved it will be advertised in its finalised

form and applications will be taken on this basis. If you'd like to be notified when this programme has been approved and applications are open, please email [relevant departmental contact].

5. Once outline approval is given, the relevant team in Academic Services will complete the initial set-up the programme in the student information system and confirm with the department, faculty and relevant professional services teams when this has been done. They will then carry out the relevant tasks in their respective areas.

2.4 Final Approval

1. Final approval is confirmed by Education Committee and requires sign off from the Head of Department; DTC Chair; Dean of Faculty; FTC Chair and PMAP. To confirm final approval, reviewers at Faculty level must satisfy themselves that the criteria required for outline approval are still met. In addition, PMAP must satisfy itself that:
   a) The programme initiator(s) have consulted widely with colleagues from cognate departments to identify possibilities for module or resource sharing and that there is evidence of any agreements made;
   b) The programme initiator(s) have responded to the feedback provided at outline approval stage and made developments or amendments where appropriate;
   c) The proposed programme of study is in line with UCL's regulations, particularly the Qualifications and Credit Framework, the Assessment Framework for Taught Programmes and the Registration Framework for Taught Programmes;
   d) The proposed programme of study is in line with relevant external benchmarks, such as the Framework for Higher Education Qualifications;
   e) That the material programme information (as required by Consumer Protection Legislation) is clear and easy to understand;
   f) The programme initiator(s) have discussed the proposal with current or prospective students and acted on their feedback;
   g) The proposal has been reviewed by an appropriately qualified external scrutineer;
   h) Agreements are in place for any proposed external partnerships.
2. Once approved by PMAP, a programme will normally begin admitting students. As such, PMAP must assure itself that the programme will not pose a risk to standards, the student experience or UCL's reputation.

2.4.1 Information and Documentation Required

1. A 'Response to PMAP' document will need to be completed and submitted with the final submission to PMAP, detailing how and where in the documentation previous issues raised by the Panel have been addressed. This document is issued to the initiator(s), by the Secretary to PMAP, once outline approval has been considered by PMAP.
2. A summary of the minimum information and corresponding documentary evidence, required for final programme approval is provided below:

Category	Information required	Corresponding documentary evidence
Named Roles	Initiator, programme director, External Scrutineer, other nominees	Programme Proposal Form (Annex 7.2.4)

Category	Information required	Corresponding documentary evidence
Material programme information	As outlined in section 2.2.2	Programme Proposal Form (Annex 7.2.4) Programme Diet Template (Annex 7.2.5) Module proposal forms (for all new modules) (Annex 7.3.1)
Description	Programme Description (c. 1,000 words) Confirmation of enclosures and processes completed with detail of changes made following Outline Programme Approval	Programme Proposal Form (Annex 7.2.4) 'Response to PMAP' document
Internal Partnerships	Confirmation of approval to make use of existing modules, and other internal partnerships	A signed statement confirming that the relevant Head(s) of Department(s) agree to proposed module or staff sharing. (This will usually take the form of email correspondence)
External Partnerships (essential if any partnership activity envisaged)	Confirmation of APRG approval (to be granted in advance of programme approval)	Draft Memorandum of Agreement with partner. (For further information, refer to Chapter 8 of the 2022-23 UCL Academic Manual)
Externality	Statement on externality used in development External Scrutineer's review and response (where relevant) Note on engagement with Subject Benchmark Statements, Qualification Characteristics	Programme Proposal Form (Annex 7.2.4) Completed External Scrutineer's Report (Annex 7.2.7) Evidence of External Scrutineer's suitability (if not

Category	Information required	Corresponding documentary evidence
		external examiner) such as academic CV. (Annex 7.2.8) PSRB report (if appropriate)
Sign-off	Department TC; Head of Department; Faculty Dean; Faculty TC; PMAP; Education Committee	Programme Proposal Form (Annex 7.2.4)

2.4.2   Final Approval Process

1. Once approved, the relevant team in Academic Services will finalise the set up of the programme in the student record system and confirm with the department, faculty and relevant professional services teams when this has been done. They will then carry out the relevant tasks in their respective areas.
2. Once the programme has been set up, it will usually open for applications at the earlierst opportunity. There may be occassions where this has to be delayed, for example, to await a signed memorandum of agreement.

2.4.3   Probationary Review Following Final Approval

1. New taught programmes will be reviewed after the first two years that the programme runs. If the programme is not on course to meet targets after two admission cycles, the programme team should consider action that might need to be taken in respect of programme design or marketing. After three admission cycles, the Office of the Vice-Provost (Strategy) will review the programme against the business case to ensure that it is viable as demonstrated in the business case. Probationary Review can be found in Annex 7.2.11.

3   Approval of New Modules

1. New modules require approval by Faculty Teaching Committee following endorsement by the Department.
2. New module proposals must be completed and submitted using a Module Proposal Form (Annex 7.3.1).
3. Introducing a new module may also mean a change to a programme requiring a Programme Amendment form. In this case, the procedure and deadlines set out for programme amendment should take precedence. For more information see Section 4: Programme Amendment.
4. All new modules for the forthcoming academic year (2023-24), must be submitted for approval by 30th November 2022.

4 Programme Amendment

4.1 Principles of Programme Amendment

1. UCL has an obligation to provide clear, accurate and timely information to prospective students, applicants, offer holders and current students.
2. UCL also promotes the importance of offering an adaptive, research led curriculum in preparing its students to contribute to and participate fully in the private, academic and wider public arena.
3. As such, the principle regarding amendments to any part of a programme is that changes should be approved prior to the opening of a new application cycle and should apply to the next new cohort of students registered on the programme for the forthcoming academic year.
4. Where it is necessary to make a programme amendment after applications have opened, UCL has obligations to its applicants, offer holders and current students.
5. If a programme has already received applications, the applicants must be informed of any amendment that has been approved, the rationale for the amendment, and the process by which they can transfer or terminate their application if they so wish.
6. If UCL has already issued offers of admission to a programme, the offer holders must be consulted on the proposed change, informed of the rationale, notified of the outcome and assisted with transferring or terminating their application if they so wish.
7. Where it is intended for the programme amendment to affect current students or students that have met the requirements of an accepted offer, these students must be consulted and give their agreement to the amendments. The amendment cannot be approved without this agreement.
8. Where an amendment to a current programme is necessary due to circumstances outside of UCL's control, such as the sudden loss of a member of academic staff or the outcome of a PSRB visit, the programme amendment must be approved by Education Committee's nominee.
9. Amendments to individual modules are covered in Section 5: Module Amendment. Amendments to modules that are compulsory for a programme of study will trigger the programme amendment process where individually, or in combination with changes to other modules, they represent a programme amendment as defined below.
10. If it is proposed to amend a module delivered in conjunction with a UCL Academic Partner, UCL's Senior Policy Advisor (Academic Partnerships) should be consulted in the first instance.
11. Consideration should also be given to ensuring that any conditions of relevant Professional, Statutory or Regulatory Bodies are satisfied upon amendment.
12. Amendments cannot be made to programme codes assigned by Academic Services.
13. The addition or removal of existing optional/elective modules can be undertaken through the Curriculum Data Management (CDM) process where programme diets are updated. It does not require the completion of a Programme Amendment Form but use of optional/elective modules outside of the programme's lead department must be agreed with the relevant teaching department. Evidence of this agreement should be retained.
14. Where it is intended for a programme amendment, such as a change in title, to apply to a programme that recruits both to the full qualification and its associated interim qualifications, this must be clearly stated, and a new programme summary provided for each qualification.
15. Information on programme length and modes of attendance can be found in Chapter 3, Registration Framework for Taught Programmes.
16. All programme amendments for the forthcoming academic year (2023-24), must be submitted for approval by 10th June 2022.

17. All programme amendments for the academic year 2024-25 should be submitted for approval by the end of Term 3 2022-23.

4.2   Programme Amendment Classifications

1. Programme amendments are split into three different classifications – major, moderate and minor. The level of authority required for each classification is different, as is the process which must be followed, but all programme amendments must be requested on a Programme Amendment Form (Annex 7.4.1). Major and moderate amendments must be reviewed by an external scrutineer, and all must be approved by the Head of Department and the Faculty.
2. This system is in place to safeguard the academic standards of qualifications, to ensure that there is appropriate information sharing between faculties, and to ensure that the incremental and cumulative change to programmes is monitored and recorded.
3. An indicative list of the types of programme amendments that can be requested and their corresponding classification, can be found in the table below:

Major Amendments	1.	Addition, amendment or removal of a third or more of the programme's compulsory module credit
	2.	Addition of non-condonable modules or making existing modules non-condonable
	3.	Change to the intended qualification and/or FHEQ level e.g. MSc, PG Dip, BA
	4.	Change to the credit value of the programme
	5.	Amendment to the programme's entry requirements, related to specific PSRB requirements/registration/loss of accreditation[1]
Moderate Amendments	6.	Change of programme title
	7.	Addition or withdrawal of routes or pathways within a programme
	8.	Change to the advertised duration and/or addition of a placement or period of study abroad[2]
	9.	Change to the location(s) of study, e.g. campus-based/mixed-mode or change of main teaching campus
	10.	Converting interim qualifications into stand-alone programmes of study
	11.	Temporarily suspending recruitment to a programme of study (or one of its named routes)

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[1] The Admissions Transformation Programme is currently looking at all policies relating to selection and entry requirements. All selection criteria and methods will be reviewed with departments during the coming months. In the meantime, no changes to entry requirements will be considered unless it is for specific PSRB requirements or relates to registration to an external body/loss of accreditation.

[2] For placements, please refer to the Placement Pack in Chapter 8 of the UCL Academic Manual and submit completed paperwork alongside the Programme Amendment Form.

For Study Abroad, please submit the UG Affiliate / Study Abroad programme checklist (Annex 7.2.9) alongside the Programme Amendment Form.

	12.	Change to the programme's Progression and Award Rules[3]
	13.	Other changes to the programme at the discretion of the Faculty Tutor
Minor Amendments	14.	Addition, amendment or removal of under a third of the programme's compulsory module credit
	15.	Removal or addition of classifiable interim or alternative qualification(s)
	16.	Removal or addition of a new mode of study e.g. part-time or flexible/modular
	a)	
	17.	Change to or addition of a point of entry
	18.	Amendment to the programme's PSRB accreditation status, including: a) New PSRB accreditation application; b) Recognition/loss or non-renewal of an existing PSRB accreditation; c) Recognition/change to an existing PSRB accreditation or recognition status.

4. Major programme amendments must be authorised by the Head of Department and the Faculty, they must be scrutinised by a suitably qualified external scrutineer and submitted to UCL Central Services (acadserv.pmap@ucl.ac.uk) for final approval. This to ensure that academic standards are maintained and incremental or cumulative changes to programmes are recorded.

5. Moderate programme amendments must be authorised by the Head of Department and the Faculty, they must be scrutinised by a suitably qualified external scrutineer and submitted to UCL Central Services (acadserv.pmap@ucl.ac.uk) for information. This is to ensure that any changes are recorded centrally and circulated to other faculties and relevant professional services departments.

6. The Chair of PMAP can nominate a moderate programme amendment for additional scrutiny by PMAP where they feel that the cumulative impact of the amendment warrants it.

7. Minor programme amendments must be authorised by the Head of Department and the Faculty and submitted to the Student Lifecycle Team (lifecycle@ucl.ac.uk). This is to ensure that any amendments to programmes can be recorded in the student information system and circulated to relevant professional services departments.

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[3] Any proposed changes to a programme's Progression and Award rules that are outside the existing regulations, require approval from the Academic Regulations and Quality Assurance Sub-Committee (ARQASC). Please consult academicregulations@ucl.ac.uk in the first instance.

5   Module Amendment

1. The principle regarding amendments to any part of a module is that changes will apply to the next delivery of the module after the change has been approved.
2. Formal processes for module amendment are required to ensure that proposed changes are subject to scrutiny, and that where changes to modules have a significant impact upon the programmes to which they contribute, the appropriate programme amendment process is triggered.
3. If it is proposed to amend a module delivered in conjunction with a UCL Academic Partner, UCL's Senior Policy Advisor (Academic Partnerships) should be consulted in the first instance.

5.1   Amendments to Compulsory Modules

1. If the module is, or is intended to become, a compulsory part of one or more programmes, then that could trigger programme amendment and require a Programme Amendment Form (Annex 7.4.1). In this case, consideration must be given to whether the change of one or more modules represents a major, moderate or minor programme-level amendment as defined in 4.2 above, and the associated action taken.
2. Additionally, changes to some aspects of modules, particularly compulsory modules, may result in the need to inform applicants and consult with offer holders and/or current students, in line with UCL's obligations under consumer protection legislation. For further information see Section 4.1: Principles of Programme Amendment.

5.2   Module Amendment Classification

1. UCL's module amendment process is differentiated so that changes deemed major are subject to additional external scrutiny: this system is in place to safeguard the academic standards of qualifications and to ensure that modules cannot drift incrementally from their original approved state without appropriate external validation.
2. Consideration should also be given to ensuring that any conditions of relevant Professional, Statutory or Regulatory Bodies are satisfied upon amendment.
3. Amendments cannot be made to module codes assigned by Academic Services.

Major amendments

4. Major amendments require the completion of a Module Amendment Form (Annex 7.5.1). They must also have external scrutiny and Department and Faculty approval. The following changes are classified as Major:
    a) Changes to the credit value of the module;
    b) Changes which affect one third or more of the intended learning outcomes;
    c) Every third minor amendment following the last major amendment;
    d) Any amendment that triggers a programme amendment.

Minor amendments

5. Minor amendments[4] require the completion of a Module Amendment Form ([Annex 7.5.1](#)) and Department and Faculty approval. They do not require external scrutiny. The following changes are classified as Minor:
    a) Changes to the weighting of assessment;
    b) Changes of assessment methods/criteria;
    c) Changes which affect under one third of the intended learning outcomes;
    d) Balance of learning activities;
    e) Change of module title;
    f) Change of teaching department;
    g) Introduction of an alternative mode of delivery, e.g. different FHEQ level or different assessment pattern for affiliate students;
    h) Other changes at the discretion of the Faculty Tutor
6. All module amendments for the forthcoming academic year (2023-24) must be submitted to the Student Lifecycle Team (via the Programme and Module Hub on the Student Records and Faculty MS Team) by 30th November 2022.

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[4] Except for a) Changes to the weighting of assessment and b) Changes of assessment methods/criteria, which do not require a Module Amendment Form as they received and processed via the Programme and Module Hub on the Student Records and Faculty MS Teams site.

6   Programme / Route Suspension or Withdrawal

1. Any suspension or withdrawal of a programme (or one of its named routes) must be undertaken in such a manner that the interests of current students, and students who have applied to the programme, are fully protected, ensuring UCL meets its obligations under consumer protection legislation, as outlined in the advice provided by the Consumer Protection Legislation Guidance (Annex 7.1.3). Advice should be sought from the relevant Faculty Tutor as early as possible to ensure that the appropriate procedures are followed.

6.1   Suspending a Programme / Route

1. Suspension of a programme of study (or one of its named routes) is a moderate programme amendment. Programme leads that want to suspend a programme/route should follow the procedure outlined in Section 4: Programme Amendment.
2. If a programme/route has been suspended for more than two academic years, it will be assumed that it is no longer active and will be withdrawn by the relevant professional services team. The programme lead will be notified prior to the processing of the withdrawal.

6.2   Withdrawing a Programme / Route

1. Programmes (or named routes on a programme) that will not be offered to students from a known date should be formally withdrawn using a Programme Withdrawal Form (PWF) (Annex 7.6.1).
2. The proposal to withdraw a programme or route must be approved by the relevant Department and Faculty before being put forward for noting at a PMAP meeting.
3. In order for a programme/route to be withdrawn or suspended from the appropriate publicity materials, the relevant central services will be advised by Academic Services.
4. Where a programme is delivered in collaboration with an external partner, the appropriate Termination of Academic Partnership form should also be completed. This can be found in Chapter 8: Academic Partnerships Framework.

7   Module Suspension or Withdrawal

1. Modules may be formally withdrawn by the department through the student record system prior to the cut-off date set by the relevant team in Academic Services. Modules that are not being delivered in a specific academic session can be suspended until the next cycle.

2. Departments have an obligation to provide a module that has been previously advertised to students as running, either as part of module selection or as part of marketing material given to applicants or offer holders. A module must not be withdrawn without consultation with these students.

3. If the withdrawal or suspension of a module will affect currently enrolled students, these students must consent to it. If the withdrawal or suspension of the module is beyond UCL's control, for example, due to the loss of a staff member, the programme lead must reach an agreed compromise with the students.

4. If the withdrawal or suspension of a module results in a change to the published programme diet, as recorded in the programme summary, a programme amendment form must be completed and submitted to the relevant body for approval. The module must not be withdrawn/marked as inactive without this approval. For more information see Section 4: Programme Amendment.

5. Adherence to the cut-off dates for the curriculum maintenance cycle is essential for ensuring that the correct information is provided to students in line with the UCL's obligations under consumer protection legislation.

8   The Curriculum Maintenance Cycle

1. Departments are responsible for confirming the following for the next academic session (2023-2024) via the student record system:
   a) Modules which are suspended;
   b) Detailed information for modules which are available in that academic session; and
   c) Changes to any programme diets

2. The dates by which departments must update curriculum data are published in the Student and Registry Services (SRS) calendar each year.

3. The processes for maintaining curriculum data in the student record system are not intended for capturing amendments to programmes and modules, or the creation on new modules. These should be submitted in line with the relevant regulations in Chapter 7 of the Academic Manual. The relevant teams in Academic Services are responsible for the set-up of new modules and programmes in the student record system.

4. Further advice and support on the curriculum maintenance cycle can be obtained from the Student Lifecycle team (lifecycle@ucl.ac.uk).

9   Research Degrees

1. The programme approval processes detailed elsewhere in this chapter relate to taught programmes.

2. Research-only degrees (e.g. MPhil, PhD) must be approved by the Lead Department/Division and the Lead Faculty before submission for final approval by Research Degrees Committee.

3. Initiators of new research degree programmes should contact the Senior Policy Advisor (Programme Approval) at acadserv.pmap@ucl.ac.uk in the first instance.

4. For all new proposed doctorates, a Doctoral Programme Proposal Form (Annex 7.9.1) and Programme Summary (Research Programmes) (Annex 7.9.3) must be completed.

5. If the Lead Department/Division is new, or has no existing doctoral programme, it must first meet the requirements to recruit and register doctoral students specified by Research Degrees Committee. A Recruitment of Research Students to Academic or Research Departments (Divisions/Institutes/Units) – Application Form (Annex 7.9.4) must be completed.

6. For all new proposed MRes degrees, a Programme Proposal form (Annex 7.2.3) with the addition of the MRes Final Programme Proposal Appendix (Annex 7.9.2) must be completed.

7. Programme amendments should follow the procedure outlined in Section 4: Programme Amendment. Major amendments to research degrees are ultimately approved by Research Degrees Committee, rather than PAWG (on behalf of PMAP). However, major amendments to the taught elements of the programme will need PAWG approval prior to submission to Research Degrees Committee.

LONDON'S GLOBAL UNIVERSITY

UCL Academic Manual 2022-23

Chapter 8: Academic Partnerships Framework

Chapter 8 is UCL's regulatory framework for the management of all UCL learning opportunities delivered in collaboration with external organisations leading or contributing to the award of UCL academic credit or a UCL qualification.

1 UCL Policy and Regulations for the Quality Assurance of Academic Partnerships

1.1 Introduction

1. Academic partnerships, as defined in Section 2.2 of this Framework, can offer many benefits to UCL, including opportunities to enhance our reputation and promote UCL's academic networks both nationally and internationally. All academic partnerships should be considered in terms of their alignment with UCL's mission and 20-year strategy. International academic partnerships are also a key part of the UCL Global Engagement Strategy and our mission as London's Global University.

2. UCL academic partnerships with other organisations which contribute or lead to UCL credit and/or qualifications should enrich both our reputation and our contribution to society as London's Global University. This applies to academic partnerships both in the UK and beyond. Similarly, UCL needs to ensure that when delivering education with other institutions it complies with all relevant national requirements and legislation, and that the student experience is enhanced, not compromised, by academic partnership arrangements.

3. The purpose of this framework is to provide information and guidance on for UCL's policy for the inception, approval, operation and contractual framework of academic partnerships with other institutions, leading to UCL credit and/or qualifications (whether as sole, joint and multiple awards).

4. This chapter of the Academic Manual is intended to provide a regulatory framework for staff with regard to UCL's requirements for the management of academic partnerships to deliver education with other institutions.

5. The processes set out ensure academic partnerships adhere to the requirements of the Office for Students Regulatory Framework and the Quality Assurance Agency for Higher Education (QAA) Quality Code, as well as other external regulatory and legislative requirements and best practice.

1.2 Definitions

1. Across the higher education sector, there is varied terminology in use which refers to academic partnerships: 'collaborative provision' or 'collaborative programmes' have the same meaning.

2. This definition covers a wide range of provision from Teaching Contribution arrangements, where another institution delivers, or contributes to the delivery of, one or more modules on a UCL degree programme, to jointly delivered and awarded degrees with other institutions. An extensive list of types is provided in *Annex 8.1 Forms of Academic Partnerships* but advice is available from the Academic Policy and Quality Assurance team for any member of UCL staff who is unsure as to whether a potential programme, or element of a programme, may be classified as an academic partnership.

3. This definition does not cover provision of short courses, such as those supported by the Short Courses Support Team.

4. The term 'qualification' within this and any associated documents refers to a higher education doctorate, degree, diploma or certificate accredited and conferred by UCL following the successful completion of an approved programme of study. A UCL academic partnership always relates to teaching activity that leads to a UCL qualification or the award of UCL credit.

1.3 Policy

1. UCL is responsible for the quality and standards of all academic qualifications made in its name. Consequently, its academic partnerships should be based on the premise that:
   - the academic standards of all UCL qualifications involving collaboration with partner organisations must be compatible with UCL's regulations, policies and procedures, and with external reference points including those set out by the Office for Students Regulatory Framework and QAA's UK Quality Code for Higher Education,
   - the quality of student learning opportunities and experiences on collaborative programmes should be equivalent to those of comparable qualifications delivered and supported solely by UCL, and adequate to enable students to achieve the appropriate academic standards.

2. As UCL is responsible for the academic standards of all of its qualifications, UCL will only consider entering into partnerships with other organisations:
   - which will support the achievement of UCL's mission and 20-year strategy;
   - which have the academic standing to deliver collaborative programmes to appropriate academic standards (where relevant); the human, physical and financial standing to sustain them; and the legal standing to contract to their delivery;
   - which will enable UCL to effectively to meet its responsibilities for the quality and standards of its qualifications;
   - which will enable UCL to discharge its responsibilities to any professional, statutory or regulatory body (PSRB) that has approved or recognised the relevant programme;
   - which are able to enter into a written and legally binding agreement or contract setting out details of the collaboration and the rights and obligations of the parties, which is signed by the authorised representatives of both UCL and the partner organisation.

3. All proposals for academic partnerships must only be considered according to the policies and procedures approved by UCL to ensure that the potential partner meets all of the requirements of paragraph 2 above. No academic partnerships shall be permitted to progress unless approval has been granted via these processes. No agreements relating to academic partnership activity are signed unless the processes outlined in this Framework have been followed.

4. Once a partnership with another organisation has been approved and a formal, legally-binding agreement signed, the details of the partnership and the programme(s) offered through it shall be entered on the University's Register of Academic Partnerships. This is a comprehensive list of all UCL academic partnerships which meet the definition given in Section 2.2 and which is maintained by UCL Academic Services.

5. The level of risk involved with each partnership should be assessed and managed accordingly. The Academic Policy and Quality Assurance team will advise Departments and Faculties on the risks involved with each proposed partnership.

6. All academic partnerships will be monitored for academic standards and quality on an annual and periodic basis. UCL reserves the right to suspend or terminate any partnership if it perceives that academic standards are at risk, subject to safeguards for students. Renewal of existing academic partnerships will be subject to approval by the Academic Partnerships Review Group.

7. Governance of academic partnerships and operational responsibility will be set out in the agreed process and procedures.

2   Types of Academic Partnership

2.1   Further Terms Used in this Document

Award:	Definition:
Academic partnership	A partnership between UCL and a partner institution(s) set up to collaboratively facilitate the delivery of learning opportunities leading to the award of an academic degree or academic credit by UCL or jointly by UCL and the partner institution(s).
Due diligence	Evaluation of a potential partner organisation's financial, legal and organisational position and the assessment of risks involved with entering into an academic partnership with the organisation.
Memorandum of Understanding (MOU)	Statement of intent to work with another party. This document does not entail any specific commitment and is not legally binding, although potential activities may be referenced. UCL Global Engagement team manages the UCL Memoranda of Understanding.
Memorandum of Agreement (MOA)	Formal, legally-binding document setting out the rights and responsibilities of each party with regard to an academic partnership. All academic partnerships require this type of agreement.

2.2   Overview of Different Types of Academic Partnership

1. The following table provides a summary of the different types of academic partnerships at UCL. A full breakdown is available in *Annex 8.1 Forms of Academic Partnerships*, including the principles for specific wording in UCL degree certification where relevant.

Articulation agreement	Students who satisfy the UCL academic criteria on a specific programme of another institution are entitled to be admitted with advanced standing to a subsequent stage of a UCL programme. UCL's regulations concerning Recognition of Prior Learning apply to all articulation agreements.
Progression agreement	Students who have successfully completed a specified programme of study at one institution may apply to be considered for a place on a named degree programme (s) at UCL. These arrangements primarily support recruitment activity. The students must meet agreed entry criteria and any other special requirements as set out in the progression agreement; entry to the UCL programme is not guaranteed.
Double/Multiple Degree	Exactly as a Joint Award, but each institution produces its own degree certificate and transcript due to juridical requirements or issues with recognition of a joint certificate. At least the UCL certificate for a double/multiple degree refers to the partner institution(s) as another degree-awarding body for the same programme. The principles for the specific wording on the se

	certificates can be found in *Annex 8.1 Forms of Academic Partnerships.*
Dual Degree	Students undertake the major part of a UCL programme and of a partner institution programme with overlapping curricula allowing for the programmes to be taken together in a shorter time than it would take to complete the two programmes separately, but longer time than it would take to complete just one of the awards (to preclude full double-counting of credit for two awards)[1]. Each institution awards its own degree. Each institution produces its own degree certificate and transcript. The UCL qualification for a dual degree programme may or may not be contingent on credit awarded by the partner institution.
Joint Award	Students undertake one programme, which is jointly developed and delivered by UCL and another institution; one qualification is awarded by both institutions who issue a joint degree certificate. Joint award partnerships usually require the most effort to establish as the regulations and administrative processes of both institutions as joint degree-awarding bodies must be aligned and their application to the joint award programme agreed between UCL and the partner institution.
Joint Delivery	Students undertake one programme that leads to a UCL award only and the UCL regulations, policies and procedures apply to the programme and oversight of all provision is always maintained by UCL. A jointly delivered programme is, however, designed, developed and delivered in collaboration with another institution, with whom the teaching activities for the programme are equally, or close to equally, shared Any teaching delivered by another institution as part of a UCL degree must be delivered in the English language, unless the aim of the module(s) is to teach and assess the students in a language other than English. A jointly delivered programme can be referred to as a 'joint programme' in advertising material, but it should always be made clear that the programme only leads to a qualification awarded solely by UCL or by the partner institution.
Teaching/Programme Contribution	Students undertake one UCL programme, delivered with contribution from a partner institution(s). The programme leads to one award conferred by UCL. The level of contribution from the other institution(s) can vary from teaching a number of modules for a programme designed by UCL to

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[1] The credit of an interim qualification can be counted towards the full qualification at the other institution (i.e. a PGDip is counted as the first year or a two-year Master's programme at the other institution), but in this case the student will not be awarded the interim qualification by UCL. This type of partnership is an affiliate study arrangement, not an academic partnership, as there is no UCL award involved. Exceptions can be made at the discretion of APRG for qualifications leading to professional body recognition (in line with the principle set out in the UCL regulations for Recognition of Prior Learning).

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	providing facilities to a part of the programme or contributing to marketing and recruitment of the programme. Oversight of the programme and the activities provided with contribution from the partner institution is always maintained by UCL.
	Any teaching delivered by another institution as part of a UCL degree must be delivered in the English language, unless the aim of the module(s) is to teach and assess the students in a language other than English.
Joint PhD	A joint research degree programme is jointly designed, delivered and assessed by two institutions. The programme leads to a joint award with a single, joint degree certificate issued by the institutions. The regulatory requirements, including the examination requirements of both institutions apply to the programme. Where there is discrepancy between the regulations of the institutions, joint requirements that satisfy both institutions must be created separately for each programme by the proposing UCL Department and the partner institution, approved by the appropriate Committee(s) of each institution.
	Joint PhD's cannot be set up for individual students (so called 'co-tutelle' arrangements), but must be developed with the aim of recruiting several students over a number of years.
Double PhD	A double research degree programme is jointly designed, delivered and assessed by two institutions, but leads to two separate degree certificates, one issued by each institution. The degree certificate of UCL, at least, mentions that the degree is awarded for one double research degree programme. As the only difference between a joint and a double research degree is the issuance of degree certificates, joint regulations are also needed for a double research degree programme in the same way as for a joint research degree programme.
	Double PhD's cannot be set up for individual students, but must be developed with the aim of recruiting several students over a number of years.
Flying Faculty and off-site	The whole programme, or a major part of a programme, are delivered in a location away from UCL campus by UCL staff, who also carry out all aspects of assessment. Flying Faculty and off-site partnerships may, however, also be Jointly Delivered or be combined with Programme Contribution from the partner institution.
	International partnerships in this category are normally referred to as flying faculty whereas similar partnerships in the UK can be referred to as off-site.

2. UCL has a number of Doctoral Training Partnerships/Centres (DTP/DTC) which are initiated, developed and approved via UCL Research Services. Any specific arrangements within DTPs/DTCs which come under the definition of academic partnerships will come under the terms of this framework and must be developed accordingly.
3. Student exchanges and study abroad arrangements are managed via the Study Abroad team in liaison with the Global Engagement team (GE) in line with *Annex 8.9 Principles for the Management of Study Abroad and Student Exchange Partnerships*. The Study Abroad team is the main point of contact for these activities.

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4. Placements relating to degree programmes are managed with within the relevant academic Department who are the main point of contact for these activities. Departments should comply with the provisions in *Annex 8.12 Principles for the Management of Placements at UCL* and use the due diligence documentation and placement agreement templates provided.
5. Some UCL Departments engage in intercollegiate module sharing activity with other University of London Colleges and Institutes. The specific provisions that apply to elective intercollegiate module sharing are set out in *Annex 8.10: Intercollegiate Module Sharing with other University of London colleges – Student Policy* and the related *Annex 8.11: Principles for the Management of Intercollegiate Module Sharing with other University of London Colleges.*
6. UCL does not engage in validating (including 'endorsement' and 'accreditation') other institutions' degree programmes or in franchising UCL degree programmes to be fully delivered by other institutions.
7. UCL Departments may contribute a module(s) to a programme(s) leading to an award of another university. These collaborations do not lead to UCL credit or award and are therefore not defined as academic partnerships for the purposes of this framework. Any agreements for these collaborations drafted by the degree-awarding body for UCL to sign must, however, be reviewed by the Academic Policy and Quality Assurance team and/or Legal Services, and signed by the Vice-Provost, Education and Student Experience on behalf of UCL.

3   Roles, Responsibilities and Governance

3.1   Governance at UCL Level

1.   Although in practical terms academic partnerships normally involve UCL Faculties and Departments, they are a formal relationship between the University and the partner organisation. Hence governance of academic partnerships, in terms of mandating and decision-making, sits at the highest appropriate level of authority in UCL once the relevant Head of Department/Director of Division/Institute and Dean of Faculty has approved any such proposal.

2.   Academic Committee delegates responsibility for oversight of learning and teaching, including the maintenance of standards and quality management, of accredited taught programmes to the Education Committee. It also delegates responsibility for oversight of research degree provision, including the maintenance of standards and quality management, to the Research Degrees Committee.

3.   Academic partnerships involving the award of credit and/or qualifications relating to taught degree programmes are therefore considered under the terms of the Education Committee; academic partnerships involving the award of research degrees are therefore considered under the terms of the Research Degrees Committee.

4.   In the case of potential international academic partnerships involving accredited taught programmes/modules or research degrees, in the first instance partner organisations must be considered by the Global Engagement team (GE). GE must endorse the potential international partner in the first instance and ensure that they are in-keeping with the UCL Global Engagement Strategy.

5.   The Global Engagement team (GE) may wish to strengthen an initial international partnership proposal which has the Vice-Provost (Research, Innovation and Global Engagement)'s endorsement for development through the signing of a Memorandum of Understanding (MOU). MoU may also be developed in response to a specific need of the partner institution, such as to progress the partnership through their own governance structure. All MoU must be signed by the Vice-Provost (Research, Innovation and Global Engagement) on behalf of UCL once the relevant Head of Department/Director of Division/Institute and Dean of Faculty has given their approval and/or signed the MOU.

6.   The Education Committee and the Research Degrees Committee have delegated the authority to the Academic Partnership Review Group (APRG) to review proposals for academic partnerships with other organisations (both UK and international) which lead to or involve the award of UCL credit and/or qualifications. The Academic Policy and Quality Assurance team will be responsible for the processes underlying the development, approval and operation of such partnerships.

7.   The APRG consists of representatives of these two committees as well as other UCL stakeholder Departments as appropriate (including but not limited to Student and Registry Services, Legal Services and the GEO) and is supported by the Academic Policy and Quality Assurance team.

3.2   Faculty Management Framework

1.   Responsibility for quality management of learning and teaching is located with Heads of (Academic) Departments (excluding the School of Life and Medical Sciences) in liaison with the relevant Dean of Faculty; this is devolved to Heads of Department from Council via the Provost.

2.   In the School of Life and Medical Sciences, responsibility for quality management of learning and teaching is located with the relevant Directors of Division/Institutes; this is devolved to Directors from Council via Deans of Faculties, Vice-Provost (Health) and ultimately the Provost.

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3. With paragraphs 3.2.1 and 3.2.2 in mind, the day-to-day management of academic partnerships sits at local (departmental, divisional or institutional) level, normally through the Academic Programme Director, who has been appointed to the academic partnership and who is responsible for the day-to-day running of the partnership programme/activity and for ensuring that the partnership adheres to UCL's systems and procedures.

4. Management of academic partnerships must be included in the terms of reference of Departmental committees to ensure that this is embedded and this in turn reflected in the terms of Faculty committees to ensure consistency between organisational layers of UCL. The Department Teaching Committee, or equivalent, should receive the minutes of Joint Management Committees.

3.3   Professional Support and Oversight

1. The Academic Policy and Quality Assurance team provides a central point of contact at UCL regarding academic partnerships which lead to or involve the award of UCL credit and/or qualifications. This central team acts as an advisory and co-ordinating body for the approval, development and management of academic partnerships, linking up the relevant UCL stakeholders and ensuring oversight at institutional level.

2. The instigation and academic development of academic partnerships is undertaken within academic Departments and Faculties, always in liaison with the Global Engagement team (GE) (for international partnerships).

3. The processes for supporting academic partnerships beyond inception are situated in the Academic Policy and Quality Assurance team. This team is the first point of contact for any member of UCL wishing to propose entering into an academic partnership.

4. The Academic Policy and Quality Assurance team provides expertise and guidance in evaluating and developing partnerships for academic Departments and other stakeholders during all phases of the partnership, from initial approval through to implementation, operation, review and termination.

5. The Academic Policy and Quality Assurance team coordinates communication with other UCL stakeholders who may need to be consulted with regard to each partnership (e.g. GEO, Legal Services).

6. The Academic Policy and Quality Assurance team is responsible for ensuring that any reporting relating to academic partnerships required under the Office for Students Regulatory Framework takes place (in line with UCL's standard practice for reporting to the Office for Students).

7. The Academic Policy and Quality Assurance team also develops and services the Academic Partnership Review Group described in Section 3.1 and other cross-UCL teams and working groups to share good practice and resolve common issues which may occur. The team also works directly with relevant areas across UCL to resolve more specific issues.

4 The Lifecycle of an Academic Partnership

4.1 Overview

1. There are four main stages to the lifecycle of an academic partnership:
   - Inception and approval;
   - Operation and monitoring;
   - Review and renewal;
   - Termination.
1. The process for management of the lifecycle is situated in Academic Services apart from in the case of student exchange/study abroad programmes, which are managed by the Study Abroad team, and placements and medical electives which are managed by the relevant academic Department.

4.2 Initial Inception

1. In the first instance, a UCL staff member seeking to instigate an academic partnership must seek initial endorsement to proceed from his/her Head of Department/ Director of Division/Institute and Dean of Faculty. Such partnerships must be considered in line with the policy set out in Part 1 of this framework.
2. The proposer must then contact the Academic Policy and Quality Assurance team who will support the proposal through its lifecycle. Any agreement to proceed with developing the partnership by the relevant Head of Department/ Dean of Faculty must be provided to the Academic Policy and Quality Assurance team along with details of the potential partnership.
3. Advice on how to articulate the partnership activity can be obtained from the Academic Policy and Quality Assurance team.
4. In the case of potential international partners, the Academic Policy and Quality Assurance team will consult with the Global Engagement team (GE) in order to obtain endorsement for the potential partner.

4.3 Procedure for Approval of a New Academic Partnership

1. The Academic Partnerships Proposal Form (*Annex 8.2*) must be completed by the proposer, with support provided by the Academic Policy and Quality Assurance team. Depending on the nature of the proposal, other departments, e.g. Registry, or particular members of staff, e.g. Teaching and Learning Manager or Finance Manager, may need to be consulted regarding practical aspects of the partnership.
2. The Joint and Double Research Degree Partnership Form (*Annex 8.7*) must be completed for these partnerships instead of the Academic Partnerships Proposal Form.
3. The Academic Policy and Quality Assurance team will determine the level of due diligence required based on the type of the proposed partner institution and partnership activity. Depending on the outcome of the Academic Policy and Quality Assurance team's risk assessment, the Department may be asked to complete the Additional Due Diligence Checklist and/or the Site Visit Checklist for the proposed partnership.
4. The completed New Academic Partnerships Proposal Form, Additional Due Diligence Checklist and Site Visit Checklist (as required) are scrutinised and considered for approval by the relevant Departmental Teaching Committee and the Faculty Teaching Committee, or the equivalent committees for research degrees.
5. The completed forms must then be submitted to the Academic Policy and Quality Assurance team for final review.
6. The full proposal and due diligence information must be subsequently considered by the Academic Partnerships Review Group.

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7. Approved proposals will be formally approved by the Education Committee or the Research Degrees Committee as appropriate.
8. Once a proposal has been approved, the production of a Memorandum of Agreement will be co-ordinated by the Academic Policy and Quality Assurance team. The draft agreement will be shared with the academic lead for the partnership activity and the Faculty Tutor or Faculty Graduate Tutor, and negotiated with the partner organisation.
9. Approval for new programmes or modules delivered in partnership must be undertaken in parallel to the academic partnership approval process as per the relevant UCL procedures (see the Programme and Module Approval Framework). Programme approval is required for all joint and double award programmes, dual degree programmes where the UCL award is contingent on the partner institution award and double and joint research degrees. Teaching contribution partnerships will normally also require a level of programme or module approval. Flying Faculty partnerships require approval as a new route to an existing programme, or the full programme approval if the programme is new. The Academic Policy and Quality Assurance team will advise the Faculties and Departments on which level of programme or module approval is required for a proposed academic partnership.

4.4 Full Proposal Documentation

1. Once initial approval to develop an academic partnership has been given, the following documents must be completed and signed off by the relevant parties depending on the type and risk level of the proposed partnership. The following table is intended as a guide as to what is required, although the Academic Policy and Quality Assurance team will always advise the Departments as to which documents are required for specific partnership:

Academic Partnership Proposal form (Annex 8.2)	This must be completed for all proposals by the proposer. Once completed it should be scrutinised by the Departmental Teaching Committee and Faculty Teaching Committee. The partner institution should also confirm its agreement to certain sections of the form as indicated.
Additional Due Diligence Checklist (Annex 8.3)	This must be completed if required by the Academic Policy and Quality Assurance team based on their initial risk assessment of the proposed partnership. Some parts of it may not require completion, depending on the nature and risk level of the intended partnership.
Site Visit Checklist (Annex 8.4)	This should be completed if a non-UCL venue is to be used for the provision of part or all of a partnership activity, as advised by the Academic Policy and Quality Assurance team.
Articulation Agreement Curriculum Mapping	The mapping is required for Articulation agreement proposals where UCL will count credits from the partner institution as part of the UCL degree by admitting the students to the UCL programme with advanced standing. The mapping should include: • Evidence of the *equivalence of the study workload* undertaken at the partner university to the relevant years of the UCL programme (using e.g. credit conversion or learning hours); • Evidence of the *equivalence of the level of the partner programme* to the FHEQ level of the UCL

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	degree (through e.g. an analysis of the assessment methods and/or learning outcomes); and • *Comparative analysis of the content of the partner programme and the UCL degree* to ensure the students possess the relevant skills and knowledge when joining the UCL programme with advanced standing
Joint and Double Research Degree Partnership Form (Annex 8.7)	This must be completed for all Double or Joint PhD proposals by the proposer. Once completed it should be scrutinised by the Departmental Research Degrees Committee and Faculty Research Degrees Committee. The partner institution should also confirm its agreement to certain sections of the form as indicated. The proposer must also follow the standard approval process for Doctoral Programmes set out in Chapter 7, Part B: Programme and Module Approval and Amendment.

4.5   Operational and Regulatory Considerations

1. The following operational and regulatory issues must be considered when developing a proposal for an academic partnership.
   a) Marketing and recruitment:
      ▪ how the programme will be marketed and students recruited;
      ▪ what mechanisms are in place to approve any marketing and publicity material produced by either institution.
   b) Admissions and entry requirements:
      ▪ clarify the process for dealing with applications;
      ▪ clarify any delegation of responsibility to the partner organisation;
      ▪ admissions processes need to take account of both partners' entry criteria and regulations as well as any PSRB requirements, or joint entry criteria may need to be developed. The entry criteria for partnership programmes should not be lower than for programmes delivered entirely at and by UCL. Any changes proposed to the standard UCL entry requirements, including overseas equivalence of entry qualifications, must be approved by the Programme and Module Approval Panel and documented in the Programme Summary of the relevant programme. English language requirements can never be lower than the standard UCL requirements.
   c) Assessment arrangements:
      ▪ which assessment regulations will apply to the module(s) or programme(s);
      ▪ who will be responsible for the assessment of students and how will the equivalence of marking practices be guaranteed;
      ▪ which provider's appeals procedure will be followed and, where appropriate, the relationship between the two procedures;
      ▪ the language of instruction will normally be in English (except for language degrees, where relevant).
   d) External examiner arrangements:
      ▪ the External Examiner arrangements for the partnership programme must be consistent with the UCL Quality Review Framework;
      ▪ External Examiner(s) have to be appointed for all joint and double/multiple award programmes and the External Examiner(s) need to, on request, have access to samples of assessed work or

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examination scripts from the partner institution in order to have full oversight of the academic standards for the whole programme;
  ▪ a joint Board of Examiners with representation from both/all institutions should be set up for joint and double/multiple award programmes.

e) Financial processes:
  ▪ clarify where, when and how tuition fee income or any other income will be paid and by whom;
  ▪ clarify any invoicing arrangements.

f) Learning resources:
  ▪ consider what access to learning resources students require from each partner, e.g. online resources provided by the partner, and how these will be accessed;
  ▪ consider whether staff from each partner organisation will need to access any resources at the other, e.g. library.

g) Legal framework:
  ▪ all academic partnerships must be subject to a legally-binding agreement based on approved UCL templates setting out the responsibilities of each party;
  ▪ all legally-binding agreements must be time-limited and undergo review prior to renewal.

h) Management arrangements:
  ▪ partnership programmes must be managed in the same way as any other UCL degree programme;
  ▪ an academic lead must be responsible for the management of the programme including liaison with the partner organisation;
  ▪ clarify how the programme will be managed, e.g. by a joint programme committee involving staff from the partner organisation if appropriate, and how this relates to UCL management structures.

i) Monitoring arrangements:
  ▪ Departments/Institutes and Faculties must monitor and review academic partnerships within the UCL Quality Review Framework.

j) Quality management:
  ▪ as UCL is responsible for the learning experience of students registered on its qualifications, the UCL Quality Review Framework must apply to academic partnerships programmes.

k) Award details/certification:
  ▪ in the case of joint or multiple awards:
    o arrangements for the production and content of degree certificates and transcripts must be defined;
    o arrangements relating to graduation processes and/or ceremonies must be clearly laid out.

l) Classification:
  ▪ Where the UCL qualification is contingent on credit obtained at the partner institution, the formula for calculating the classification for the programme must be agreed.
  ▪ If
    o the number of credit taught by the partner institution constitutes a maximum of 1/2 of the credits required for the UCL qualification;
    o the partner institution does not use the UCL marking scheme; and
    o UCL is the sole degree-awarding body for the qualification, the grades from the partner institution may be excluded from the classification of the UCL qualification.
  ▪ For jointly awarded qualifications, either the standard UCL, the partner institution or a jointly developed classification scheme may be used. If the standard UCL classification is not used, the proposed

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classification scheme must be approved by PMAP as part of the programme approval process.

- The classification scheme for each academic partnership programme that does not use the standard UCL classification scheme must be set out in the programme summary and the additional student terms and conditions for that programme.

m) Resources:
- clarify the staffing resources required, including the academic lead, from both organisations;
- consider the implications for UCL estates and facilities where relevant.

n) Registration and induction:
- clarify who is responsible for registering and inducting students on the partnership programme, including the registration status of students;
- in the case of joint or multiple programmes, students must remain registered at UCL during any periods of time spent at the partner institution;
- clarify whether students will remain registered at both institutions for the duration of the programme;
- consider any visa requirements and any requirements relating to Student Visa responsibilities;
- information on the partnership programme must be made available to students, particularly around regulations and procedures, access to learning resources within both institutions, student support and assessment, and any transfer of data between the partners, e.g. personal details, transcripts.

o) Student support:
- students registered at UCL on a partnership programme should be entitled to the same student support services, e.g. for disability, as students on other UCL degrees;
- clarify how students moving between organisations will access these services and how support will be configured;
- how student feedback is collected, shared and acted upon by the partner institutions.

p) Data transfer
- what personal data (student and/or staff) is shared with the partner institution and is any of that data special category sensitive data;
- If the partner institution is based outside the European Economic Area (EEA), Departments must comply with the guidance on Transfers of personal data outside the EEA;
- data protection issues must be addressed in the Memorandum of Agreement as advised by the Academic Policy and Quality Assurance team.

2. When developing the proposal in liaison with the partner institutions, the proposer should consult with colleagues who might contribute to the development and operation of the programme. As a guide, these may include:
   i. Faculty Tutor/Faculty Graduate Tutor
   ii. Academic staff involved in the programme
   iii. Faculty manager
   iv. Departmental learning and teaching manager
   v. Departmental/ Institute manager/finance officer (for operational and financial advice, administrative resourcing issues)
   vi. Central UCL colleagues (e.g. the GEO; Academic Services, Admissions, the Doctoral School)

3. Failure to consult adequately may result in aspects of the proposed partnership programme not working effectively, e.g. students not being registered correctly, or degree certificates not being produced with the correct details.

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4. If staff are unclear as to who they should consult with, they should speak to the Academic Policy and Quality Assurance team for advice.

4.6   Memorandum of Agreement

1. Once a proposed academic partnership has been fully approved by the Academic Partnership Review Group (and any associated programme approval completed), the proposer must ensure that a Memorandum of Agreement (MOA) is adapted and signed by both UCL and the partner organisation(s).
2. The Academic Policy and Quality Assurance team will support this process and draft the MoA in liaison with the academic Departments.
3. It is the responsibility of the UCL academic lead for the academic partnership to ensure s/he is familiar with the content of the MOA and for ensuring that both UCL and the partner organisation adhere to the responsibilities set out in the agreement.
4. Advice on the template to be used and finalising of the MOA is available at any time from the Academic Policy and Quality Assurance team.
5. The authorised signatories for Memoranda of Agreement for academic partnerships are set out below with reference to the Council-approved Delegated Authorisation Limits:

Description of the agreement	Signatories
• Value of the MoA or potential UCL liability under the MoA of **over** £250k • With an **international** partner	• Director of Finance and Business Affairs • 2. Vice-Provost (Research, Innovation and Global Engagement). • 3. Head of Doctoral School (research degrees)
• Value of the MoA or potential UCL liability under the MoA of **up to** £250k • With an **international** partner	1. Vice-Provost, Education and Student Experience (taught degrees)/Head of Doctoral School (research degrees) 2. Vice-Provost (Research, Innovation and Global Engagement).
• Value of the MoA or potential UCL liability under the MoA of **over** £250k • With a **UK** partner	1. Director of Finance and Business Affairs 2. Vice-Provost, Education and Student Experience/Head of Doctoral School (research degrees)
• Value of the MoA or potential UCL liability under the MoA of up to £250k • With a **UK** partner	1. Vice-Provost, Education and Student Experience/Head of Doctoral School (research degrees)

6. UCL Academic Services must retain one fully-signed original copy of the MOA and another must be returned to the partner organisation.
7. UCL Academic Services will keep central records of all Memoranda of Agreement signed for academic partnerships under this framework. During the academic year preceding the year when a Memorandum of Agreement is due to expire, the Academic Policy and Quality Assurance team will contact the relevant Department and Faculty to facilitate the renewal of the agreement (unless the Department wishes to terminate the partnership instead, in which case the provisions in Section 4.8 apply).
8. To ensure that the academic partnership is viable and continues to provide excellent learning opportunities to the students, the Departments must complete Annex 8.5 Academic Partnership Renewal Form for consideration and approval by the Academic Partnerships Review Group (APRG) on behalf of Education Committee and Research

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Degrees Committee. The renewal of the agreement will not take place until approval for the continuation of the partnership has been obtained by APRG.

9. If there is no APRG-approved and fully signed Memorandum of Agreement in place for an academic partnership on 1 September in any year, the recruitment of the next intake to that programme or module (if the module is not compulsory) must be suspended until the Memorandum of Agreement has been fully signed.

10. If a change is proposed to an academic partnership during the term of the Memorandum of Agreement (e.g. a programme amendment), advice should be sought from the Academic Policy and Quality Assurance team to determine whether the Memorandum of Agreement requires amendment. Should an amendment to the Memorandum of Agreement be required, the Academic Policy and Quality Assurance team will draft a Variation of Agreement letter to reflect the change and ensure that this is signed by UCL and the partner organisation(s) in liaison with the relevant Faculty.

4.7 Operation and Monitoring of an Academic Partnership

1. The academic Departments are responsible for managing the academic partnerships they have, with support from the Faculty and any relevant professional service departments. The Department appoints an Academic Programme Director for the partnership, who is the first point of contact for all matters relating to the partnership and programme.

2. Departments should also appoint a dedicated member of administrative support staff to assist the Academic Programme Director in fulfilling their responsibilities.

3. The specific key responsibilities of the Academic Programme Director are set out in the Memorandum of Agreement relating to the partnership. The responsibilities can vary depending of the type of academic partnership, but the following responsibilities normally apply to taught degrees:

   - acting as the first point of contact for the partner institution at UCL;

   - having an oversight of marketing and recruitment of students as well as admissions and registration of students on the programme at UCL;

   - ensuring that the teaching and assessment processes are carried out as per respective institutional requirements;

   - assuring the academic standards and quality management of the programme in line with institutional and external national requirements, including student engagement and feedback processes for all parts of the programme;

   - the day to day management of students registered on the programme;

   - liaison with academic and professional services staff at UCL and partner institution as appropriate;

   - ensuring external examiner(s) are appointed to the programme, and liaising with the external examiner(s) as appropriate;

   - ensuring that all information published and made available to students and other stakeholders through both institutions is accurate, up to date and reliable;

   - ensuring that information on the students' achievement, performance and registration on the programme while they are based at the partner institution is obtained and processed by UCL as necessary for the purposes of managing students' records and awarding the degree;

   - ensuring that the conditions and terms stated in the Memorandum of Agreement are adhered to within UCL.

4. Most academic partnerships (as set out in the Memorandum of Agreement) will require a Joint Management Committee, which includes representatives from both/all

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institutions and meets at least annually to discuss developments and issues relating to the partnership and programme. A template agenda for a Joint Management Committee can be found in *Annex 8.8*. Further terms of reference and operation for each Joint Management Committee are set out in the relevant Memorandum of Agreement.

5. All academic partnerships are reviewed annually as part of UCL's Annual Student Experience Review (ASER) process.

6. Academic partnerships are periodically reviewed as part of UCL's Internal Quality Review processes (see Chapter 9: Quality Review Framework).

7. The viability and operation of an academic partnership are evaluated upon the renewal of the relevant Memorandum of Agreement (see Section 4.6).

4.8 Termination of an Academic Partnership

1. Termination of a collaborative partnership may be categorised in one of three main ways as follows:
   i. Termination of the partnership by UCL before the term of the Memorandum of Agreement has finished;
   ii. Non-renewal of the Memorandum of Agreement when its term has expired. This may be by mutual agreement of both institutions or by one institution or the other not wishing to continue the collaboration;
   iii. Termination by the partner organisation before the Memorandum of Agreement has reached its full term.

2. Termination of a partnership by UCL may be for a number of reasons, for example, failure to recruit sufficient student numbers to make the partnership viable, financial matters, quality issues or government changes in the country of the partner institution. These examples are not exhaustive.

3. The partner organisation may terminate the partnership with UCL for a variety of reasons, some of which may be similar to those given above.

Termination and Duty of Care to Students

4. Whatever the reasons for the termination of an academic partnership, whether mutually agreed or by one partner or the other, both institutions have a duty of care to students studying and registered on a programme carrying a UCL award. The duty of care is such that students must be able to complete their programme to the normal timescales. UCL should endeavour to agree an exit strategy with the partner organisation that ensures this duty of care is met for students.

Exit Strategy

5. Unless the Memorandum of Agreement includes specific and clear reference to the obligation of both parties to continue to support the students even after the expiry or termination of the agreement until all students have successfully completed their UCL programme or module, the two organisations should agree an exit strategy that ensures all current students can complete their UCL programme. This should be a written document and may take the form of a letter. An exit strategy should also include timescales for current students to complete their programme of study and allow for the possibility of resits, deadline extensions and so forth where there are justified extenuating circumstances.

6. Where a partner institution cannot provide an arrangement which will provide this duty of care to students, for example, due to insolvency resulting in ceasing to trade, it is the responsibility of UCL to ensure the duty of care to current, enrolled students is met. This may require alternative arrangements for teaching, assessing and providing equivalent learning opportunities for the students.

Approval

7. *Annex 8.6 Academic Partnership Termination Form* should be completed and signed as indicated for partnership terminations that do not involve terminating a degree

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programme or a route on a degree programme. When complete, this should be submitted to the Academic Policy and Quality Assurance team for report to the Academic Partnership Review Group (APRG).

8. The arrangements for termination, duty of care to students and the exit strategy as set out in the termination form must be approved by the Head of the Academic Department and then signed off by the Dean of Faculty or the Faculty Tutor. If the partnership is a non-UK partnership, the Academic Policy and Quality Assurance team will also inform the Global Engagement team of the termination.

9. Where the partnership termination involves terminating a degree programme or a route on a degree programme, the programme withdrawal process set out in Chapter 7, Part B: Programme and Module Approval and Amendment must be followed instead of using *Annex 8.6 Academic Partnership Termination Form.* The Programme Withdrawal Questionnaire will be also approved by the Academic Partnerships Review Group where it includes a termination of an academic partnership.

10. The Academic Policy and Quality Assurance team can offer advice and guidance on matters to do with termination, exit strategy and duty of care to students if required.

UCL Academic Manual 2022-23

Chapter 9: Quality Review Framework

Chapter 9 is UCL's regulatory framework for monitoring standards, the student experience and strategic quality enhancement activities across UCL. It includes the regulations for Annual Student Experience Reviews (ASER), Internal Quality Review (IQR) and External Examining as well as Peer Observation of Teaching, Staff-Student Consultative Committees, Student Representation on UCL Academic Standing Committees and Sub-Committees and Academic Committee Review Panels.

1   Introduction

1.   A risk-based, proportionate, outcome-driven quality and review framework is a vital tool for ensuring the security of academic standards and the quality of learning opportunities for students. UCL's Quality Review Framework integrates all key processes for monitoring standards, the student experience and strategic quality enhancement activities.

External Context

University College London (UCL) is responsible for the standard and quality of the awards made in its name and the quality of the programmes that lead to those awards. Responsibility for developing and delivering programmes is delegated to Departments which all aspire to excellence on taught or research programmes. These aspirations require regular monitoring, review and constructive peer dialogue to provide the necessary assurance, both to the University and to external agencies such as the Quality Assurance Agency (QAA) and the Office for Students (OfS) about standards and quality.

Purpose of the Framework

The Quality Review Framework should provide assurance to UCL of the following:
- Faculties and Departments have strategic oversight of, and take responsibility for, the academic standards and quality of their programmes, which includes undergraduate, postgraduate taught and graduate research programmes (including professional doctorates).
- All students are treated fairly, equitably and as individuals.
- Students have the opportunity to contribute to shaping their learning experience.
- Students are properly and actively informed at appropriate times of matters relevant to their programmes of study.
- There is sufficient external involvement in the design, approval and review of the curriculum.

- Staff are supported to deliver high quality student experiences.
- Innovation and creativity in the design and delivery of the curriculum is actively supported.

Principles Underpinning the Framework

The following principles underpin the entire Quality Review Framework:
- Processes for monitoring quality ought to be proportionate to the risk to the student experience and academic standards.
- The framework must ensure that the student interest is being served.
- The framework should respect the academic expertise and administrative professionalism of staff in Departments and faculties.
- Students should be engaged in all elements of the framework.
- Processes must be conducted in a consistent and systematic fashion and be underpinned by robust, high quality data.
- The framework should encourage and promote enhancement and sharing good practice.

2   Annual Student Experience Review (ASER)

Please note: Annual Student Experience Review (ASER) is being replaced by a process of Departmental Education Planning which is currently in development.

Guidance for the new process will be published in Spring 2023.

3   Internal Quality Review (IQR)

Please note: Internal Quality Review (IQR) is being replaced by a new risk-based periodic departmental review process which is currently in development.

A Pilot will be conducted in Spring/Summer 2023.

4 External Examining

1. External examining provides one of the principal means of maintaining UK academic standards within autonomous higher education providers. External Examining is therefore an important part of UCL's Quality Review Framework (QRF). The following regulations are applicable only to taught programmes of study, including Undergraduate, Initial Teacher Education and Postgraduate.

4.1 Criteria for Appointment

1. External Examiners must be appointed for all taught programmes delivered by UCL and academic partner institutions.
2. External Examiners must be competent in assessing students' knowledge and skills at higher education level; expert in the field of study concerned and have appropriate academic and/or professional experience and authority.
3. External Examiners appointed to programmes must meet any specified qualification requirements of the relevant Professional, Statutory and Regulatory Bodies.
4. External Examiners must be from outside UCL and must not be involved in teaching on the programme, or be involved in collaborative activity with the staff or students of that programme, for five years before their term of office and during their term of office. This includes Honorary staff members.
5. Former members of UCL staff and former UCL students must not be appointed as External Examiners before a lapse of at least five years. It must also be ensured that all students taught by that former member of staff have left the programme being examined
6. External Examiners should not normally hold more than one other substantive External Examinership in addition to their appointment for UCL.
7. External Examiners should not be appointed to examine a single module unless there is a good reason for doing so.
8. External Examiners for undergraduate Boards of Examiners must be eligible to work in the UK.
9. A member of the academic staff of a College of the University of London other than UCL, or any other external institution with which UCL has service teaching arrangements, may be appointed as an External Examiner. It is imperative that the Board of Examiners at UCL, on which the appointee will serve, so far as can be anticipated, is examining no students from the appointee's college.
10. An External Examiner will not be appointed from a department/division in which a member of UCL staff is serving as an External Examiner. Boards of Examiners must check these details with staff in their Department and with the nominee prior to submitting the nominee's details.
11. Only one External Examiner from the same department/division or Faculty of an institution will be appointed to examine the same programme at any one time.
12. An External Examiner may be appointed from the same department/division or Faculty of an institution only after at least two years have elapsed since the termination of the previous appointment from that department/division or Faculty.
13. Exceptions to the foregoing stipulations may on occasion be permitted, for example, in the case of subjects taught only in a very small number of institutions or subjects with an unusually high number of specialisms. These exceptions must be granted by the Vice-Provost (Education and Student Experience) or nominee .
14. External Examiners must declare, at the time of appointment, or continuation in appointment, any interest in or connection with any student or staff on the programme for which they are acting as External Examiner whether that interest or connection is personal or professional. If such an interest or connection exists, the External Examiner in question should not be appointed or re-appointed. The Chair of the Board of Examiners is responsible for managing this process and should notify any cases to the Vice-Provost (Education and Student Experience) or nominee.

15. After serving for a period of four consecutive years, (or five years if an extension to service was approved by the Vice-Provost (Education and Student Experience) or nominee, an External Examiner is not eligible for re-appointment for a period of five years. The period of service is defined as the period of service as an External Examiner at UCL and not as the period of service as External Examiner to a particular Board of Examiners.

4.2 Responsibilities of UCL

1. At the time of nomination Departments and Student & Registry Services should provide the External Examiner with sufficient information to enable him/ her to make an informed decision as to whether or not to accept the appointment.
2. Student & Registry Services issue an appointment email clarifying information on payment of fees and expenses and details of UCL's academic regulations. This appointment email acts as a contract letter for the External Examiner.
3. Departments should ascertain whether or not External Examiners have any access requirements or require any reasonable adjustments in order to carry out their duties, as outlined in UCL's Equal Opportunity Policy.
4. UCL will pay expenses promptly on receipt. The fee will be paid on receipt of the External Examiner's report, provided that it is submitted via Portico within one month of the Board of Examiners meeting.
5. Postgraduate External Examiners are registered at UCL as self-employed and are therefore required to declare their income and payment of any sums owed to the Inland Revenue directly.
6. Departments should take the opportunity to meet new External Examiners either online or in person ahead of their first Board of Examiners, to ensure that this meeting is not the first time at which they meet the generality of academic staff.
7. As a minimum, Departments must provide new and continuing External Examiners with the following information by the start of the academic year:
   i. The name of departmental/divisional board contact (e.g. Examinations Liaison Officer, or Board Administrator).
   ii. The date(s) of meetings of Board of Examiners to which the External Examiner is invited (when known).
   iii. The Terms of Reference, Constitution and Membership of the Board (e.g. number of Internal Examiners and any interdepartmental/ interdivisional involvement).
   iv. The number and subject area of other External Examiners appointed to the Board.
   v. The Student Handbook or equivalent, Programme Summary and/ or syllabus information.
   vi. The programme regulations to be used in determining student Progression, Awarding and Classification.
   vii. The marking criteria for individual papers (when known).
   viii. The previous year's External Examiners' report and the departmental response.

4.3 Responsibilities of the External Examiner

1. The primary responsibilities of a Taught Programme External Examiner are to approve summative assessment tasks prior to students being assessed and to submit an annual report via Portico, based upon their professional judgement, about the following aspects of the programme(s) they examine:
   i. Whether the academic standards set for the programme qualifications are appropriate.
   ii. The extent to which the assessment processes are rigorous, ensure equity of treatment for students and have been fairly conducted within UCL's regulations and guidance.
   iii. The standards of student performance in the programme, or parts of programmes, which they have been appointed to examine.

      iv.   To formally delegate authority to Sub Boards to make decisions on their behalf.
      v.   Where appropriate, the comparability of the standards and student achievements with those in some other higher education institutions in the UK.
      vi.   Identify comparable practice.

It is not an External Examiner's responsibility to mark any form of summative assessment.

2. The External Examiner's Report Form requests External Examiners to suggest recommendations based on areas of concern not satisfactorily resolved at the meetings of the Board of Examiners.

3. The form must be completed on Portico (UCL's student and assessment record system) within one month of the final meeting of the Board of Examiners so that External Examiner's comments can be taken into account for the next academic session. The External Examiners Reporting procedures are set out in the Regulations for External Examining Annex 9.4.1 Main Steps: Response to External Examiners' Reports. Payment of the External Examiner's fee is authorised when the report is received via Portico by Student & Registry Services and within the one month timeframe.

4. External Examiners should consider the totality of the degree in respect of both the syllabus and examination. The major part of their role should be devoted to modules and the assessment elements which are the main determinants of the degree classification. (In some cases this will not be possible as External Examiners are appointed to examine specific module(s) and not a full programme).

5. External Examiners will comment on the appropriateness of new or amended methods of assessment.

6. External Examiners will be sent a representative sample of a range of assessments that will enable them to make an informed judgement as to whether the internal marking is of an appropriate standard, consistent and fair to all students.

7. External Examiners may be invited to attend oral / practical examinations and assessments as observers.

8. External Examiners may recommend to the Board of Examiners changes to the marks already arrived at by the Internal Examiners if these appear to them to be inappropriate. Where significant changes are recommended by External Examiners it is essential for them to see all the assessments for that component of the assessment.

9. When reviewing students' assessments External Examiners should comply with data protection regulations, maintaining confidentiality of the content of students' work.

10. External Examiners will be sent details of other local responsibilities which may exist for the programme(s) they examine

4.4   Nomination and Appointment

4.4.1   Process of Nomination

1. The Chair of a Board of Examiners will nominate an External Examiner for all or part of a taught programme.

2. External Examiners must be appointed before the start of the academic session so that they can approve assessment tasks in good time. Nominees must not be asked to undertake any duties until their appointment is formally approved.

3. In making a nomination, the Chair will take account of the appointment criteria specified in Section 4.1 Criteria for Appointment, including confirmation of approval of the nomination from the relevant Chair of the Faculty Board of Examiners and Academic Policy and Quality Assurance (APQA) Team where necessary (i.e. where a conflict of interest is identified).

Further Guidance

1. External Examiners need access to a restricted area of Portico (UCL's student records system) to complete the Portico nomination form. NB -This is particularly important because External Examiners will submit their annual reports to UCL also using an on-line tool constructed for this purpose.

2. Access is gained by Board Teams providing all of the information listed below via the MS nomination form. Please do not email us these details. Please find this form here:

External Examiner Details MS Nomination Form

i. Required information:

ii. General
- Eligibility for nomination: confirmation that the nomination meets the Criteria for Appointment (Section 4.1)
- Reasons for the criteria not being met (if relevant)
- Nominator (Board Team or Faculty Representative)

iii. Nominee's details
- Title
- Surname
- Forename
- Contact email address
- Home Institution/Company*
- Home Faculty*
- Home Division/Department*

iv. Board of Examiner Details
- Academic start year
- Is the nomination for a new BoE?
- Board Code
- Board Title
- Programme Title*
- Outgoing External Examiner's UPI
- Outgoing External Examiner's Name
- If there is no outgoing External Examiner, the reasons for the nomination
- If the outgoing External Examiner is terminating early, the reasons for this
- If the nominee will act on multiple Boards, provide all Board codes

*This information is required to help the APQA Team check the eligibility criteria has been met.

v. Please note that if any of the required information is missing Board Teams will be asked to provide it before the nomination can proceed as this data is used to generate the External Examiner Unique Personal Identifier.

vi. The APQA Team will contact the nominee for the following information:
- Nominee's Date of Birth (required to set up on UCL Services System)
- Nominee's home address,
- Gender

3. The APQA Team will set up the nominee on UCL's Services System.
4. The APQA Team will Appoint the nominee to the relevant Board of Examiners. This generates an email to the nominee, containing a link to the Portico online nomination form.
5. Submission of the online nomination form, generates an In Tray task in Portico for the Chair, Deputy Chair and Administrators of the Board of Examiners. This task is for Board approval of the nomination.
6. Upon checking the details, including for UG External Examiners their Right to Work evidence (see Point 13 below), and being content to proceed with the nomination, the Board approves the nomination.
7. Once Board approval is submitted, an In Tray task in Portico for the Faculty representatives is generated. The Faculty approver can accept or reject the nomination or send queries back to the Chair of the Board.

8. Once Faculty approval is submitted, the nomination is sent to the APQA Team for approval, or otherwise, on behalf of the Vice-Provost (Education and Student Experience).
9. On approval by the Vice-Provost (Education and Student Experience)'s nominee, the External Examiner is appointed by UCL for a period of 4 years (or less if requested).

Responsibilities of the Board of Examiners
10. Chairs of Boards should consider the travelling distances involved from a proposed External Examiner's place of residence to UCL, practicalities of travel and the likely costs to UCL in expenses, noting that Student & Registry Services is only able to reimburse up to certain values, and any additional sums will be charged to the relevant department / division. Please refer to the UCL Expenses policy: https://www.ucl.ac.uk/finance/policies-corporate-info/expenses-policy
11. The appointment of overseas External Examiners should be limited.
12. It is the responsibility of the Chair of the Board of Examiners to verify eligibility of UG External Examiners to work in the UK or to arrange suitable provision, for example a Permitted Paid Engagement letter to enter the UK. The guidance set out on the UCL Human Resources - Immigration website should be followed.
13. Boards of Examiners should avoid appointing excessive numbers of External Examiners.

4.4.2   Period of Appointment

1. External Examiners are appointed for a period of four academic years.
2. In exceptional circumstances, External Examiners may have their four-year term extended for one further academic session only, subject to the approval of the Quality Review Sub-Committee. Chairs of Boards of Examiners are responsible for requesting extensions for their External Examiners via submission of the form: Extension Request for UCL External Examiners.
3. If it is decided that an External Examiner will finish their term before the four-year period is completed, the Chair of the Board must formally notify the External Examiner concerned and inform the Chair of Quality Review Sub-Committee of the decision via examiners@ucl.ac.uk with a brief statement of reason.

4.4.3   Continuation of Appointment

1. An External Examiner has the right not to seek continuation in appointment at any time during the period in which they are eligible to serve. See point 4.4.4.2 below for details on early termination of appointment.
2. If an External Examiner interrupts his/her service, the interrupted period does not count when calculating the total period of service. examiners@ucl.ac.uk should be informed of any interruption of service before the interruption takes place.

4.4.4   Termination of Appointment

1. UCL reserves the right not to continue the appointment at any time during the period that the External Examiner is eligible to serve. External Examiners will be formally notified by the Chair of the Board as outlined in Section 4.4.2 Period of Appointment.
2. If the External Examiner wishes to terminate their appointment, this should normally be arranged to take effect at the end of an academic year, but in any case is subject to three months' notice.

4.5   Student Contact with External Examiners

1. UCL is required to provide details of its External Examiners, for information only, to students, including the name and institution of the External Examiner.
2. Students must not make direct contact with External Examiners regarding their individual performance in assessments. Appropriate mechanisms are available to raise these concerns through the procedures set out in Chapter 6, Section 7: Academic Appeals Procedure. External Examiners should inform examiners@ucl.ac.uk should a student contact them.
3. External Examiners may be given an opportunity to meet students to ascertain their thoughts about the strengths and weaknesses of their educational experience at UCL. This is not something that is routinely offered to External Examiners but can be arranged by the programme / board administrators should the External Examiner wish to meet students.

4.6   Entitlements of External Examiners

1. External Examiners are entitled to withhold their approval to decisions of the Board of Examiners under the following circumstances:
   i) They are in a dispute with those decisions which cannot be resolved at Board of Examiner level.
   ii) They are not satisfied that the examination procedures have been properly carried out.
   iii) They perceive serious deficiencies in the examination procedures. In all such exceptional circumstances the matter in question will be referred directly to the UCL Quality Review Sub-Committee.
   iv) External Examiners have the right to raise matters of serious concern at the highest level of UCL, either with the Chair of Quality Review Sub-Committee or Vice-Provost (Education & Student Experience). When all institutional avenues have been exhausted, External Examiners may contact QAA through its Concerns scheme route.

4.7   External Examiner Reports

4.7.1   Distribution of Reports and Response to Reports

1. The process for considering External Examiners' reports is set out in the External Examiners' Reporting Process (see Annex 9.4.1 Main Steps: Response to External Examiners' Reports).
2. Access to these documents will be provided to students via UCL's student records system, Portico, and should also be discussed at Departmental Staff-Student Consultative Committees.
3. A flow chart for the External Examiner Reporting process is available at Annex 9.4.2.

4.7.2   Annual Student Experience Review (ASER)

1. The Annual Student Experience Review process (see Section 2) is intended to provide an increased level of central data analysis which will flag up statistically significant issues and highlight particularly strong or weak data from a variety of sources. Each Department will respond directly to the issues identified by its own data which will allow for the collation and comparison of meaningful data and reflects a genuinely risk-based approach. The central analysis will also help to identify cross-institutional trends and variances.
2. External Examiners' Reports will be used in conjunction with quantitative data and additional sources, such as external survey results, feedback from internal surveys and employability statistics, to compile the central datasets that will be considered by

Quality Review Sub-Committee. Please refer to <u>Section 2: Annual Student Experience Review</u> for further information.

4.7.3   Monitoring of Reports and Responses

1. Academic Services will monitor responses to all reports. A step by step process for monitoring External Examiners' reports and responses to the reports is set out in <u>Annex 9.4.1 Main Steps: Response to External Examiners' Reports</u> and a flow chart for the External Examiner Reporting process is available at <u>Annex 9.4.2</u>). In order to help faculty and departmental internal processes, an optional template to record departmental Chair of Board responses to External Examiners' recommendations is at <u>Annex 9.4.3.</u>

2. External Examiners will be asked to make recommendations within their report and grade these as Essential, Advisable or Desirable, which would require timely responses. The report must make clear whether or not there are, in the Examiners' opinion, any risks to academic standards on the module/programme. If External Examiners are satisfied that no recommendations are required, they should clearly state this in the relevant sections of the report. They are asked not to leave sections blank and to enter 'not applicable'. The definitions for the three categories are as follows:
    i)   **Essential**: Serious areas of concern which, in your opinion, place academic standards and/or the student learning experience at immediate risk and requires action before the start of the next academic year.
    ii) **Advisable**: Areas of concern regarding threshold standards which, while currently being met, in your opinion, could be significantly improved.
    iii) **Desirable**: Areas where, in your opinion, there is potential for enhancement.

3. A designated member of academic staff should be available to respond to External Examiners' recommendations within the specified timeframe. The Chairs of Boards of Examiners must ultimately be responsible for drafting a response if the designated academic has conflicting responsibilities.

4. APQA will prepare annual reports on matters of general interest and concern for wider dissemination to Quality Review Sub-Committee.

5. A Department's (or partner institution's) annual main meeting of the Board of Examiners for a programme at which an External Examiner is present should include early in its agenda a copy of the report and the Department's response for the previous year.

5   Peer Dialogue Scheme

Enhancing research-based education at UCL

5.1   What is the Peer Dialogue Scheme?

1. The Peer Dialogue scheme is open to all staff who teach and/or support students' learning at UCL. Its aim is to inspire you to develop your teaching and your students' learning, by working closely with colleagues. It enables you to focus on developing a range of dimensions of your practice, such as classroom teaching, feedback on assessment or development of resources. You are invited to engage in a constructive discussion about enhancing student learning and/or the wider student experience in your subject.
2. Peer Dialogue is not a judgmental process, but an opportunity for creative thinking about developing your educational practice. Departments will keep a brief record of engagement with the scheme, to demonstrate commitment to ongoing, collegial enhancement of academic practice. This should record the participants in the engagement, the option followed and the date(s) the activity took place. All UCL staff who teach must participate and Departmental records are to be forwarded to Faculty Teaching Committees.

5.2   What do I need to do?

1. You have three options, and can choose which to undertake in each academic year. We recommend using the range of the options over time. Staff on probation should take advice from their subject leader on which option would be the most helpful.

5.3   Option A: Collaborative enhancement of a specific area of practice

Colleagues work in twos, threes or small groups (same subject OR interdisciplinary clusters).

1. Identify with your Peer Dialogue partner(s) one or more aspects of your educational practice which you would like feedback on, for example: assessment methods; feedback to students; e-learning materials and resources; flipped lectures; inclusive teaching for diverse groups; research-based education. See the UCL Teaching and Learning Portal for more examples.
2. Plan times to observe each other's educational practice in the area of interest.
3. Spend time on preparation before the session. It will be very helpful if you understand the context of each other's practice and the aim and content of particular activities and/or assessments.
4. When observing, make notes on what you will feed back to your colleague and on what you can apply to your own practice.
5. Engage in a constructive follow-up discussion, exploring how your practice can be mutually enhanced.
6. Write a very brief account (50-150 words) summarising any changes you plan following the Peer Dialogue, focusing particularly on suggestions of benefit to others in the department.
7. If the colleagues agree that it would be mutually beneficial, they may wish to extend this option, so that following the discussion and prior to writing the report, they:
    a) Agree on their approaches to enhancement.
    b) Try out the new approaches and then get together to review them.

5.4 Option B: Pair-based Teaching Observation

1. Identify with a colleague one or more aspects of your face-to-face teaching which you would like feedback on. You are encouraged to select a new partner for the Peer Dialogue each academic year, so that you can draw on and contribute to the expertise of diverse colleagues.
2. Plan times to visit each other's teaching sessions.
3. Spend time on preparation before the session. It will be very helpful if you understand the context of each other's teaching and the aim and content of particular session.
4. When observing, make notes on what you will feed back to your colleague and on what you can apply to your own teaching/course design.
5. Engage in a constructive follow-up discussion, exploring how your practice can be mutually enhanced.
6. Write a brief joint report (50-150 words) summarising any changes you plan following the Peer Dialogue, focusing particularly on suggestions of benefit to others in the department.

5.5 Option C: Reflection and dialogue with Student Reviewers

Staff work in partnership with one or two students, who are not taking the course under consideration, to reflect on their educational practice through dialogue as follows:
1. The staff and student(s) meet to introduce themselves and their motivation for working with each other. They should agree the focus for their joint investigation into the staff member's educational practice and the format of this.
2. The student(s) spends a minimum of 3 hours observing educational practice (such as a combination of observation of online teaching, a Moodle site/other VLE and/or assignment brief/ other course documentation).
3. Prior to each observation the staff and student(s) discuss the context, aim and content of the observation.
4. When observing, the student(s) should make some notes to aid their memory of it. They should spend some time following the observation reflecting on it from their perspective.
5. Following each observation the staff and student(s) should engage in constructive dialogue about their different perspectives on the observation. This will focus on how the teaching practice can be enhanced; what the student has learnt about how to learn effectively and whether this learning can also be shared with course participants to enhance their learning.
6. The student may additionally, with the agreement of the member of staff, discuss the experience of taking the course with course participants, to inform their reflections and feed these insights into the discussion with the member of staff teaching the course. In this case, the focus of the dialogue with course participants should be discussed with the staff member in advance and the outcomes discussed afterwards.
7. The staff and student(s) should collaboratively write a short report (50-150 words) summarizing any changes that are planned following the dialogue, focusing particularly on suggestions of benefit to others (staff and students) in the department.
8. Participants may also wish to add an invitation to present the outcomes of the Peer Dialogue to Staff Student Consultative Committees.

5.6 Peer Dialogue follow up (Options A, B and C)

You are invited to:
- Present and discuss your account of Peer Dialogue at your appraisal
- Present your enhancement work to your Departmental Teaching Committee

- Share with your Departmental Teaching Committee any generic issues arising, for example suggestions for changes to the use of space or of technology
- Present the outcomes of the Peer Dialogue to Staff Student Consultative Committees
- Develop a case study for the UCL Teaching and Learning Portal: email ConnectedCurriculum@ucl.ac.uk to discuss possibilities
- Lead a UCL Arena exchange seminar, to share your developments with colleagues beyond your Faculty: see UCL Arena Peer Dialogue or contact arena@ucl.ac.uk.

For further information or guidance on how to engage with the UCL Peer Dialogue scheme, please contact arena@ucl.ac.uk.

6   Student Academic Representation

6.1   Introduction

1. UCL Regulation for Management 12.1 provides as follows: "In each academic Department [1] there shall be at least one departmental Staff-Student Consultative Committee (SSCC). Each Staff-Student Consultative Committee shall meet regularly in each academic year to enable joint working between staff and students, through discussion and agreement of priorities for improving students' educational experience."
2. The purpose of student academic representation is to enable partnership working between students and staff throughout UCL. Through their representatives, the Student Voice should shape and influence the work of their departments, their faculties, and UCL.
3. Arrangements for academic representation are overseen by the Quality Review Sub-Committee (QRSC), with membership from UCL departments, faculties, professional services, and the Students' Union. The QRSC reports to and Education Committee.
4. Academic representation at UCL is conducted in partnership with the Students' Union, who shall:
    i) Ensure effective promotion of representative roles together with faculties and departments. Provide induction training for representatives, and further opportunities which support them in their role.
    ii) Ensure information is available to students and staff on who holds representative positions, and to provide contact information where appropriate.
    iii) To provide guidance for both students and staff, including relevant information, support, and examples of best practice.

6.2   Committee Structure and Process

1. Each Department shall normally have one SSCC. A Department may wish to establish a separate SSCC for postgraduate or research students where the membership of the Departmental SSCC would otherwise be too large.
2. Meetings with representatives at a programme level, though encouraged, do not constitute SSCC meetings, except in the case of inter-departmental programmes (see 6.9). Departments should avoid complex SSCC structures that disperse the Student Voice.
3. The minutes of SSCC meetings and feedback from representatives should be a standing item for discussion on the agenda of the Department's Teaching Committee (and/or doctoral-education equivalent).
4. The Department should ensure that its calendar of committee meetings facilitates timely discussion of issues raised by SSCCs.

6.3   Appointment of Representatives

1. Departments should appoint representatives for each of the following:
    i) At least one representative for each year-group in each taught programme of study. Where appropriate, each representative may instead be appointed to represent a linked cluster of taught programmes.
    ii) At least one representative for early years research students (students in their first or second years) and for later years research students (students in their third year or beyond), or the equivalent periods for part-time research students.
    iii) For programmes offered on a part-time basis, there should be at least one part-time representative for the programme.
2. Programmes with large year groups should consider appointing more than one representative per year group. Departments with a small number of programmes should consider appointing representatives for different pathways or specialisms within that programme.

3. All representatives should be members of an SSCC; the role should not be split between multiple students, nor should different representatives be invited to attend different meetings of the same SSCC.
4. All representatives should normally be appointed by process of election, except where this is not possible or there is insufficient interest in the role. Elections should include a 'Re-Open Nominations' (RON) option to encourage and support the accountability of representatives to the students they represent.
5. The appointment of representatives should be completed by the close of the October appointment schedule which is agreed and circulated by the QRSC in advance of each academic session. The details of representatives should be reported to the Students' Union via the designated contact in the Faculty.
6. Should a representative step down during their term of office prior to the term two reading week, the representative should be replaced by any method approved by the SSCC Co-Chairs.
7. The SSCC may choose to co-opt additional representatives to ensure a diverse membership that can effectively reflect students' views and perspectives.
8. Any co-opted or replacement representative's details should be reported to the Students' Union via the Faculty in the same manner as during appointment of the Student Academic Representatives in October.
9. All departments should take steps to ensure their representatives attend training arranged by the Students' Union as part of taking up their role.
10. The term of office for each representative is 12 months from the date of their appointment in October, or the end of their studies, whichever is sooner. At the close of each students' term of office, the role should be re-elected.
11. Any representative appointed at a later date through replacement or co-option will also end their term of office in October. SSCC meetings in advance of the October appointment of representatives may utilise the returning membership of the SSCC.

6.4 Staff Student Consultative Committee Meetings

1. SSCC membership in each department will be set following consultation between students and departmental staff but must include the following:
   i) Head of Department (or Deputy)/Programme Director/Senior member of academic staff
   ii) At least one member of staff responsible for undergraduate students
   iii) At least one member of staff responsible for taught Masters students*
   iv) At least one member of staff responsible for research students*
   v) All student academic representatives in the department
   vi) Where relevant, a committee member of an academic society based in the department

   * May not be required where there is a separate committee graduate or research-student SSCC.
2. Each SSCC will have joint Co-Chairs, one student and one staff member, who are responsible for agreeing each meeting's agenda. The student Co-Chair should be the Lead Department Representative, who will be appointed by a process specified by the Students' Union .
3. Departments will nominate a member of professional service staff responsible for each SSCC, who will act as secretary. SSCC minutes should clearly indicate who has attended, and their role in relation to the Committee.
4. Staff membership of the SSCC should not form a majority.
5. An SSCC should meet a minimum of at least three times in each academic year (typically once per term). The Co-Chairs will be responsible for assessing whether further meetings would be useful. Some or all members may participate in the meeting through a UCL supported online platform such as Moodle, Blackboard Collaborate or MS Teams, where they cannot physically be in attendance.
6. The agenda shall be circulated to all SSCC members normally at least one week before the date of a meeting of a Committee. The agenda should also be made

available to all students via a Department webpage, Moodle or any other appropriate method.

7. Where the Co-Chairs agree, the agenda points in 6.5 can be adapted to suit any SSCCs that have more specific needs, particularly postgraduate SSCCs.

8. The unconfirmed minutes of an SSCC meeting, as approved by the Co-Chairs, should be displayed to all students via a Department webpage, Moodle or any other appropriate method within ten working days of the meeting. These minutes should also be emailed to sscc@ucl.ac.uk within this timeframe.

9. A template for the SSCC agenda and minutes is available at Annex 9.6.1.

6.5 SSCC Terms of Reference

1. To act as a focal point of student engagement and partnership in the Department, bringing staff and students together to celebrate successes, to reflect on challenges, and to jointly identify priorities for change in the future.

2. To report on priorities and agreed actions to the Department Teaching Committee (and/or doctoral-education equivalent), and to make recommendations where appropriate.

3. To ensure joint student and staff discussion at every meeting, focusing on:
    a) Any areas of concern raised by the Student Representatives or other SSCC members, not otherwise covered by the below
    b) The Annual Student Experience Review (ASER) Development and Enhancement Plan:
        i. Teaching and Curriculum
        ii. Assessment and Feedback
        iii. Academic Support – including personal tutoring
        iv. Organisation and Management - including timetabling and Departmental processes
        v. Learning Resources - including library, IT and other teaching/learning resources
        vi. Learning Community
        vii. Student Voice
        viii. Continuation and Outcomes
        ix. Inclusivity
        x. Careers and Employability
        xi. Other
       Note: the ASER themes and data may be separated for discussion at different SSCC meetings.
    c) UCL ChangeMakers Projects including discussion of project proposals and tracking of progress of the projects throughout the year

4. To ensure joint student and staff discussion at least once during every Academic Session of:
    a) Information relating to internal and external systems of accountability, to include Professional, statutory and regulatory body reports and Department responses to recommendations
    b) New and revised programme developments
    c) As part of the ASER discussions, to ensure the SSCC reviews and discusses the following key information and data at least once during the session:
        i. Results and actions arising from relevant student surveys e.g. Module surveys, New to UCL, National Student Survey (NSS), Postgraduate Taught Experience Survey (PTES), Postgraduate Research Experience Survey (PRES)
        ii. External examiners' reports and Department responses to recommendations
        iii. Careers data
    d) Other student-led projects or events, such as those led by student societies
    e) The effectiveness of the SSCC and the actions of the Students' Union and Departments in response to it

      f) The priorities and actions of the Department Teaching Committee (and/or research-education equivalent)

      g) Opportunity for the Lead Department Representative to report on meetings they have attended at the Faculty level

      h) The development of strategies to support research students' experiences

5. To facilitate greater communication between students and staff, and report key actions, discussions and recommendations to the wider student body.

6. To identify and disseminate examples of good practice.

7. To enable the engagement of students through their representatives with processes to enhance students' experiences, such as ASER (see Term of Reference 3 above).

6.6 Lead Department Representatives

1. The Department will be responsible for the appointment of the Lead Department Representative through a process specified by the Students' Union.

2. The Lead Department Representative(s) will be responsible for leadership of the SSCC, ensuring the effectiveness of students' voices in influencing and shaping their learning experiences.

3. The Lead Department Representative(s) should be invited to join their Departmental Teaching Committee (and/or doctoral-education equivalent). Other student representatives may also be invited where appropriate.

4. Where appropriate, the Lead Department Representative can be called upon to attend departmental and Faculty meetings to represent the SSCC. They can also take chair's action to approve changes to policies and documents that require action before an SSCC can be convened. Where such action is taken, the Lead Department Representative must be allowed time to consult with the SSCC to gain wider student feedback and the chair should provide a full report to the next formal SSCC meeting.

5. Any Faculty with only one Department is not required to appoint a Lead Department Representative. For such faculties, the duties of the Lead Department Representative should be carried out by the Faculty Representative(s).

6.7 Faculty Representatives

1. The Students' Union will be responsible for the election of Faculty Representatives for each Faculty.

2. The Faculty Representative(s) will be responsible for the leadership of representatives in the Faculty, ensuring the effectiveness of students' voices in influencing and shaping their departments. They will also represent their Faculty in institution-wide forums and the Students' Union.

3. The Faculty Representative(s) should be invited to join their Faculty Teaching Committee (or doctoral-education equivalent). Other student representatives may also be invited where appropriate.

6.8 Faculty Academic Representative Forums

1. Each faculty should operate a forum which brings together faculty staff, Faculty representatives, and the Lead Department Representatives (or their nominee) from each SSCC in the faculty.

2. The purpose of this forum will be to identify shared priorities within the faculty and any action required to address such priorities, and to involve students with faculty decision-making. The Faculty Teaching Committee, Faculty Research Degrees Committee and/or the Faculty Representatives may additionally wish to utilise the forum as a sounding board where they identify a need for greater student involvement with particular matters.

3. A staff lead for the forum should be established, who should be a member of the Faculty Teaching Committee and/or the Faculty Research Degrees Committee. The staff lead and the Faculty Representatives will be responsible for agreeing the agenda and format of each meeting.

4. This forum should meet at least twice each year.
5. Faculties may wish to operate more than one forum to cover different levels of study.
6. The format of this forum is not required to be a committee meeting, and creative approaches to considering business are encouraged, i.e. workshop-style items.
7. A record of each meeting should be taken and circulated to attendees. This may be in the form of summary notes rather than formal minutes.

6.9 Interdepartmental Degree Programmes

1. Degree programmes that are inter-departmental (with contributions from more than two Departments) are required to have a separate, programme-based, SSCC. UCL's Regulations for Management 12.2 and 12.3 provide as follows:

    12.2 Subject to the provisions of Regulation 12.3 below, there shall be, for each combined studies degree programme operating within UCL and involving more than two Departments of UCL, an SSCC, which shall meet regularly in each academic year.

    12.3 Where the academic staff responsible for the co-ordination of a combined studies degree programme operating within UCL and involving more than two Departments of UCL consider that it will not be appropriate for a separate Staff-Student Consultative Committee to operate for the degree programme in question, those staff shall ensure that the views of students following the programme can be expressed instead either through (i) the Staff-Student Consultative Committees of the Departments concerned, as prescribed in Regulation 12.1, or through (ii) an annual meeting which all students following the programme shall be invited to attend, or through both (i) and (ii).

7 Student Representation on UCL Academic Standing Committees and Sub-Committees

Policy

1. UCL and the Students' Union provide many opportunities for students to engage with UCL's policy- and decision-making in all areas of teaching, learning and support. Students can have a say in the way the University is run. There are many opportunities. The page below summarises these.

7.1 Representation at Departmental and Faculty Level

7.1.1 Staff-Student Consultative Committee (SSCC)

1. Every Department should have at least one Staff-Student Consultative Committee (SSCC) (see Section 6) which meets at least three times each academic session (typically once each term). SSCCs provide the opportunity to feedback to lecturers and departmental administrators about issues that have impacted on programmes and modules. These may include good or bad ways in which lectures, tutorials, labs etc. have been delivered which can be addressed by the teaching Department, or they may include university-wide issues such as library or computing facilities, or even noise caused by building works. Departments take these comments very seriously, and the minutes of the SSCC meetings are considered by the UCL Student Experience Committee (see Section 7.4).

7.1.2 Departmental Teaching Committee (DTC)

1. Every Department should hold a Departmental Teaching Committee (DTC) meeting each term, where changes in programmes, modules, teaching and assessment are agreed and monitored. All DTCs should invite the student Lead Department Representative to membership of the Committee (see Section 6.6) and consider inviting other student representatives where appropriate.

7.1.3 Faculty Teaching Committee (FTC)

1. All of UCL's academic Departments belong to a Faculty which provides governance and support to the way in which Departments are managed. All Faculties have a Faculty Teaching Committee (FTC) which meets termly. All FTCs should invite the student Faculty Representative to membership of the Committee (see Section 6.7) and consider inviting other student representatives where appropriate.

7.1.4 Faculty Research Degrees Committees (FRDC)

1. Faculties may also hold a Faculty Research Degrees Committee (FRDC) meeting each term. The FRDC should include three Research Student Representatives in its membership and attendance may rotate depending on availability for meetings. The FRDC may also wish to invite the student Faculty Representative to its meetings.

7.1.5 Faculty Academic Representative Forums

1. Faculties should also hold a Faculty Academic Representative forum. The forum should include Faculty Representatives and the Lead Department Representatives (or their nominee) from each SSCC in the faculty.

7.1.6 Further Information

1. For more information on your SSCC, DTC, FTC, FRDC or Faculty Academic Representative forum, students should contact their undergraduate or postgraduate tutor or the Faculty Office.

7.2 Student Academic Representatives

1. Student Academic Representatives are elected to represent students' views to UCL. Student Academic Representatives sit on various committees at a programme (such as SSCCs), faculty and university level, at which they act as the voice of students, ensuring that UCL takes into account the needs of students in its decision-making processes. The Student Academic Representative scheme is managed by the Students' Union, and students can be representatives at both a departmental and faculty level. For general enquiries, please visit the Students' Union website.

7.3 Representation via the Students' Union

1. The Students' Union is run by students for students. Apart from providing social spaces, support services and extra-curricular activities, the Students' Union is an important political forum for all students. Students at UCL are automatically members of the Students' Union and have access to all its facilities and support. The Students' Union is run by Student Officers who are elected each year by the membership. Students can speak to one of these officers if they have any issues with which Officers may be able to aid or support them.

7.4 Student Representation on UCL Academic Standing and Sub-Committees

1. Many of UCL's formal committees have student representation. On most of these committees, the student representatives comprise one or more of the Students' Union's elected Student Sabbatical Officers, who you may speak to if there are issues that you wish to raise at meetings of these committees.

2. The Student Experience Committee (StEC) deals with issues relating directly to students. It reviews university-wide issues raised at SSCCs and also looks at the data received from student surveys. Many of the agenda items are raised by students via the Students' Union. StEC currently has eleven student members and three student sabbatical officers. These student members are nominated by the Students' Union. If you are interested in being nominated to serve on StEC, then please contact Simon To, Representation & Campaigns Manager, Students' Union: simon.to@ucl.ac.uk.

3. Current student representation on UCL's formal academic committees is as follows:

Academic Board

- Education Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)
- Thirteen elected full-time students, including at least one from each Faculty, with the proportion of undergraduate and postgraduate students determined to reflect the overall student population.

Academic Committee

- Education Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)
- Welfare & International Officer, Students' Union (ex officio)

Education Committee

- Education Officer, Students' Union (ex officio)
- Welfare & International Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)
- One taught graduate student, nominated by the Students' Union
- One undergraduate student, nominated by the Students' Union

Library Committee

- Education Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)

Research Degrees Committee

- Postgraduate Students' Officer, Students' Union (ex officio)
- One research student, nominated by the Students' Union

Student Experience Committee

- Education Officer, Students' Union (ex officio)
- Welfare & International Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)
- Eleven student members with one from each faculty nominated by the Students' Union

Student Recruitment, Admissions and Funding Committee

- Education Officer, Students' Union (ex officio)
- Postgraduate Students' Officer, Students' Union (ex officio)

7.5 Student Representation on UCL Non-Academic and Statutory Committees

Council

- Education Officer, Students' Union (ex officio)
- Democracy, Operations & Community Officer, Students' Union (ex officio)

Finance Committee

- Democracy, Operations & Community Officer, Students' Union (Student Observer)

Health and Safety Committee

- Two Student Observers, nominated by the Students' Union

Honorary Degrees and Fellowships Committee

- Education Officer, Students' Union (ex officio)

Research Governance Committee

- Postgraduate Students' Officer, Students' Union (ex officio)

Discipline Committee

- One student, registered at UCL, nominated by the Students' Union (normally as and when the Committee needs to be convened)

Discipline Review Body

- A registered student of another university institution within the University of London, to be appointed by the Chair in consultation with the Registrar of UCL, as and when the Review Body needs to be convened.

8   Academic Committee Review Panel

8.1   Policy

1. All UCL academic units are required to operate within, and to deliver their programmes in accordance with, UCL's established academic regulatory and procedural frameworks. UCL has in place a number of quality assurance processes to monitor that this is the case and which are designed to identify and resolve any problems which might arise.
2. However, from time to time there may arise an academic quality assurance-related problem within an academic unit or academic programme, which, due to the urgent or serious nature of the problem, cannot be dealt with, or fully resolved, by applying UCL's standard quality assurance processes. In those exceptional circumstances, the Chair of the Academic Committee may establish an Academic Committee Review Panel to conduct a special investigation of the academic unit/programme concerned. The purpose of the special investigation will be for the Review Panel to ascertain the nature and extent of the problem, and to recommend to the Chair of the Academic Committee on what further action should be taken to resolve the problem.
3. In all such cases, the following procedure is followed.

8.2   Procedure

1. Details of any case which might merit investigation by an Academic Committee Review Panel should, in the first instance, be submitted to, and discussed with, the Secretary to the Academic Committee. The Secretary, on behalf of the Chair of Academic Committee, will ascertain whether UCL's standard quality assurance processes have been exhausted or whether the nature of the problem is such that it cannot be addressed within the scope of those standard processes. Once this preliminary discussion has taken place, the Secretary to the Academic Committee will forward the details of the case to the Chair of the Academic Committee, who will decide whether to establish a Review Panel.
2. If the Chair of the Academic Committee decides to establish a Review Panel, it will comprise:
   - Two members of Academic Committee, including at least one Faculty Tutor, who are not members of staff of the Faculty in which the academic unit or programme concerned is based; one of whom will be appointed as Chair of the Review Panel.
   - A senior member of academic or administrative staff, who is not a Faculty Tutor.
3. The meeting(s) of the Review Panel will be attended by an administrative secretary, normally a member of Academic Services staff nominated by the Director of Education Services or Director of Student Operations as appropriate, Student & Registry Services, who will take notes of meeting(s) and assist the Review Panel in the preparation of its report. The Review Panel will normally be expected to complete its work within eight working weeks.
4. The Chair of the Academic Committee will inform the academic unit or programme concerned why a Review Panel has been established and that the Review Panel will wish to conduct discussions with relevant staff and/or students.
5. In conducting its review, the Review Panel may request from the academic unit or programme concerned all such documentation and may meet with whichever staff and students as it deems necessary. UCL staff are expected to cooperate fully with the Review Panel at all times.
6. The Review Panel will meet as least once:
   - To consider the relevant documentation
   - To interview appropriate persons

- To prepare its report.

7. The Review Panel's provisional report will be sent to the Head of Department or other person responsible for the academic unit or programme concerned. That person will be entitled to notify normally within five working days necessary factual corrections to the report but will not be entitled otherwise to take issue with its findings and recommendations (except where the Head of Department or other person concerned claims that these findings and recommendations are based on factual error).

8. The Review Panel's final report and recommendations will be sent, via the Secretary to the Academic Committee, to the Chair of Academic Committee. A copy will be sent to the Head of Department or other person concerned for information. The Chair of Academic Committee will decide what, if any, further action is necessary in the matter.

9. The Chair of the Academic Committee will report to the Academic Committee that a Review has taken place according to the required procedure and may, if he/she thinks it appropriate, report to the Academic Committee further details of the Review.

10. The recommendations of the Review Panel will indicate what follow-up action is expected on the part of the academic unit or programme concerned and within what period. The academic unit or programme concerned will, in consultation with the Review Panel, produce a written plan detailing the follow-up action that it will take in response to the recommendations for approval by the Chair of the Academic Committee.

11. The Chair of the Review Panel will check with the academic unit or programme concerned in due course that such follow-up action has been taken and will advise the Chair of the Academic Committee as necessary.

9   Core Programme Information

> The Standard Text for the Core Programme Information can be found on the UCL Academic Manual website, in Chapter 9: Quality Review Framework.

1. The Core Programme Information (CPI) should be provided to all current UCL Undergraduate and Taught Postgraduate students (including MRes students).
2. The CPI should be included in a single location such as a student handbook, Moodle site, website or intranet.
3. The CPI represents the minimum information that should be provided to all students. As such, programmes are encouraged to add local information where appropriate.
4. Programmes are free to change the formatting, numbering and order of items, but, where marked 'Centrally Provided' the text itself must be included in its current form. However, departments may change specific terminology to reflect local practice (e.g., 'Programme Director' for 'Programme Leader').

10   Module and Programme Evaluations Policy

10.1   Continuous Module Dialogue

1. A continuous module dialogue process should take place throughout the running of all taught modules. The purpose of this is to encourage regular dialogue between staff and students, thereby ensuring the student voice is heard, misunderstandings are clarified, and staff are able to make any required changes or reinforce information before the module ends.
2. The dialogue process should take place no fewer than 3-4 times per term between the start and end of the module. This should replace any end of module evaluations (MEQs) unless there are any additional external accrediting body requirements.
3. The dialogue should be initiated by asking students a small number of questions in a pulse survey within a synchronous session, initially focusing on the key areas of teaching, resources and assessment information (suggested questions are provided in the guidance) and then discussing the results. The results will be available in real time and will be the prompt for staff-student dialogue in that or the following session.
4. It is recommended that staff use [Mentimeter](#) to poll students, and staff can adapt the focus of questions as the module progresses and the outcomes from the dialogue process become clear.
5. There is no requirement to report the results of the pulse surveys beyond the module, but staff should use the results to engage in a dialogue with students so that changes can be made or a rationale given if a change is not appropriate.
6. Departments (or faculties, where appropriate) are responsible for capturing that a module dialogue process has taken place and any resulting changes. Responsibility for delivering the module dialogue process rests with the department and there are no central reporting requirements, however it is recommended that the Continuous Module Dialogue Capture survey template (provided in the guidance and tools) is disseminated by the department to Module Leaders and this information is used to complete the Departmental Summary Form (Annex 9.10.1).

10.2   Annual Programme Level Evaluations

1. All taught students will be given the opportunity to reflect on their programme as a whole and provide feedback on their experience at key points during their time at UCL through the following surveys:
   - New to UCL (all new students)
   - Annual Programme Evaluation (APE) for all continuing undergraduate students and postgraduate taught students
   - National Student Surveys (NSS) for undergraduate finalists
   - PGT NSS for all postgraduates
2. Annual programme evaluations (APE) will be managed and analysed centrally and will replace any existing locally managed programme surveys, except where these are required for external compliance.
3. As part of APE, students will be able to see a list of the modules they have taken and will be given the opportunity to reflect on the programme as a whole as well as any particular modules they wish to highlight through a free text response.

4. Departments will be asked to support central efforts to collate all programme level evaluations by reminding students to complete surveys and including links to summaries of changes made in response to previous feedback.
5. Evaluation results will be analysed by the central team and then disseminated back to departments for discussion and circulation as per the existing process for NSS and New to UCL.
6. Each department must have in place mechanisms for closing the feedback loop, whereby students are informed of any actions which have been taken in response to the programme evaluation. Whilst the final responsibility for this rests with the department, it is recommended that the closing the feedback loop guidance should be followed to ensure the ongoing feedback cycle is supported.

UCL Academic Manual
2022-23

Chapter 10: Short Course Regulatory Framework

Chapter 10 is UCL's regulatory framework for short courses.

1   Introduction

1.1   Definitions

1. UCL's Short Courses represent the extension of UCL's learning landscape beyond provision of its qualification-bearing undergraduate and postgraduate degree programmes.

2. Short Courses do not lead to a UCL qualification, but they may be recognised by a UCL Certificate of Participation or lead to the award of UCL academic credit (see section 3.1: Short Course Credit Framework). In some instances, Short Courses may also provide hours or points of verifiable CPD.

3. UCL's Short Courses include the following:

    - non-credit-bearing Continuing Professional Development (CPD) courses, some of which may provide hours or points of verifiable CPD;
    - credit-bearing modules from UCL degree programmes offered as standalone short courses for personal learning, continuing education or CPD;
    - credit- and non-credit-bearing evening classes, online courses and summer schools and programmes;
    - credit- and non-credit-bearing academic and commercially focused executive education courses and other bespoke offerings for organisations;
    - non-qualification-bearing graduate preparatory courses offered by the UCL Centre for Language & International Education (CLIE).

4. Non-credit-bearing Short Courses typically do not involve any assessment and do not involve the award of UCL academic credit. They may, however, be recognised by a UCL Certificate of Participation, and they may also provide hours or points of verifiable CPD. They may also in some instances be accredited by an external body and involve assessment leading to a non-UCL qualification or award (see 3.1.12 & 3.1.13 below).

5. Credit-bearing Short Courses involve assessment which, if successfully completed, may lead to the award of UCL academic credit (see section 3.1). This academic credit may then, depending on the activity being undertaken, be used to apply for advanced entry to a UCL programme leading to a UCL qualification such as a Postgraduate Certificate or Diploma or a full Masters degree.

6. Each new Short Course must have a course specification that is derived from the Course Initiation Questionnaire (CIQ). Unless the activity is a bespoke closed course[1], the details of the activity should be made available on the central UCL Short Courses website and/or the relevant UCL departmental webpages.

7. To ensure that the expectations of Faculties, Departments, learners and staff are clear, the following verbs are adopted consistently throughout these Regulations:

    - **Must**: indicates a regulation that will be adhered to in all circumstances. Deviations from such regulations would only be granted by UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Experience) in exceptional circumstances. For example "applicants must satisfy any entry requirements for admission that are specified in the course specification (CIQ) and indicated in the description of the activity provided on the central UCL Short Courses website and/or the relevant Department web pages".

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[1]   A 'bespoke closed course' is any course provided by UCL for a fee to an external client, where the content is specifically designed for that client and the participants are nominated by the client. Consequently, the course is not open to any suitably qualified candidate.

- **Should**: indicates a regulation that should be adhered to unless sound pedagogical, professional or practical reasons prevent this. For example "A variety of assessment methods should be used across the short course to test different knowledge and skills".
- **May**: indicates where an action or regulation is permitted but not mandatory, and where there might therefore be variations across programmes and modules. For example "Information may be provided in a number of formats including learner handbooks, Moodle sites and the UCL intranet". Where 'may' regulations are used, the specific arrangements in place on the activity must be explained clearly in the course specification (CIQ).

1.2   Scope

1.   These Regulations provide a framework for the delivery and support of UCL's Short Courses and shall apply to all Short Course Learners registered on these (see section 1.3 below for definitions of the different categories of learner).

2.   These Regulations define UCL's threshold standards for its Short Courses. Individual Short Courses may have their own set of regulations detailed in the course specification for the activity which define the specific arrangements in place for that activity over and above UCL's threshold standards.

3.   These Regulations shall not apply to:

- any UCL programme of study leading to a UCL qualification, or to any UCL Students or Affiliates registered on these programmes. Regulations applying to UCL programmes of study leading to a UCL qualification are set out in the UCL Academic Manual.
- any bespoke closed UCL short courses or (see footnote 1 above).

1.3   UCL Short Course statuses

1.   All those admitted onto Short Courses shall be assigned a Short Course status as follows (unless they already hold UCL Student or UCL Affiliate status, in which case they will retain that status):

A <u>UCL Associate Student</u> is:
(a) any person registered on one or more credit-bearing Short Courses provided by UCL and opting to take the assessment;
(b) any other person whom the Registrar declares to be a UCL Associate Student.

A <u>UCL Attending Student</u> is:
(a) any person registered on one or more credit-bearing Short Courses provided by UCL and attending without opting to take the assessment;
(b) any other person whom the Registrar declares to be a UCL Attending Student.

A <u>UCL Visiting Student</u>:
(a) any person registered on one or more non-credit bearing Short Courses provided by UCL;
(b) any other person whom the Registrar declares to be a UCL Visiting Student.

2.   UCL Students and UCL Affiliates can also be registered on Short Courses but shall retain their formal status as a UCL Student or a UCL Affiliate along with the rights and entitlements of access to the facilities and services associated with these statuses.

3.   Short Course Learners shall not have access to all of the facilities and services that are available to UCL Students and UCL Affiliates. Which facilities and services are available, including access to Library materials, will depend on their Short Course status (see 1.3.1 above) and any entitlements associated with that status and/or the Short Course on which they are registered.

2 Admission, Registration and Conduct

2.1 Introduction

1. The Regulations in this section pertain to admission and registration arrangements for UCL's Short Courses, both non-credit-bearing and credit-bearing.

2.2 Entry requirements

1. While there are no general entry requirements for Short Courses, applicants must satisfy any entry requirements for admission that are specified in the course specification (CIQ) and indicated in the description of the activity provided on the central UCL Short Courses website and/or the relevant Department web pages.

2. For admission onto credit-bearing Short Courses, entry requirements may include academic prerequisites such as a UK Bachelors degree or an equivalent qualification in a relevant subject.

Further guidance

3. Entry requirements for credit-bearing Short Courses need not comply with standard UCL entry requirements for programme-level study, provided that the admitting UCL department judges that the applicant is appropriately qualified and equipped to take the activity in question.

4. Some Short Courses take into account individual professional and work experience for admissions purposes.

5. Applicants are advised to check for specific entry requirements or academic pre-requisites for admission onto their chosen Short Course before making an application to UCL, either by consulting the activity description provided on the central UCL Short Courses website and/or the relevant Department web pages, or by contacting the activity organisers.

2.3 English Language requirements

General

1. The language of instruction at UCL is English, and all applicants should ensure that their spoken and written English is of a sufficient standard to undertake their chosen Short Course. This requirement is specified in order to ensure that the experience of Short Course Learners is not hindered by language difficulties, and that all Short Course Learners are able to benefit fully from their time at UCL.

Non-credit bearing Short Courses

2. Applicants for non-credit-bearing Short Courses, whose first language is not English, should have a reasonable proficiency in the English language in order to fully benefit from the activity.

3. In addition, applicants are required to meet any English Language requirements that are specified in the course specification (CIQ) for the activity and indicated in the description of the activity provided on the central UCL Short Courses website and/or the relevant Department web pages.

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4. UCL reserves the right to refuse admission to or terminate the registration of any applicant whose English Language proficiency is deemed unsatisfactory.

Further guidance

5. Although no formal proof of an applicant's proficiency in English is required for entry onto most non-credit-bearing Short Courses, applicants whose first language is not English are encouraged to benchmark their proficiency in the English language against the Common European Framework of Reference for Languages.

Credit-bearing Short Courses

6. Applicants for credit-bearing Short Courses whose first language is not English are required to meet UCL's English Language requirements and must be able to provide recent evidence that their spoken and written command of the English language is adequate for the activity for which they have applied.

7. In addition, applicants will be required to meet any English Language requirements that are specified for the level of the activity.

Further guidance

8. Applicants are advised to check any specific English Language requirements by consulting the activity description provided on the central UCL Short Courses website and/or the relevant Department web pages.

9. Applicants should be aware that UCL reserves the right to ask for higher English Language requirements in individual cases.

2.4 Making an application for a UCL Short Course

1. Applications for Short Courses must be made directly to UCL, either through the central UCL Short Courses website or the relevant UCL department web pages.

2. Details of how to make an application for a UCL Short Course are provided in the activity description on the central UCL Short Courses website and/or the relevant UCL department web pages. Details of any specific application deadlines will also be indicated.

Applicants with disabilities

3. UCL endeavours to ensure equal access to all facilities and to make reasonable adjustments to UCL buildings when and wherever possible.

4. Applicants who have a disability should inform the admitting UCL department of this on their application. This will help to ensure that any special requirements can be put in place in advance of applicants commencing their Short Course.

5. Where an applicant declares a disability, the admitting UCL department should make contact with that applicant to discuss any specific arrangements or reasonable adjustments they may need in order to support their studies.

Further guidance

6. Applicants with disabilities are strongly encouraged to make contact with the activity organisers and/or the relevant UCL department before submitting their application if they have any general queries about access or facilities at UCL.

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7. See also guidance on Reasonable Adjustments at section 3.3.

Applicants under the Age of 18

8. UCL will consider for admission onto its Short Courses applicants who will reach the age of 18 during or after their expected period of attendance, subject to these applicants meeting the entry criteria for the activity.

9. If a young applicant is offered a place, UCL has in place procedures to protect young learners. The Short Course organisers and/or the admitting UCL department must ensure that these procedures are put in place prior to the arrival of the applicant(s) at UCL.

Further guidance

10. In considering applications onto Short Courses from applicants under the age of 18, short course organisers must refer to the UCL Children and Vulnerable Adults Safeguarding Policy for Applicants and Current Students.

11. Further guidance on working with persons under the age of 18 is available for UCL departments and Short Course organisers on the UCL Human Resources Division web pages.

Applicants who are registered students at UCL and other Higher Education institutions

12. Applicants who are currently registered students either at UCL or another Higher Education institution may be admitted onto Short Courses. However, any Short Course that UCL students are admitted onto cannot be substituted for any component of their UCL programme of study, nor can any academic credit achieved as a result of their attendance on the activity be transferred to their main UCL programme of study.

2.5 Accuracy of Applicant Information

1. Information provided by applicants is expected to be accurate and complete. UCL reserves the right to refuse admission or terminate registration in the event that any information provided by an applicant is inaccurate or incomplete.

2.6 Proof of Identity

1. All applicants for campus-based Short Courses are required to present (in person or by post) the original copy of an accepted form of identification, as determined by UCL, for verification before they can be registered onto the Short Course.

2. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for applicants who do not require a visa to study in the UK:

    i) A UK photo driving licence, Armed Forces Identity Card or a European National Identity Card, or
    ii) An original Birth Certificate, Adoption Certificate, Deed Poll Certificate or Certificate of Naturalisation.

3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences may be required. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration. No other forms of identification are acceptable.

Applicants Who Require a Visa to Study in the UK

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4. Under UK immigration requirements, presentation of a valid passport is a mandatory requirement for applicants for all campus-based Short Courses who require a visa to study in the UK, and no other forms of identification will suffice. Registration will not take place without presentation of a valid passport and an appropriate visa.

Further guidance

5. UCL is obligated to undertake passport and visa checks for its Short Courses wherever its Student Visa licensing responsibilities require it do to so. This requirement applies only to applicants who will be attending a Short Course based on the UCL campus within the UK. There is no requirement for applicants who require a visa to study in the UK to present a valid passport and an appropriate visa if the UCL Short Course is based wholly online.

6. Further information and guidance about the UK Immigration and Visas System is available on the Immigration and Visa webpages.

2.7 Disclosure and Barring

Disclosure

1. For a small number of Short Courses, where participants may potentially come into unsupervised contact with children and/or vulnerable adults, UCL will seek an enhanced disclosure certificate from the Disclosure and Barring Service. Where this requirement applies, it should be recorded on the course specification (CIQ) in order that applicants can be made aware.

Further guidance

2. The Disclosure and Barring Service is the Government agency established to provide employers and others with information about any criminal convictions that an individual might possess.

3. In addition to an enhanced disclosure certificate, some Short Courses may require further checks under the provisions of the Protection of Children Act and Protection of Vulnerable Adults Act.

4. Further details of these checks are available from the Disclosure and Barring Service. UCL reserves the right to bar applicants or de-register learners who are given an unsatisfactory review by the Disclosure and Barring Service.

Applicants with Criminal Records

5. Disclosure of certain criminal records may be required for some Short Courses, and applicants with criminal records may be subject to some restrictions of activity to be decided on a case-by-case basis.

6. Failure to disclose may result in refused admission or termination of registration from the Short Course.

7. Where appropriate, details of criminal convictions may be made available to Heads of Department and others as appropriate.

8. Please see UCL's Disclosure and Barring webpages for further information.

2.8 Application Decisions

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1. All applicants for Short Courses will be informed by UCL of their acceptance or otherwise onto the activity in question.

2. The decision as to whether to admit an applicant to a UCL Short Course rests solely with the relevant UCL department. UCL decisions on applications onto its Short Courses are final, and there is no right of appeal against them.

2.9   Period of Registration

1. Short Course Learners are registered for the duration of their Short Course, until the end or completion of the activity.

2. The specific start date and duration of each Short Course is determined by UCL and notified in the short course descriptions given on central UCL Short Courses website or on the relevant Department web pages.

2.10   Attendance Requirements

1. UCL's attendance requirements are defined in Annex 3.2: UCL Student Attendance Policy.

2. Minimum attendance requirements are set at Faculty level and must be published in the Student Handbook or equivalent.

3. Students whose attendance falls below the minimum attendance requirement may be subject to the regulations in Chapter 6, Section 3: Academic Insufficiency Procedure, subject to faculty policy.

4. In order to be eligible for a Certificate of Participation, Short Course Learners will be expected to have participated in the activity to the satisfaction of the course leader and to an extent that is deemed sufficient to have met the learning outcomes of the activity.

5. Short Course Learners on credit-bearing Short Courses whose attendance falls below the minimum attendance requirements for the activity may not be permitted to undertake the assessment component of the activity.

6. UCL reserves the right to require any Short Course Learner whose conduct, attendance or academic progress is unsatisfactory to withdraw from the Short Course. A Short Course Learner required to withdraw has the right to appeal against the withdrawal decision but not against any academic assessment on which the decision is based. The responsibility for hearing and deciding upon appeals is vested in the Registrar, whose decisions are final.

Further guidance

7. For Short Courses that are based wholly or partly online, 'attendance' should be taken to mean 'participation'. Owing to software limitations, it may not yet be possible to measure participation for some of these. In such instances, in order to be eligible for a Certificate of Participation Short Course Learners will be expected to have participated in the activity to an extent that is deemed by the activity leader to be sufficient to have met the learning outcomes of the activity.

8. Section 3.3.15-20: Extenuating Circumstances describes the procedures in place for Short Course Learners on credit-bearing Short Courses who are unable to attend an examination or submit a piece of work for summative assessment due to illness or other extenuating circumstances.

2.11 Code of conduct for Short Course Learners attending UCL

1. UCL enjoys a reputation as a world-class university. It was founded on the basis of equal opportunity, being the first English university to admit students irrespective of their faith and cultural background. It was the first university in England to admit women.

2. UCL is a community, and as members of this community, all Short Course Learners are expected to adhere to UCL's rules and regulations while attending a UCL Short Course based at UCL, to show respect for persons and property, and to behave in a way that does not interfere with the normal operations of UCL.

3. UCL's expectations about appropriate behaviour and conduct of its Short Course Learners while attending an activity based on the UCL campus include:

In general:
- Recognising the diversity of the UCL community and not discriminating against others on the basis of their age, ethnic origin, race, nationality, membership of a national minority, culture, language, religious faith or affiliation or lack thereof, political affiliation or opinions or lack thereof, sex, gender, gender identity, sexuality, sexual orientation, marital status, caring or parental responsibilities, illness, ability or disability, mental health status, medical condition, physical appearance, genetic features, parentage, descent, full or part-time student status, socio-economic background, employment status, trade union affiliation, spent or irrelevant criminal convictions or any other irrelevant distinction.
- Acting responsibly, being honest, considerate, respectful and courteous towards others. Behaving in a respectful manner towards others so that they do not feel that they are being harassed or bullied, and abiding by the law.
- Showing consideration for the welfare of other Short Course Learners;
- Ensuring that any activity you engage in using the internet, including virtual learning environments (e.g. Moodle), social networking sites (e.g. Facebook, Twitter etc.), blogs or other web resources, refrains from causing offence and could not be regarded as bullying or harassment.
- Respecting the right of freedom of speech provided it is within the law.

Whilst learning:
- Being punctual for sessions or classes.
- Where applicable, following the rules laid down by UCL for academic activity, the use of the Library, Information Services and other services.
- Where applicable, being aware of the advice and assistance available on academic and other matters from sources such as personal, programme and departmental tutors.
- Where applicable, informing the relevant person if you are going to be absent or delayed for an activity where you are expected to attend.
- Seeking help for yourself when you need it.

Around UCL:
- Showing respect for UCL property.

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- Informing yourself of UCL health and safety policies and following them.
- Playing your part in maintaining security and being prepared to produce your identity card when requested.
- Caring for the environment at UCL by respecting buildings, spaces and facilities.
- Recycling and disposing of litter responsibly.
- Showing consideration for others regarding noise (e.g. switching mobile phones off in sessions and classes).

4. The following other UCL policies also relate to conduct and behaviour for all Short Course Learners:

- Equalities
- Harassment and Bullying
- Health and Safety
- Security
- Energy Saving Information

5. The following link to sources of advice and assistance for Short Course Learner Associate Students and Attending Students:

- Support to Study Policy
- Fitness to Study Procedure
- Examinations and Awards
- Computing Regulations
- Library Regulations
- Students' Union UCL Help and Advice

6. Where it is deemed appropriate, any matters relating to the infringement of UCL rules and regulations or the misconduct of Associate Student or Attending Student Short Course Learners will be referred to UCL's Disciplinary Code and Procedure.

- Chapter 6, Section 2: Student Disciplinary Code and Procedure

2.12 Complaints Procedure

1. Any Short Course Learner who wishes to make a complaint about her/his experience at UCL should first try to resolve the matter informally, in consultation with either the person who has caused the complaint, or with that person's line manager, or with another appropriate person within the area of UCL where the complaint has arisen.

2. Formal complaints should only be submitted if informal discussion fails to resolve the matter satisfactorily, or would be wholly inappropriate, and if there appear to be genuine grounds for making a complaint.

3. If a complaint cannot be resolved informally, UCL has an established Student Complaints Procedure for dealing with both academic and non-academic complaints and representations from students. This Procedure shall also apply to Short Course Learner Associate Students and Attending Students.

4. All other Short Course Learners, i.e. those on non-credit-bearing Short Courses, shall have recourse to UCL's Public Complaints Procedure in the event that a complaint cannot be resolved informally. Where deemed appropriate and applicable, complaints involving Short Course Learners undertaking non-credit-bearing Short Courses will be referred to the established Student Complaints Procedure.

3 Credit-bearing Short Courses

3.1 Short Course Credit Framework

General

1. This section describes the underlying structures and credit requirements of UCL's credit-bearing Short Courses.

2 UCL's credit-bearing Short Courses involve assessment which does not result in a UCL qualification but which may result in the award of UCL academic credit and ECTS credits upon completion and passing of the assessment component(s).

3. In common with all credit-bearing modules that are offered as part of UCL programmes of study, credit-bearing Short Courses must include the following defined characteristics:

   i)   a specified academic level;
   ii) a specified credit-rating and associated learning hours;
   iii) approved learning outcomes;
   iv) appropriate methods of assessment;
   v)   agreed methods of quality assurance;
   vi) defined student support mechanisms.

4. Credit-bearing Short Courses are rated in multiples of five, with 5-, 10-, 15- and 30-credit modules being the norm. The minimum module size is 5 credits, which equates to 50 learning hours and 2.5 European Credit Transfer System (ECTS) credits.

5. Short Course Learners who are registered for assessment as UCL Associate Students on a credit-bearing Short Courses and who achieve a percentage mark equal to or greater than the relevant pass mark (see section 3.3) shall be entitled to receive a transcript produced by UCL, detailing the assessment taken and results achieved.

6. UCL academic credit awarded through successful completion of a credit-bearing Short Courses that is eligible to be used to apply for advanced entry to a UCL programme of study is valid within UCL for five calendar years.

Further guidance

7. Certification of UCL academic credit for credit-bearing Short Courses through production of an official UCL transcript is managed by UCL Student Records.

Credit Accumulation and Qualifications

8. A Short Course Learner who successfully completes one or more credit-bearing Short Courses or may, depending on the activity that has been undertaken, be able to use the academic credit awarded for this to apply for advanced entry to a related UCL taught programme leading to a UCL qualification, through the regulations on the Recognition of Prior Learning.

9. All applications for advanced entry onto UCL taught programmes must meet the criteria set out in the regulations on the Recognition of Prior Learning.

10. Applications for advanced entry to UCL taught programmes will not be considered where the academic credit is more than five calendar years' old, or where the academic credit achieved through the Short Course is not eligible to be used for advanced entry to a UCL programme.

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11. A Short Course Learner must meet the requirements of a UCL-approved programme of study in order to be awarded a UCL qualification. Academic credits from successful completion of individual Short Courses do not automatically accrue towards a UCL qualification, nor do they provide automatic credit exemption or accreditation of prior learning in the event of entry onto another Short Course or UCL programme of study.

12. A UCL qualification cannot be achieved solely through successful completion of credit-bearing Short Course. The following table specifies the maximum number of academic credits that may be transferred from successful completion of eligible credit-bearing Short Courses for each group of UCL qualifications, in line with the maximum thresholds for the Recognition of Prior Learning.

UCL Qualification	Maximum Short Course Credit
Certificate of Higher Education	Up to 30 credits
Diploma of Higher Education	Up to 60 credits
Foundation Degree	Up to 60 credits
Honours Degree	Up to 120 credits
Graduate Certificate	Up to 20 credits
Graduate Diploma	Up to 40 credits
Postgraduate Certificate	Up to 30 credits
Postgraduate Diploma	Up to 60 credits
Integrated Masters	Up to 120 credits
Taught Masters	Up to 90 credits
Modular Research Masters	Up to 90 credits

Further guidance

13. Recognition of academic credits awarded through the successful completion of a UCL credit-bearing Short Course is at the discretion of other Higher Education institutions. UCL makes no representation that the activity will be recognised and/or awarded credit by any other institution.

Accreditation of Short Courses by bodies outside UCL

14. Some Short Courses organised by UCL may be recognised or accredited by Professional, Statutory or Regulatory Bodies and involve assessment leading to a non-UCL qualification or award.

15. In addition to meeting any requirements specified by UCL, Short Course Learners on such Short Courses must observe any regulations and/or meet any requirements around admission, registration, additional learning hours, assessment and fitness to practise that are specified by these Bodies.

3.2   Change of registered Short Course status

1. Short Course Learners taking credit-bearing Short Courses who are initially registered as a UCL Attending Student (i.e. not registered to undertake the assessment on the activity) may at the discretion of the activity organisers apply to change their registered Short Course status to a UCL Associate Student, so that they opt in to taking the assessment.

2. Short Course Learners taking credit-bearing Short Courses who are initially registered as a UCL Associate Student (i.e. registered to undertake the assessment on the activity) may apply to change their status so that they opt not to undertake the assessment. In both circumstances, the application to change registered assessment status must be submitted by the learner to the course organiser by the specified deadline. Short Course Learners who opt out of taking the assessment option shall not be entitled to the award of the academic credits pertaining to the Short Course.

3. The application to change registered Short Course Learner status must be made to the Short Course organisers in advance of the assessment on the activity taking place and by the specified deadline.

3.3 Assessment of credit-bearing Short Courses

General

1. The regulations governing assessment for credit-bearing Short Courses are defined by the academic level of the activity – e.g. a credit-bearing Short Course at level 6 is subject to the UCL assessment regulations for undergraduate programmes; and a credit-bearing Short Course at level 7 is subject to the UCL assessment regulations for taught postgraduate programmes.

2. Each credit-bearing Short Course must have a Course Leader, who will be responsible for ensuring compliance with assessment regulations, including responsibility for planning and implementing appropriate marking, second-marking and internal moderation processes; processing requests for reasonable adjustment and extenuating circumstances; sitting on extenuating circumstances panels if required and any other reasonable role requirements.

3. The following sections of the UCL Academic Manual shall pertain both to Short Course with Associate Student status taking assessment on credit-bearing UCL Short Courses, and participants on the credit-bearing UCL International Summer School for Undergraduates ('Short Course Learners' hereinafter):

   - Overarching Principles of Assessment (Chapter 4, Part A, Section 1)
   - Module Assessment (Chapter 4, Part A, Section 3 – see also 3.3.4-9 below)
   - Student Regulations for Exams and Assessments (Chapter 4, Part B)
   - Short-term Illness and other Extenuating Circumstances (Chapter 2, Section 2 and paragraphs 3.3.14-19 below)
   - Reasonable Adjustments for Disabilities and Long-term Conditions (Chapter 3, Section 5 and paragraphs 3.3.9-13 below)
   - Marking and Moderation (Chapter 4, Part A, Section 4)
   - Assessment Feedback (Chapter 4, Part A, Section 5)
   - Consequences of Failure (Chapter 4, Part A, Section 9 and paragraphs 3.3.20-33 below)
   - Boards of Examiners (Chapter 4, Part A, Section 11 and paragraphs 3.3.34-35 below)
   - Student Academic Misconduct Procedure (Chapter 6, Section 9)

Attendance Requirements and Eligibility for Assessment

4. UCL's minimum attendance requirements are defined in 2.10.

5. Short Course Learners whose attendance falls below this attendance requirement are not eligible to undertake the assessment component of the activity or to receive a UCL Certificate of Participation.

Requirements to pass a credit-bearing Short Course

6. The assessment requirements of the credit-bearing Short Course must be clearly communicated to Short Course Learners.

7. Assessment results for credit-bearing Short Courses are not eligible for a classification and will be issued as a percentage mark.

8. In order to pass a credit-bearing Short Course at undergraduate level (i.e. level 4, 5 or 6), a Short Course Learner must achieve a weighted average of 40%, plus 40% in any non-condonable component(s).

9. In order to pass a credit-bearing Masters-level Short Course (i.e. those at level 7), a Short Course Learner must achieve a weighted average of 50%, plus 50% in any non-condonable component(s).

Reasonable Adjustments

10. The Reasonable Adjustments regulations set out at Chapter 2 Section 3 of the UCL Academic Manual define how UCL supports students with a disability throughout the learning, teaching and assessment process.

11. The Reasonable Adjustment regulations shall apply to all Short Course Learners registered as UCL Associate Students and UCL Attending Students on credit-bearing Short Course.

12. Short Course Learners should notify UCL of any disability at the point of application or during pre-enrolment so that UCL can put in place the support that is required.

13. The following is a guide to applying for reasonable adjustments:

Step 1:

Declare a disability at application stage or during pre-enrolment, and receive an invitation to complete an Applicant Support Questionnaire providing more information to the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) about your disability and support needs.
Or
Contact the Disability, Mental Health and Wellbeing team directly at any stage during your studies to request a confidential 1:1 appointment.

Step 2:

Continue to liaise with the Disability, Mental Health and Wellbeing team via email or phone, or attend an appointment. A member of the Disability, Mental Health and Wellbeing team will discuss your support needs in more detail and agree appropriate follow-on actions, which may include:

- Production of a Summary of Reasonable Adjustments (SORA)
- Email liaison with your academic department, Information Services (ISD), Library
- Completion of an application for Exam Adjustments
- Onward referral for non-medical help (e.g. specialist tuition, mental health mentoring, note-taking support)

Step 3:

Remain in contact with the Disability, Mental Health and Wellbeing team throughout your studies and request a review of support as and when you feel it is necessary.

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14. For further information on Reasonable Adjustments please refer to Chapter 2 Section 3 of the UCL Academic Manual.

Extenuating Circumstances

15. The Extenuating Circumstances regulations set out at Chapter 2, Section 2 of the UCL Academic Manual define the support available for UCL students who might experience something unexpected, significantly disruptive and beyond their control and which may affect their performance at assessment, such as a sudden, serious illness or the death of a close relative.

16. The Extenuating Circumstances regulations shall apply to all Short Course Learners registered as UCL Associate Students on credit-bearing Short Courses. The regulations apply to summative assessments only. They do not apply to formative assessments or to absence from lectures, seminars, tutorials etc.

17. Further guidance about the types of circumstances which are generally considered to be extenuating can be found in Chapter 2, Section 2.5: Grounds for Extenuating Circumstances.

18. Extenuating Circumstances Claims submitted by Short Course Learners will be considered in accordance with the Extenuating Circumstances Regulations, with the following exceptions:

- Extenuating Circumstances submitted by Short Course Learners will be considered in a timeframe appropriate for the duration of the Short Course;
- The Short Course organiser or leader will fulfil the role of the Programme Leader (or equivalent);
- Decisions on Extenuating Circumstance claims will be referred to the Chair of the relevant Faculty/Department Extenuating Circumstance Panel for decisions under the authority of the Faculty/Department Extenuating Circumstance Panel
- Forms of mitigation for Short Course Learners may include any of the following:

  i) The Course Leader for the Short Course may approve a coursework extension of up to one week;
  ii) The Course Leader, Departmental Tutor or Chair of the relevant Board of Examiners may approve a coursework extension of up to four weeks;
  iii) Other forms of mitigation can be considered by the Faculty or Departmental Extenuating Circumstances Panel or by the Chair acting on behalf of the Panel, including:
     - those outlined in Chapter 2, Section 2: Short-term Illness and other Extenuating Circumstances;
     - offer of a full refund for the Short Course with the option to re-enrol at a later date.

19. Short Course Learners may also apply for Exam Adjustments via a separate online application process. Exam Adjustments are adjustments to central or departmental written examinations which can be made as a form of Reasonable Adjustment for those with a disability or long-term condition or as a form of mitigation for those with shorter-term Extenuating Circumstances – see Chapter 2, Section 5: Exam Adjustments.

20. For further information on Extenuating Circumstances please refer to Chapter 2, Section 2 of the UCL Academic Manual.

Reassessment

21. The Consequences of Failure regulations set out at Chapter 4, Part A: Section 9 of the UCL Academic Manual cover the provisions for UCL students who do not meet the module or programme requirements at the first attempt and there are no Extenuating Circumstances material to that failure.

22. The Consequences of Failure regulations shall apply to all Short Course Learners registered as UCL Associate Students on credit-bearing Short Courses.

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23. For Short Course Learners who are registered as UCL Associate Students, a credit-bearing Life Learning activity is completed when they have been academically assessed in all of the examined components relating to the activity

24. A credit-bearing Short Course is passed when a Short Course Learner who is registered as a UCL Associate Student has been academically assessed in all of the examined components relating to the activity and achieved the pass mark for the activity as a whole (see 'Requirements to pass a credit-bearing Short Course' section above).

25. A student must be awarded a mark of 0% for a Component and must be deemed to have made an attempt where they:
    a) Are absent from an examination, presentation or other assessment event, OR
    b) Do not attempt a paper or task, OR
    c) Attempt so little of a paper or task that it cannot be assessed, OR
    d) Do not submit coursework.

26. Where a Short Course Learner who is registered as a UCL Associate Student is absent or makes an un-assessable attempt due to illness or other Extenuating Circumstances they should follow the procedures for Extenuating Circumstances described in paragraphs 14-19 above.

27. Where a Short Course Learner who is registered as a UCL Associate Student fails to pass the assessment on a credit-bearing Short Course at the first attempt, one further attempt at assessment is normally permitted unless otherwise specified in the course specification for the Short Course concerned. Short Course Learners are therefore advised to refer to the course information for the Short Course.

28. Reassessment must be made at the next normal occasion.

29. For credit-bearing Short Courses, the expectation is that Short Course Learners who are eligible for reassessment will resit the assessment without extra tuition Short Course Learners who wish to resit the assessment with tuition will be required to re-enrol on the Short Course in question.

30. The assessment or reassessment for a Short Course must be completed within two years of initial enrolment on the activity. This period of two years may be extended at the discretion of UCL by way of an approved suspension of regulations.

31. Short Course Learners should receive the higher of the marks achieved at the first or second attempt.

32. Short Course Learners should only be reassessed in the failed module components, unless the course specification for the activity requires reassessment of all components.

33. Short Course Learners who have passed a credit-bearing Short Course activity cannot repeat the assessment for the activity.

34. Short Course Learners who have been excluded from UCL are not eligible for any further assessment attempts.

Boards of Examiners

35. Marks for Short Course Learners registered as UCL Associate Students on credit-bearing Short Courses must be considered and approved by a Board of Examiners.

36. Departments must consider and approve these marks once per term, either through their usual Boards of Examiners cycle, or through a Sub-Board convened to consider only marks

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for credit-bearing Short Courses. In the case of the latter, the regulations for Boards of Examiners at Chapter 4, Part A: Section 11 of the UCL Academic Manual shall apply in respect of:

- Terms of reference
- Constitution and Membership
- Quorum
- Candidate anonymity
- Confidentiality
- Conflicts of interest
- Involvement of External Examiners;
- All other procedures for the management of Boards of Examiners set out at Chapter 4, Part A: Section 11 of the UCL Academic Manual.

Publication of Results

37. Course organisers are permitted to release unconfirmed provisional marks to Short Course Learners, prior to the formal publication of results by UCL. Publication of full results should occur at least once per term.

38. Short Course Learners will be informed of the date when their examination results will be published.

39. UCL Associate Student Short Course Learners who complete the assessment for a credit-bearing UCL Short Course will be eligible to receive an official transcript detailing their mark.

4.   Approval of Short Courses

4.1   Approval of new non-credit-bearing Short Courses

1. All proposed new non-credit-bearing short courses (i.e. short courses, professional development (CPD) and executive education) must be submitted for approval by the relevant Department/Division and Faculty.

New non-credit bearing Short Courses

2. Proposals for new non-credit-bearing Short Courses must be submitted using the Course Initiation Questionnaire (CIQ) process, accessed via Sharepoint at this link: https://liveuclac.sharepoint.com/sites/CIQTeam

3. Course initiators should download the CIQ proposal form and Costing and Pricing tool, and review the requirements of the forms. Prior to submitting proposals to the CIQ process, course initiators should:

   i) consider how the course aligns with UCL, faculty and department strategic objectives, and with the department's portfolio of courses.
   ii) investigate the potential market for the proposed course and its USP.
   iii) discuss with the Head of Department the business case for the course, and confirm their support for the proposal.
   iv) discuss costing and fee setting with the department finance manager.
   v) plan the basics of their course, including content, structure, entry qualifications (if any), teaching and learning hours, learning outcomes and assessment details, and work out how to succinctly describe these.

vi) discuss requirements and suitability with the Digital Education team if the course is proposed to be online or have a blended element.

vii) identify the short course department approver, as the approver's name and email address will be required when submitting the proposal. The approver should be the Head of Department, unless the course is being initiated by the Head of Department, in which case an alternative academic will have to be named as department approver on the CIQ form.

viii) plan a scheduled start date for the course, allowing enough time for the course to be approved and any required changes made, content including online requirements to be developed, and marketing be carried out.

4. Consult the UCL Short Course Resource Hub for general advice on planning and developing a short course.

5. Once the steps in paragraph 3 and 4 have been carried out, the course initiator should complete the CIQ course proposal Word Template and the Costing and Pricing tool offline.

6. The completed CIQ form and Costing and Pricing tool need to be uploaded to the CIQ SharePoint site. The course proposal cannot be forwarded for approval without both documents.

Approval Procedures

7. Proposals for new non-credit-bearing Short Courses must be reviewed and approved at Departmental/Divisional and Faculty level. The online CIQ facilitates approval and allows comments and queries to be raised at both stages of the approval process.

8. Once a CIQ form and Costing and Pricing tool have been submitted through SharePoint, notification and a link will be sent automatically to the person named as the departmental approver. The department approver should be the Head of Department, unless they are the person submitting the course proposal.

9. The departmental approver should review the proposal and make comments.

10. If the course proposal is approved at departmental stage, the faculty approver is automatically notified, and asked to review the proposal. The faculty approver is the Faculty Tutor.

11. If the faculty approver also approves the course proposal, the course initiator is automatically notified and can proceed to work on developing the course.

12. If the proposal is rejected at either departmental or faculty stage, the course initiator will be notified, with comments about why the course was rejected. The proposal may be resubmitted after the initiator acts on the comments, and after the initiator has discussions with colleagues/the Head of Department.

Information for approvers

13. Department and faculty approvers should take all of the following into consideration when assessing a course proposal. Approvers should:

i) ensure the proposal aligns with institutional, Departmental/Divisional and Faculty strategic objectives.

ii) evaluate the proposal in relation to other courses and programmes in the department/faculty, and if relevant, in other departments/faculties. Decide if the course fits appropriately into the faculty portfolio in terms of subject, mode, aims, and possible progression routes.

iii) check if the business case described in the CIQ proposal form is feasible. As a minimum there should have been desk research conducted which illustrates a clear market for the course. The Costing and Pricing tool should have been completed, with all expected development costs included, and a fee proposed.

iv) ensure the course design is well thought through, learning outcomes align with tasks, and that the number of hours for the course, and assessment methods, are appropriate. The proposed method of running the course (in person, blended or online) should also be suitable.

v) determine that, if there is a partnership involved in developing or delivering the course, whether internal or external, that the partnership is appropriate.

vi) check that any external accreditation planned is suitable and at a correct level for the course.

vii) Identify that there are valid methods proposed for obtaining learner feedback, and the initiator has also considered other ways to evaluate the course.

Amendments to non-credit-bearing Short Courses

14. Amendments to any of the following details for non-credit-bearing short courses previously submitted and approved via the CIQ process will need to be resubmitted through the CIQ process for Departmental/Divisional and Faculty approval:

i) the parent Department/Faculty of the course or activity;
ii) accreditation information or organisation;
iii) delivery/development partner;
iv) the title of the course;
v) the number of contact or learning hours involved;
vi) significant change to content;
vii) learning outcomes;
viii) assessment details;
ix the audience for the course;
x) mode of delivery (in person/blended/online) or platform (Extend, FutureLearn etc);
xi) price change – or + 10%;

4.2 Approval of new credit-bearing Short Courses

1. Credit-bearing Short Courses can be separated into the following categories:

i) Seats/places on modules forming part of existing UCL programmes that are 'unbundled' and offered as short course options, with or without assessment, for Short Course Learners to attend alongside UCL Students and UCL Affiliates;

ii) Standalone short courses that are either new or derived from modules from UCL programmes and offered independently and exclusively to Short Course Learners outside the UCL teaching timetable.

2. For new credit-bearing Short Courses falling into the category of 4.2.1.i above, it will not be necessary for the activity to be approved through the CIQ process, provided that approval of the module in question has already been confirmed through the process for approval of new programmes and modules described in Chapter 7, Part B of the UCL Academic Manual: Programme and Module Approval.

3. New credit-bearing Short Courses falling into the category 4.2.ii require approval using the process for new module approval specified in Chapter 7, Part B, Section 3, and with the following adjustments:
i) Departmental and Faculty Teaching Committees will review new applications once per term according to locally set submission deadlines.
ii) Organisers should allow at least six months between final Faculty approval, and first teaching of the course, to allow for systems set up and promotion and marketing.

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iii) Prior to submitting the course for Departmental review, a business case including a financial forecast and outline delivery plan should be signed off by the Departmental finance manager and attached to the application. If Faculty approval is given, the new credit-bearing Short Course must be submitted to UCL Education and Student Experience (shortcourses@ucl.ac.uk) to be added to the central register of credit-bearing Short Courses.

4. Amendments to credit-bearing Short Courses will be considered once per term and Faculties may set their own local submission deadlines. Review and approvals will follow the standard Module Amendment procedures (Chapter 7, Part B, Section 5). If approval is given, the change must be submitted to UCL Education and Student Experience (shortcourses@ucl.ac.uk) in order for the central register of credit-bearing Short Courses to be updated.

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5. Quality Review of Short Courses

5.1 Quality review of non-credit-bearing Short Courses

1. All non-credit-bearing Short Courses should be subject to Annual Evaluation.

2. Annual Evaluations should follow the prompts on the Short Course Annual Evaluation Form.

3. As a minimum, this annual evaluation should encompass the following areas/core data categories:

   - Number of applicants
   - Number of Short Course Learners registered
   - Completion dates
   - Course evaluation/feedback from participants

4. Completed Annual Evaluation Forms should be submitted to the relevant UCL department by the annual deadlines set for the undergraduate and taught postgraduate Annual Student Experience Review (ASER) cycles. Annual Evaluations should feed into the ASER process and action-planning undertaken by UCL departments.

5.2 Quality review of credit-bearing Short Courses

1. Departments and Faculties will be responsible for monitoring the quality of credit-bearing Short Courses in accordance with the principles of quality review laid out in Chapter 9, by means of a credit-bearing Short Course questionnaire, which will:
   i) be distributed during each instance of the course.
   ii) concentrate on the effectiveness of teaching, learning, assessment, and student support, as perceived by the student.
   iii) ensure the anonymity of respondents.

2. Departments will produce a Development and Enhancement Plan for their credit-bearing Short Courses, for review by the Departmental Teaching Committee, and submission to the Faculty Teaching Committee.

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LONDON'S GLOBAL UNIVERSITY

UCL Academic Manual 2022-23

Chapter 11: Degree Apprenticeships Framework

Chapter 11 is UCL's regulatory framework for the management, delivery and quality assurance of apprenticeship programmes at UCL.

1 UCL's Approach to Degree Apprenticeships

1. UCL aims to use its world class academic excellence to tackle real world problems at a grand scale, often in collaboration with partners in public and private sector industries. The range of activity resulting from this is broad and typically includes a combination of research, education and knowledge transfer in order to disrupt the status quo and bring about lasting change. Degree apprenticeships represent a valuable means through which to apply our existing strengths in research and education to address skills gaps and broader workforce development challenges as an enabler for such lasting change.

2. The development UCL's portfolio of degree apprenticeships draws on the established expertise in academic departments and supports the application of that existing expertise in new ways. Each degree apprenticeship will use this expertise to address a clear strategic need identified with employers and other industry partners and should usually focus on occupations requiring the higher-level skills and competences that UCL is particularly well-placed to deliver.

3. UCL's strategic intent is best suited to the more focused, specialist nature of level 7 provision. This will enable apprentices to benefit from the synergies with our wider postgraduate taught student community, many of whom are already established in their careers and embarking on professional development. By defining the scope of our provision in this way, UCL is able to develop a policy and support infrastructure that is fit for purpose.

4. Successful completion of an apprenticeship at UCL must always lead to a credit-bearing qualification as set out in Chapter 7, Part A of the Academic Manual, but there are fundamental differences in the design, delivery, management, regulation and funding of apprenticeships compared to UCL's traditional provision.

   - UCL is regulated as a single Apprenticeship Training Provider and is required to operate as such with a coherent framework for managing its apprenticeship provision.
   - Where an academic department proposes to deliver an apprenticeship, it recognises and agrees to operate wholly within this framework comprising unified policies, processes, systems and ways of working, in order to secure UCL's ongoing compliance with its regulatory obligations.
   - UCL is early in its development as an Apprenticeship Training Provider and the development of its framework for managing apprenticeships will be iterative, which in turn will require academic departments and professional services to iteratively review and ensure the continued alignment of their practice.

5. The regulations and policy of UCL as set out in the Academic Manual shall apply in full to apprentices as to any other registered student enrolled on a UCL programme, except where a specific provision is made in the Academic Manual to accommodate the specific requirements of apprenticeships.

6. Where UCL's regulations are found to be incompatible with the external regulation and funding rules of apprenticeships, a request to suspend the regulations may be made according to procedure in Chapter 6, Section 5 as an interim measure ahead of Student and Registry Services proposing a permanent regulatory solution.

2 Glossary[1]

Term	Definition
Apprenticeship	An apprenticeship is a job with training to industry standards. It should be about entry to a recognised occupation, involve a substantial programme of on and off-the-job training and the apprentice's occupational competence should be tested by an independent, end point assessment. In the case of an integrated apprenticeship UCL is the end point assessor.
Apprenticeship Training Provider	An organisation that has been approved by the ESFA to be eligible to receive government funding to train apprentices.
Apprenticeship Standard	Apprenticeship standards are developed and proposed employer groups known as 'trailblazers' to set out what apprentices must be doing on a degree apprenticeship programme delivered by an Apprenticeship Training Provider. Apprenticeship Standards are approved by the Institute for Apprenticeships and Technical Education.
Commitment Statement/Training Plan	A tri-partite statement that must be signed by each apprentice, the Apprenticeship Training Provider and employer before training can start. The commitment statement/training plan must include: • the planned content and schedule for training • what is expected and offered by the employer, the training organisation and the apprentice • how to resolve queries or complaints As of the academic year 22/23 the Commitment Statement will be known as the Training Plan.
Degree apprenticeship	A higher-level apprenticeship where successful completion results in the award of a level 6 or 7 academic qualification.
Employer Contract	A contract between UCL and the employer for the delivery of a degree apprenticeship programme that must be signed before the programme can start.
ESFA	The Education and Skills Funding Agency, an executive agency of the Department for Education responsible for funding education and skills for children, young people and adults, including apprenticeships.
Individual Learning Plan (ILP)	Apprenticeship Training Providers must create an ILP for each apprentice based on their initial assessment of the apprentice. The ILP personalises the curriculum for each apprentice, taking into account their prior learning, career aspirations, additional

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[1] Sources: Education and Skills Funding Agency website: https://www.gov.uk/government/organisations/education-and-skills-funding-agency; Institute for Apprenticeships and Technical Education website: https://www.instituteforapprenticeships.org/

	learning requirements and any bespoke training required by the employer. The ILP will include objectives for the apprentice as well as information on their off-the-job-learning and opportunities for feedback.
Ofsted	The Office for Standards in Education, Children's Services and Skills, a non-ministerial department responsible for inspecting services providing education and skills for learners of all ages. Since 01 April 2021, this has included responsibility for inspecting apprenticeships provision at level 6 and 7.
Tripartite Reviews	Tripartite reviews are a standardised way of monitoring an apprentice's progress through the degree apprenticeship programme and take place regularly, as set out in the ILP, between the apprentice, the employer and the Apprenticeship Training Provider.

3 Roles, Responsibilities and Governance

3.1 Institutional Oversight

Governance

1. Though the responsibilities delegated by Academic Committee, Academic Board and Council, the Education Committee has oversight of educational policy, standards and quality, including for degree apprenticeships.

2. The Education Committee determines the academic policy and regulations setting out UCL's academic standards and expectations with regards to the quality of apprenticeship training, and puts in place a framework governance and quality assurance to secure the consistent implementation of these standards and expectations.

3. Each academic year, the Education Committee considers the recommendations of its sub-committees together with the range of evidence available on the quality and outcomes of apprenticeship training, to reach an informed view on the maintenance of academic standards, the quality of apprenticeship training, risks to compliance with UCL's regulatory obligations as an Apprenticeship Training Provider, and the areas of focus for continuous improvement or risk mitigation going forward.

4. The Education Committee includes its informed view on degree apprenticeships and the effectiveness of the related governance and quality assurance when reporting on the quality and standards of UCL's higher education provision to Academic Committee, Academic Board and Council, including through the Annual Accountability Return on Quality Assurance.

Degree Apprenticeships Steering Group

5. Responsibility for institutional oversight of UCL's degree apprenticeship provision has been delegated by the Education Committee to its Degree Apprenticeship Steering Group.
6. The Degree Apprenticeship Steering Group (DASG) is responsible for overseeing and recommending policy on all aspects of degree apprenticeship delivery at UCL, including strategy, overall performance of the provision including setting expectations,

operational matters, compliance, financial arrangements and quality assurance, as set out in the DASG's Terms of Reference.

7. The DASG may set up working groups and other sub-groups to manage specific aspects of degree apprenticeship delivery and external compliance.

8. The DASG oversees the annual production of an institutional self-evaluation of the quality, standards and compliance of degree apprenticeships and uses this to inform an annual report to Education Committee setting out its recommended priorities for continuous enhancement and mitigating risk in the following year.

Other sub-committees of Education Committee

9. The following sub-committees of the Education Committee have responsibility for quality assurance and enhancement across all of UCL's higher education provision, including degree apprenticeships:
   - Degree apprenticeship programmes are subject to approval by the Programme and Module Approval Panel (PMAP) in accordance with Chapter 7, Part B of the Academic Manual.
   - The monitoring, review and enhancement of the quality of degree apprenticeships is undertaken as part of the framework overseen by the Quality Review Sub-Committee.
   - Academic regulations and policies relating to degree apprenticeships are overseen by the Academic Regulations and Quality Assurance Sub-Committee.

3.2 Department Roles and Responsibilities

1. Heads of Department have accountability for ensuring effective oversight, quality assurance and enhancement of degree apprenticeship programmes through their education governance structures, including the Department Teaching Committee (DTC). Departments are required to report regularly to the DASG on the delivery and management of their degree apprenticeships.

2. Heads of Department must ensure that the degree apprenticeships developed and delivered within the Department are appropriately resourced and supported by the department management and operational structures. This will include appointing a Programme Director and a lead administrator to each degree apprenticeship programme and ensuring that they are able to fulfil their responsibilities in line with the guidance set out in Annex 11.6.

3. Heads of Department must seek assurance that the Department is able to deliver each degree apprenticeship programme in accordance with the applicable Apprenticeship Standard(s), the approved programme proposal and the applicable UCL regulations. There must be mechanisms within the Department for the ongoing monitoring of its compliance with the relevant requirements related to degree apprenticeship delivery, and risks to compliance or quality should be included in the department's regular reporting to the Faculty and Degree Apprenticeships Steering Group.

3.3 Faculty Roles and Responsibilities

1. Faculty Tutors in each Faculty that delivers degree apprenticeships must ensure that degree apprenticeships are included in the standard education governance structure of the Faculty and that oversight of the Faculty's degree apprenticeship provision is maintained by the Faculty Teaching Committee (FTC).

3.4 Central Services Roles and Responsibilities

1. The Registrar nominates one or more senior staff to fulfil the following institutional roles responsible for leading and managing degree apprenticeships at UCL:

    a. A **Lead Officer** to provide strategic support to the Degree Apprenticeships Steering Group, coordinate the operational management of degree apprenticeships at an institutional level and represent UCL in day-to-day engagement with external bodies regulating degree apprenticeships.

    b. An **Inspection Nominee** to be the main link with the inspection team during Ofsted inspections of UCL's degree apprenticeships.

    c. A **Designated Safeguarding Lead** with responsibility for the implementation of UCL's Safeguarding Children and Adults at Risk Policy and Procedure (Staff and Students) in relation to apprentices.

2. The responsibilities of central professional services for supporting apprentices and the delivery of degree apprenticeship programmes will usually be the same as for traditional degree programmes, noting specifically that:

    a. Admissions and applications, including the assessment of entry requirements, must be managed collaboratively between the academic department and Admissions in Student and Registry Services in line with Chapter 1 and this chapter of the Academic Manual.

    b. Statutory returns must only be compiled and reported by Academic Services in Student and Registry Services, including reporting the Individualised Learner Record (ILR) to the Education and Skills Funding Agency (ESFA).

        i. For non-integrated degree apprenticeships, academic departments must procure the services of and manage the relationship with an appropriate End Point Assessment (EPA) organisation, in consultation with Academic Services and Legal Services, and must register apprentices with the EPA organisation in line with the requirements of the signed contract.

4 Quality Assurance of Degree Apprenticeships

4.1 Overview

1. UCL's normal quality assurance processes described elsewhere in the Academic Manual, and specifically in Chapters 7 and 9, apply to degree apprenticeships alongside the specific provisions set out here.

2. In addition to the regulatory requirements and external reference points that govern our approach to assuring the academic standards and quality of our higher education qualifications, apprenticeships and UCL as an Apprenticeships Training Provider are subject to additional regulatory requirements as set out by the Department for Education, Education and Skills Funding Agency, and the Institute for Apprenticeships and Technical Education. Furthermore, Ofsted inspect the quality of apprenticeship training at all levels against the criteria set out in their Education Inspection Framework, and the Quality Assurance Agency inspect the quality of End Point Assessment provision on behalf of the Department for Education. UCL's internal quality assurance procedures for degree apprenticeships, as set out below, are designed to fulfil these various requirements and ensure that apprentices benefit from a high-quality learning experience and successful outcomes.

4.2 Approval and amendment

1. In the first instance, anyone wishing to propose a new degree apprenticeship programme should liaise with their Head of Department, Faculty Tutor and Dean of Faculty to secure initial endorsement and support for the proposal. The proposer must have commitment from the employer(s) they wish to work with and have identified the Apprenticeship Standard they are proposing to deliver.
2. Once the initial proposal has Department and Faculty management endorsement, the proposer must complete a Feasibility Assessment (Annex 11.1) to be reviewed and approved by the DASG.
3. Following approval from the DASG for the Feasibility Assessment, the proposer can begin the programme approval process in line with Chapter 7, Part B of the Academic Manual, overseen by PMAP.
4. Degree apprenticeship programmes should be designed in collaboration with the employers committed to enrolling apprentices on the programme.
5. The programme approval process, documentation and timelines for degree apprenticeships is the same as for any other degree programmes at UCL with the addition of the following steps:
    *   The proposer must submit a completed Degree Apprenticeship Annex for Programme Approval with the other programme proposal paperwork. The Annex will include a mapping of the programme to the applicable Apprenticeship Standard.
    *   In line with the guidance provided in the Degree Apprenticeship Annex for Programme Approval, the proposer must identify an Apprenticeship External Scrutineer for the proposal. The Apprenticeship External Scrutineer should provide a brief statement assessing how robustly the proposed programme aligns to the applicable Apprenticeship Standard and any other applicable external competency frameworks.
    *   The Apprenticeship External Scrutineer should also comment on the other responses in the Degree Apprenticeship Annex to confirm that the proposed processes for managing the degree apprenticeship are in line with sector best practice and the standard expectations of the relevant government bodies.
6. Amendments proposed to degree apprenticeship programmes are also subject to the applicable provisions in Chapter 7, Part B of the Academic Manual.

7. Following the approval of a degree apprenticeship programme and before any applicant is permitted to begin their application to the programme, there must be a signed contract in place with their employer.

    a. UCL has a set, institutionally agreed template for Employer Contracts that is held by Academic Services and must be used as a starting point with all employers.

    b. Draft contracts must be submitted for review by Academic Services before they are signed by either party.

    c. A finalised contract will be recommended by Academic Services to the appropriate authorised signatories for Employer Contracts for degree apprenticeships, as set out below within the Council-approved delegated authorisation limits:

Value of the agreement	Signatory
• Estimated value of the Employer Contract over its full term over £2m and up to £10m	• Provost
• Estimated value of the Employer Contract over its full term over £250k and up to £2m	• Vice-President (Operations); or • Director of Finance and Business Affairs
• Estimated value of the Employer Contract over its full term up to £250k	• Registrar

4.3 Annual Monitoring

1. All academic departments undertake quality monitoring through the Annual Student Experience Review (ASER) as described in Chapter 9: Quality Review Framework, whereby matters relating to degree apprenticeships are fed into the Department's overall Evaluative Report and Development and Enhancement Plan.
2. A programme-level evaluation must be produced each year for each degree apprenticeship programme capturing feedback from employers and apprentices, using the template provided in Annex 11.3, in order to inform the continuous improvement of the programme and to enable explicit consideration of degree apprenticeships in ASERs.
3. Departments must include programme-level evaluations in the evidence base for their ASER, in addition to the standard evidence set out in Chapter 9.
4. Completed programme-level evaluations must be reviewed and refined at the relevant Student Staff Consultative Committee and Department Teaching Committee before being shared with the Faculty Tutor and the DASG, normally during Term 1 for the previous Academic Year.
5. The DASG, in collaboration with QRSC and with support from Academic Services, will appoint a review group from the DASG and QRSC memberships to review the submitted programme-level evaluations, produce an institutional analysis and identify cross-cutting priorities for the continuous improvements of quality.

4.4 Periodic Review

1. Degree apprenticeship programmes are subject to the standard UCL Internal Quality Review (IQR) process described in Chapter 9 the Quality Review Framework.
2. In addition to the standard IQR requirements, the appended Degree Apprenticeship Guidance for Internal Quality Review (Annex 11.2) applies to IQRs carried out in Departments delivering degree apprenticeships. The Guidance includes provisions for

appointing an External Degree Apprenticeship Adviser for the Review Team and for including apprentices and employers in the IQR process as well as templates and questionnaires relating to degree apprenticeships for the Department to complete and submit to the Review Team as part of the IQR evidence pack.

5 Employer Engagement

1. Degree apprenticeship provision at UCL is developed to meet sector challenges and employer needs using insight from Industry Advisory Boards, existing relationships with employers and alumni. Evidence of employer and industry engagement in degree apprenticeship design is reviewed and approved via PMAP and DASG.
2. UCL departments work with employers in the design and delivery of degree apprenticeships, including setting clear expectations of the apprentices to develop their knowledge, skills and behaviours (KSBs). Throughout the delivery of the degree apprenticeship, UCL departments will collaborate with and support the employer to ensure apprentices stay on track and develop KSBs to achieve well on the degree apprenticeship programme and beyond. The template for an Employer Handbook can be found in Annex 11.7.
3. The employer voice is heard in all quality assurance processes relating to degree apprenticeships at UCL to capture continuous improvement. Employer feedback also informs institutional governance of degree apprenticeships to provide oversight of the employers' experience of delivering degree apprenticeships with UCL departments.

6 Apprentice Support and Success

1. Every apprentice will benefit from an integrated package of support that identifies their specific needs, adapts their apprenticeship training and programme to those needs, and supports them to fulfil their potential in achieving a successful outcome.
2. Academic departments must design degree apprenticeship programmes to incorporate this package of support, using the requirements set out below as a baseline.

6.1 Initial Assessment

1. Apprenticeship funding should not be used to pay for, or accredit, existing knowledge, skills and behaviours.
2. Initial assessment checks that the degree apprenticeship is an appropriate programme for the apprentice and ensures they will not undertake training they do not need.
3. Before an apprenticeship is planned and begins, the academic department must undertake an initial assessment of an applicant's prior learning to establish their starting point, or baseline, and inform how much of the apprenticeship training and the programme they require.
4. The process and template for initial assessment in Annex 11.4 should always be used unless otherwise agreed by Academic Services for a particular programme.
5. Staff with responsibility for undertaking initial assessments on behalf of UCL must be familiar with and operate with the boundaries of UCL's policy on the Recognition of Prior Learning in Chapter 1, Section 1.8 of the Academic Manual.
6. Where prior attainment, knowledge and skills are identified, the costs of training must be adjusted.

6.2 Planning Apprenticeship Training

1. Prior to an apprentice commencing their apprenticeship training, the following must be developed, agreed and added to the apprentice's file:

   a. A **Commitment Statement/Training Plan**
   b. An **Individual Learning Plan** (ILP)

2. UCL's standard templates for Commitment Statements/Training Plans and Individual Learning Plans (Annex 11.5) should be used unless otherwise agreed in advance with Academic Services.

3. Where a signature is required, this must be supplied before a document can be considered to be in place and active.

4. To enable apprenticeship training to be planned in line with the expectations of the apprentice's employer and UCL, an **Employer Contract** must be signed in advance of any applications being received and must be valid for the duration of the apprenticeship training being planned.

5. Where a change in circumstances, such as a break in learning and interruption of study, impacts an apprentice's ability to complete their apprenticeship training according to their Commitment Statement/Training Plan and Individual Learning Plan, their training should be replanned, and updated versions of these documents agreed and added to their file.

6.3 Progress Monitoring and Tripartite Reviews

1. The engagement and progress of individual apprentices must be monitored through robust departmental systems and support structures, which should be designed in advance of the programme being delivered and regularly evaluated through quality monitoring and review processes.

Tripartite Reviews

2. Tripartite reviews between the apprentice, employer and UCL ensure that all parties are clear on the apprentice's progress towards the targets set out in their apprentice commitment statement/training plan and learning plan.

3. Tripartite reviews should provide an opportunity for apprentices and employers to offer feedback on their experience of the degree apprenticeship programme and the apprenticeship training more generally.

4. Tripartite reviews may identify and should note concerns about the quality of the employer's training or support for an individual apprentice, including the time being protected for off-the-job training, but there must also be a mechanism for collating and addressing such concerns through regular corporate-level engagement between the academic department and the employer.

5. Tripartite reviews must be held at least every 12 weeks throughout the degree apprenticeship programme and apprentices are required to engage with each review fully.

6. Tripartite review meetings should be held in-person where possible or alternatively online via a video call where this is not possible, but they must always be 'face-to-face' to enable a more comprehensive review of the apprentice's progress, engagement and wellbeing.

7. All apprentices are required to engage with regular tripartite reviews throughout their programme.

8. A summary of each tripartite review must be agreed with all parties and documented in the Apprentice File, and should include any areas of concern and the actions agreed to address these areas of concern ready to be monitored through subsequent reviews.

9. It is the responsibility of UCL and the academic department to plan, arrange and document tripartite reviews.

6.4 Gateway and End-Point Assessment

1. UCL offers two types of degree apprenticeship:

    a. **Integrated degree apprenticeships** where UCL is both the apprenticeship training provider and the end-point assessment organisation.

    b. **Non-integrated degree apprenticeships** where UCL is the apprenticeship training provider but contracts with another end-point assessment organisation.

Gateway

2. The assessment strategy for each degree apprenticeship programme must define the requirements to be met before an apprentice can proceed to the end-point assessment and the process for confirming that these requirements have been met, known as the Gateway.

3. The Gateway must meet the requirements of the assessment plan for the relevant Apprenticeship Standard and confirm the employer is satisfied that the apprentice is already consistently working at or above the level of knowledge, skills and behaviours set out in the occupational standard.

4. An apprentice must only be allowed to proceed to the end-point assessment once they have met the requirements of the Gateway, including evidence that they have competence in Maths and English at level 2 at a minimum.

End-Point Assessment

5. Each degree apprenticeship programme concludes with a holistic and independent assessment of the knowledge, skills and behaviours that have been developed throughout an apprenticeship, known as the end-point assessment (EPA).

6. The end-point assessment is specified in the assessment plan for the relevant Apprenticeship Standard and must not be deviated away from.

7. The end-point assessment is administered by an end-point assessment organisation.

8. For integrated degree apprenticeships, UCL is the end-point assessment organisation.

    a. The assessment strategy for the degree apprenticeship programme must be designed to ensure that the final assessments meet the requirements of the assessment plan for the relevant Assessment Standard, and this should be confirmed through the programme approval and amendment process.

    b. Assessments that contribute to the end-point assessment must be conducted by someone who has not been involved in the delivery of the apprenticeship.

c. By meeting the requirements for the award of the intended qualification, the apprentice should have met the requirements to pass an integrated degree apprenticeship, and the Boards of Examiners should assure itself of this.

9. For non-integrated degree apprenticeships, the academic department must secure the services of a third-party provider included on the ESFA's register of end-point assessment organisations.

   a. A contract must be in place with the end-point assessment organisation in good time before the first apprentices are due to pass through the Gateway.

   b. Academic departments are responsible for procuring the services of and leading UCL's engagement with the end-point assessment organisation within the requirements of relevant UCL policies, including those on procurement and data protection.

   c. Academic Services and Legal Services must be consulted on the draft contract.

6.5 Apprentice File

1. Alongside the core Student Record held in Portico and the apprentice's assessments, the following form part of the Apprentice File that must be maintained for each apprentice by their academic department:
   a. Initial Assessment
   b. Apprenticeship Agreement between the employer and apprentice
   c. Commitment Statement/Training Plan and Individual Learning Plan
   d. Tripartite Review Forms

2. The apprentice and/or employer must confirm the information they provide is correct when it is collected and the Apprentice File must include evidence of this, such as a signature, in a scanned or digital format.

3. Employer Contracts and contracts with end-point assessment organisations must be retained and stored by academic departments alongside Apprentice Files.

4. Apprentice Files, Employer Contracts and contracts with end-point assessment organisations must be kept up to date, readily available for audit and inspection and retained within the parameters of UCL's Records Retention Schedule.

5. Apprentice Files Employer Contracts and contracts with end-point assessment organisations constitute the evidence pack required by the ESFA.

UCL Academic Manual
2022-23

Chapter 12: Duties and Responsibilities

Chapter 12 outlines the Duties and Responsibilities of key posts within UCL.

1 Heads of Departments (excluding academic units of the School of Life and Medical Sciences)

Contact: [Ms Anne Marie O'Mullane](#), Interim Secretary to Council

Policy

General

In accordance with UCL Regulation for Management 11.4, the Head of Department is responsible to the Council of UCL, via the Dean of the Faculty, the Vice-Provost (Faculties) and ultimately the Provost, for the organisation and general conduct of the Department and is expected to participate in its teaching, examining and administrative work and to pursue research.

The following schedule of duties and responsibilities applies to Heads of Departments in the Faculties of Arts and Humanities, the Built Environment, Engineering Sciences, Laws, Mathematical and Physical Sciences, Social and Historical Sciences, and the UCL Institute of Education, as well as to the Director of the School of Slavonic and East European Studies (SSEES). In the School of Life and Medical Sciences, there are specific (although largely similar) duties and responsibilities prescribed for the Directors of Divisions and Institutes.

The specific duties and responsibilities of Heads of Departments include the following:

1   Safety and Environmental Sustainability

1.1   The Head of Department has overall responsibility for health and safety within the department and must demonstrate commitment to UCL's published Health and Safety and Environmental Sustainability Policies by making, recording, and ensuring the implementation of arrangements to meet the policies and associated UCL requirements.

1.2   The Head of Department will be required to set out and record a summary of the Department's priorities for improvement action in the current year which will reflect the outcomes from their annual review as well as the overall UCL Safety Objectives and Environmental Sustainability Strategy.

1.3   The Head of Department will ensure that their organisation is adequate to ensure that the departmental arrangements will be implemented to meet UCL requirements for Safety and Environmental Sustainability.

1.4   The Head of Department will be required to appoint a Departmental Safety Officer, a Departmental Environment Officer and other Nominated Persons specified by UCL Policy and [requirements](#). (These Officers and Nominated Persons must be competent to advise the Head of Department of the arrangements within the Department which are necessary to discharge adequately the Head of Department's responsibilities.)

2. Security

2.1 In consultation with the UCL Security Office, the Head of Department will implement agreed security measures in the Department during normal working hours and in respect of all visits to or other special events in the Department which may have particular security implications.

2.2 Enquiries regarding Head of Department responsibilities in respect of security should be referred to the UCL Security Manager.

3 Staffing

3.1 The Head of Department will be responsible for the management of staff of the Department, including (i) training, development, and career management and (ii) day-to-day management matters, such as leave of absence, sick leave, etc.

3.2 The Head of Department will be responsible for: ensuring that the Appraisal, Review and Development Scheme is undertaken for all appropriate staff of the Department; and for implementing UCL employment procedures.

3.3 The Head of Department will review and report annually on probationers' progress and performance in respect of academic staff, and review the probationary service of non-academic staff, in accordance with the relevant UCL Induction and Probation Procedures.

3.4 The Head of Department will be responsible for putting forward cases for Senior Academic Promotions.

3.5 Details of the above schemes can be obtained from the Human Resources Division.

4 Students

4.1 The Head of Department will be responsible for the implementation and general overview of processes within the Department to ensure the educational progress and welfare of students registered with the Department.

4.2 Enquiries regarding Head of Department responsibilities in respect of Students should be referred to the Registrar.

5 Equal Opportunity

5.1 The Head of Department will be responsible for appointing an Inclusion Lead and for promoting equality and diversity within the Department in accordance with UCL Policy.

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6 Communication

6.1 The Head of Department is responsible for ensuring that mechanisms are in place to communicate effectively with their staff; disseminating and acting upon information received directly from senior UCL officers.

6.2 The Head of Department should make arrangements for appropriate filtering of incoming information so that members of the Department are not overloaded with information which the Head judges not to be relevant to them.

7 Meetings

7.1 The Head of Department will ensure that a Departmental Staff Meeting is held at least twice in each academic year and will be responsible for the chairing and conduct of such meetings in accordance with Regulations for Management 11.5 to 11.12.

7.2 The Head of Department, in consultation with the appropriate faculty committee(s) and in accordance with Regulation for Management 12.3, will ensure that: a Staff-Student Consultative Committee is constituted; its constitution and procedures are acceptable to the staff and students of the Division; the Committee meets at least three times in each academic year; and its minutes are forwarded to the Students' Union and Academic Services using the sscc@ucl.ac.uk email address (see the Academic Manual Chapter 9, Section 6 Student Academic Representation for details).

7.3 The Head of Department will attend the Provost's regular meetings with the Academic Leadership Group and will disseminate information and/or take action in accordance with decisions arising from such meetings, as appropriate.

7.4 Enquiries regarding Head of Department responsibilities in respect of the above meetings should be referred to the Rob Traynor, Policy Adviser (Education Governance), Academic Services, Student and Registry Services (in respect of 7.2) and Clare Goudy, Chief of Staff to the President and Provost (in respect of 7.3).

8 Academic Planning

8.1 In consultation with staff of the Department and the Dean of the Faculty ('the Dean' hereafter), the Head of Department will: (a) formulate and monitor the academic planning, development and performance of the Department (including planning in respect of the UK higher education funding bodies' frameworks such as the REF, TEF and KEF); (b) prepare a Departmental Strategic Plan according to a timetable defined by UCL.

8.2 The Head of Department should discuss and agree major academic developments with the Dean before referral to the Vice-Provost (Faculties) or Provost as appropriate. Specific areas of academic planning for which Heads of Department have responsibility include:

- the accommodation implications, if any, of proposed academic developments and staff recruitment
- the REF, TEF and KEF
- taught programme review and development, including quality management and enhancement

9 Finance

9.1 The Head of Department will manage the Department's budget, working closely with the Dean of the Faculty, and handle financial matters in accordance with the Financial Regulations and approved procedures of UCL.

9.2 Enquiries regarding Head of Department responsibilities in respect of finance should be referred to the Faculty and School Finance Team.

10 Procurement

10.1 The Head of Department will be responsible for ensuring that staff in the Department follow the UCL Procurement Regulations.

11 Estates

11.1 The Head of Department, assisted by their professional services team and staff within UCL Estates, will aim to utilize the space efficiently with due regard for health and safety regulations, occupancy, and utilisation rates. All major developments requiring additional space or modifications of existing space with costs exceeding £25,000 should be registered using the UCL Project Request form found at: https://www.ucl.ac.uk/estates/project-and-requests. Except where specifically agreed otherwise by the Director of UCL Estates (Operations), all work to the fabric and services will be procured through UCL Estates.

12 Quality Management and Enhancement

12.1 In consultation, where appropriate, with the Dean of the Faculty concerned, the Head of Department will ensure: that quality management and enhancement processes operate within the department in accordance with policies and procedures laid down in the UCL Academic Manual, and that staff and, where appropriate, students are informed of such processes.

12.2 Enquiries regarding Head of Department responsibilities in respect of quality management and enhancement should be referred to the Director of Education Services or Director of Student Operations as appropriate.

13 Research Governance

13.1 The Head of Department will ensure that staff and, where appropriate, students of the Department understand UCL's arrangements for research governance and the

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associated procedures (see https://www.ucl.ac.uk/governance-compliance/research-governance, https://www.ucl.ac.uk/research/integrity/ and https://www.ucl.ac.uk/research/integrity/research-ethics), the main components of which include:

- UCL's research ethics framework
- UCL code of conduct for research
- Procedure for investigating and resolving allegations of misconduct in academic research
- Declaration of interest policy (in relation to research)
- Policy, principles and procedures for the care and treatment of human remains at UCL.

13.2   The Head of Department is responsible for agreeing all ethical approvals which may be required for research activities carried out by members of the Department.

13.3   Enquiries regarding Head of Department responsibilities in respect of research governance should be referred to the Registrar in the first instance.

14   Business Continuity

14.1   The Head of Department is responsible for the maintenance of business continuity in the Department and for working with UCL's Critical Incident Team in the event of a major incident or emergency at UCL. This will require being contactable, if necessary, outside working hours.

15   Other

15.1   The Head of Department may be asked to carry out such other duties and responsibilities as the Council, the Provost, the Vice-Provost (Faculties) or the Dean of the Faculty may from time to time prescribe.

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2 Directors of Divisions / Institutes in the Faculties of the School of Life and Medical Sciences (Brain Sciences, Life Sciences, Medical Sciences and Population Health Sciences)

Contact: [Ms Anne Marie O'Mullane](#), Interim Secretary to Council

Policy

General

In accordance with UCL Regulation for Management 11.4, the Director is responsible to the Council of UCL, via the Dean of the Faculty, the Vice-Provost (Faculties) and ultimately the Provost, for the organisation and general conduct of her or his Division/Institute ('Division' hereafter) and is expected to participate in its teaching, examining and administrative work and to pursue research.

Directors of Divisions will be appointed by Council, on the recommendation of the Provost, according to the procedure set out in Regulation for Management 11.3.

Divisions comprise a number of Research Departments (or equivalent sub-Divisional units) undertaking research and with responsibilities for graduate students (research and taught). A separate Teaching Executive Committee is responsible, to the Dean of the Faculty concerned, for undergraduate students.

1   Safety and Environmental Sustainability

1.1   The Director of Division has overall responsibility for health and safety within the Division and must demonstrate commitment to UCL's published Health and Safety and Environmental Sustainability Policies by making, recording, and ensuring the implementation of arrangements to meet the policies and associated UCL requirements.

1.2   The Director of Division will be required to set out and record a summary of the Department's priorities for improvement action in the current year which will reflect the outcomes from their annual review as well as the overall UCL Safety Objectives and Environmental Sustainability Strategy.

1.3   The Director of Division will ensure that their organisation is adequate to ensure that the Divisional arrangements will be implemented to meet UCL requirements for Safety and Environmental Sustainability.

1.4   The Director of Division will be required to appoint a Divisional Safety Officer, a Divisional Environment Officer and other Nominated Persons specified by UCL Policy and [requirements](#). (These Officers and Nominated Persons must be competent to advise the

Director of Division of the arrangements within the Division which are necessary to discharge adequately the Director of Division's responsibilities.)

2 Security

2.1 In consultation with the UCL Security Office, the Director of Division will implement agreed security measures in the Division during normal working hours and in respect of all visits to, or other special events in, the Division which may have particular security implications.

2.2 Enquiries regarding the Director of Division's responsibilities in respect of security should be referred to the UCL Security Manager.

3 Staffing

3.1 Directors of Divisions will be responsible for the management of staff of the Division, including (i) training, development and career management and (ii) day-to-day management matters, such as leave of absence, sick leave, etc. The Director of Division may delegate these responsibilities to Heads of Research Departments as he or she sees fit.

3.2 The Director of Division will be responsible for and/or for delegating to Heads of Research Departments responsibility for: ensuring that the Appraisal, Review and Development Scheme is undertaken for all appropriate staff of the Division; implementing UCL employment procedures.

3.3 The Director of Division will review and report annually on probationers' progress and performance in respect of academic staff, and review the probationary service of non-academic staff, in accordance with the relevant UCL Induction and Probation Policy, or will delegate such responsibility to Heads of Research Departments.

3.4 The Director of Division, following appropriate consultation, will be responsible for putting forward cases for Senior Academic Promotions.

3.5 Details of the above schemes can be obtained from the Human Resources Division or are available on the Division's website.

4 Students

4.1 The Director of Division will, in consultation with the appropriate Faculty Tutor and the Dean, be responsible for the implementation and general overview of processes within the Division to ensure the educational progress and welfare of students registered with the Division.

4.2 Enquiries regarding Director of Division responsibilities in respect of students should be referred to the Registrar.

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5   Equal Opportunity

5.1   The Director will be responsible for appointing an Inclusion Lead and for promoting equality of opportunity through the Division's Senior Management Group.

6   Communication

6.1   The Director is responsible for ensuring that mechanisms are in place to communicate effectively with their staff, disseminating and acting upon information received directly from senior UCL officers.

7   Meetings

7.1   The Director will ensure that a Divisional Staff Meeting is held at least twice in each academic year and will be responsible for the chairing and conduct of such meetings in accordance with Regulations for Management 11.5 to 11.12.

7.2   The Director, in consultation with the appropriate faculty committee(s) and in accordance with Regulation for Management 12.3, will ensure that: a Staff-Student Consultative Committee is constituted; its constitution and procedures are acceptable to the staff and students of the Division; the Committee meets at least three times in each academic year; and its minutes are forwarded to the Students' Union and Academic Services using the sscc@ucl.ac.uk email address (see the Academic Manual Chapter 9, Section 6 Student Academic Representation for details).

7.3   The Director will attend the Provost's regular meetings with the Academic Leadership Group and will disseminate information and/or take action in accordance with decisions arising from such meetings, as appropriate.

7.4   Enquiries regarding Head of Department responsibilities in respect of the above meetings should be referred to the Rob Traynor, Policy Adviser (Education Governance), Academic Services, Student and Registry Services (in respect of 7.2) and Clare Goudy, Chief of Staff to the President and Provost (in respect of 7.3).

7.5   The Director will be a member of the Faculty Senior Management Group and is required to attend meetings of SMG. In this capacity the Director has a responsibility to act in the interests of the whole Faculty and University as well as the interests of their Division.

8   Academic Planning

8.1   In consultation with Heads of the Division's constituent Research Departments, Vice-Deans, the Chair of the Faculty Teaching and/or the Chair of the Research Degrees Committee Faculty Tutors and the Dean, the Director of Division will: (a) formulate and monitor the academic planning, development and performance of the Division (including planning in respect of the UK higher education funding bodies' frameworks such as the REF, TEF and KEF); (b) prepare a Divisional Strategic Plan according to a timetable defined by the Faculty in alignment with UCL's planning cycle.

8.2   The Director of Division, consulting other staff as appropriate, should discuss and agree major academic developments with the Dean, and may also consult with the Faculty Manager and relevant Divisions of Professional Services. Specific areas of academic planning for which Divisional Directors have responsibility include:

a.   the accommodation implications, if any, of proposed academic developments and staff recruitment
b.   the REF, TEF and KEF
c.   Taught programme review and development, including quality management and enhancement
d.   Enterprise and Knowledge Transfer activities
e.   Public Engagement and Patient and Public Involvement (PPI)

9   Finance

9.1   The Director has overall responsibility for divisional finances, assisted by their professional support team, working within the parameters set by the Faculty, the Life and Medical Sciences Faculties and UCL. The Director is responsible for ensuring that activities within the Division are supported by sound financial planning and an appropriate business case where relevant. The Director will handle financial matters in accordance with the Financial Regulations and approved procedures of UCL, details of which will be provided by the UCL Chief Financial Officer.

9.2   Enquiries regarding Director of Division responsibilities in respect of finance should be referred to the Faculty and School Finance Team.

10   Procurement

10.1   The Director will be responsible for ensuring that staff in the Division responsible for purchasing follow the UCL procurement regulations.

11   Estates

11.1   The Director of Division will put in place arrangements to determine the capacity of the space and facilities assigned to the Division. The Director, assisted by their professional services team and staff within UCL Estates, will aim to utilize the space efficiently with due regard for health and safety regulations, occupancy and utilisation rates. The Director of Division will ensure there are appropriate procedures in place to quantify the impact of academic developments (including major grant applications) and liaise with relevant stakeholders to establish timely plans. All major developments requiring additional space or modifications of existing space with costs exceeding £25,000 should be registered using the UCL Project Request form found at: https://www.ucl.ac.uk/estates/project-and-requests. Requests will be referred to the SLMS Estates Board in accordance with UCL Estates prioritisation and approval process. Except where specifically agreed otherwise by the Director of UCL Estates (Operations), all work to the fabric and services will be procured through UCL Estates.

12   Quality Management and Enhancement

12.1   In consultation with the Dean, the Director will ensure: that quality management and enhancement processes operate within the Division in accordance with policies and procedures laid down in the [UCL Academic Manual](#), as in the HoDs document; and that staff and, where appropriate, students are informed of such processes.

12.2   Enquiries regarding the responsibilities of Directors of Divisions in respect of quality management and enhancement should be referred to the Director of Education Services or Director of Student Operations as appropriate.

13   Research Governance

13.1   The Director will ensure that staff and, where appropriate, students of the Division are apprised of UCL's arrangements for research governance and the associated procedures (see https://www.ucl.ac.uk/governance-compliance/research-governance, https://www.ucl.ac.uk/research/integrity/ and https://www.ucl.ac.uk/research/integrity/research-ethics), the main components of which include:

- UCL's research ethics framework
- UCL's code of conduct for research
- Procedure for investigating and resolving allegations of misconduct in academic research
- Declaration of interest policy (in relation to research)
- UCL animals ethical review process (Animal (Scientific Procedures) Act 1986)
- Policy, principles and procedures for the care and treatment of human remains at UCL.

13.2   The Director of Division is responsible for agreeing all ethical approvals which may be required for research activities carried out by members of the Department/Division.

13.3   Enquiries regarding Director of Division responsibilities in respect of research governance should be referred to the Registrar in the first instance.

14   Business Continuity

14.1   The Director is responsible for the maintenance of business continuity in the Division and for working with UCL's Critical Incident Team in the event of a critical incident or emergency at UCL. This will require being contactable, if necessary, outside working hours and for Professional Services to make available information and system necessary to communicate effectively with staff, students and visitors.

15   Other

15.1   The Director may be asked to carry out such other duties and responsibilities as the Council, the Provost, the Vice-Provost (Faculties) or the Dean of the Faculty may from time to time prescribe.

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3 Regional Pro-Vice-Provosts

Contact: Mrs Angharad Milenkovic, Vice-President (Advancement)

Policy

1. Regional Pro-Vice-Provosts will be appointed by the Vice-Provost (Research, Innovation and Global Engagement) for a term of 3 years. Regional Pro-Vice-Provosts may be re-appointed by the Vice-Provost (Research, Innovation and Global Engagement) for a second term (maximum).

2. The Regional Pro-Vice-Provosts will:

    i. chair the relevant Regional Network meetings (2 hours) once per term, with administrative support provided by the Global Engagement Office;
    ii. join and potentially chair a relevant UCL regional or partnership steering group;
    iii. be a point of contact for, 'Country Ambassadors' within the relevant region;
    iv. host a number of senior visiting international delegations per year, as requested by the Provost or the Vice-Provost (Research, Innovation and Global Engagement);
    v. possibly join one institutional level delegation visit per year to the relevant region, in close consultation with the Vice-Provost (Research, Innovation and Global Engagement) and Global Engagement Office;
    vi. act as an ambassador and advocate for UCL and its Global Engagement Strategy;
    vii. be a conduit for information between actual and potential international partners and the Global Engagement Office, Vice-Provost (Research, Innovation and Global Engagement) and Provost;
    viii. build awareness of and lead the allocation of the annual Global Engagement Fund small-grants scheme within the relevant region.

3. The Regional Pro-Vice-Provosts will work closely the following at UCL:

    - The Vice-Provost (Research, Innovation and Global Engagement) and the Global Engagement Office;
    - The Pro-Vice-Provost (International)
    - Faculty Vice-Deans (International)

and are also likely to have contact, from time to time, with:

    - Student and Registry Services;
    - Student Recruitment (Communications and Marketing);
    - The UCL Doctoral School;
    - Office of the Vice-President (Advancement);
    - Office of the Vice-Provost (Research, Innovation and Global Engagement);
    - European Research and Innovation Office.

4.	All UCL staff involved in significant activities and formulations of policies to a particular region are expected to keep the appropriate Regional Pro-Vice-Provosts informed through the relevant Regional Network.

5.	In addition to the general duties described above, the Regional Pro-Vice-Provosts will agree annually with the Vice-Provost (Research, Innovation and Global Engagement) a short list of priorities for the following year.

	*The seven Regional Networks are:

- Africa and the Middle East;
- East Asia (China; Hong Kong; Japan; South Korea; Taiwan);
- South East Asia and Australasia (Australia; Cambodia; Indonesia; Laos; Malaysia; New Guinea; New Zealand; Pacific Islands; Singapore; Thailand and Vietnam);
- South Asia (Afghanistan; Bangladesh; Bhutan; India; the Maldives; Myanmar; Nepal; Pakistan and Sri Lanka);
- Europe (51 Independent states including 27 EU member states);
- North America;
- Latin America.

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4 Pro-Vice-Provost of the Doctoral School

Contact: [Professor Geraint Rees](#), Vice-Provost (Research, Innovation and Global Engagement)

Policy

The Doctoral School is committed to ensuring that the quality of research training at UCL is at the highest international level and that early career researchers (students and staff) and their supervisors and managers work in a high quality research training environment that develops creative rigorous researchers for academic and non-academic research careers nationally and internationally.

The Doctoral School oversees the development of strategy for early career research training:
For doctoral education at UCL - oversees the standards of doctoral education and the academic and non-academic units providing support to doctoral students - for example through the Code of Practice for Graduate Research Degrees, the Doctoral Skills Development Programme, the Research Student Log, training and support of supervisors.
For early career research staff - oversees the strategy for early career research staff together with the Director of Organisational Development.

The Doctoral School aims to ensure that UCL continues to be at the forefront of doctoral education and training of research staff and provides a suitable environment to enhance the student experience through personal and academic development. Through courses, inter-disciplinary programmes, and scholarships the Doctoral School aims to encourage early career researchers to look beyond the boundaries of their chosen discipline, as well as sharing and broadening knowledge across disciplines through societies and competitions, to develop leadership skills and experience, and to focus their research on impact for the wider benefit of society.

The Pro-Vice-Provost leads the Doctoral School, focusing on the development of institutional strategy, and liaison with external bodies including Research Councils and LERU, evaluation of plans and delivery by other units. In order to ensure a linked approach to early career researchers and research strategy, the Pro-Vice-Provost is expected to work closely with the Vice-Provost (Research, Innovation and Global Engagement). It is UCL's wish that the high quality of doctoral education and training of early career research staff at UCL is maintained and enhanced, and widely promoted both within the UK and internationally, and the Pro-Vice-Provost of the Doctoral School is also expected to work closely with the Vice-Provost (Education and Student Experience). The remit of the Pro-Vice-Provost covers all research degrees at UCL: PhD, MPhil, EngD, Professional Doctorates, MRes and MD(Res).

## 1.	Reporting and working relationships

1.1	The Pro-Vice-Provost of the Doctoral School is responsible to the Vice-Provost (Research, Innovation and Global Engagement) for the organisation and general conduct of the Doctoral School.

1.2 As ex-officio Chair of the Researcher Training Strategy Committee, the Pro-Vice-Provost of the Doctoral School will work in close consultation with the Vice-Provost (Research, Innovation and Global Engagement), Faculty Deans and Vice-Deans (Research) and Faculty Graduate Tutors to ensure that Faculty plans and delivery of support for early career researchers realise strategic aims and policies.

1.3 As ex-officio Chair of the Research Degrees Committee, the Pro-Vice-Provost of the Doctoral School will work in close consultation with the Vice-Provost (Education and Student Experience) as Chair of Education Committee.

1.4 The Pro-Vice-Provost of the Doctoral School will maintain close working relationships with the officers of the following areas of UCL in particular:

- Faculty Deans and Faculty Graduate Tutors
- Departmental, Divisional and Research Department Heads and Departmental Graduate Tutors
- Student and Registry Services#
- UCL Student Mediator
- Arena Centre for Research-based Education
- Organisational Development
- UCL Careers
- Communications and Marketing (CAM)
- Development Office
- Office of the Vice-Provost (Enterprise)
- Global Engagement Office
- Public Engagement Unit

2. Resource Management and Academic Development

2.1 Reporting to the Vice-Provost (Research, Innovation and Global Engagement), the Pro-Vice-Provost of the Doctoral School will:

i. develop a vision for the UCL research student experience (building on the ambitions of UCL 2034, Research Strategy and other UCL strategies);

ii. oversee the development and implementation of a strategy for the development of early career research staff;

iii. define the most appropriate model for research training which reflects the various and different needs across UCL;

iv. work with the Deans of Faculties to assist them in developing and implementing the research student and early career research staff component of their Strategic Plans; and provide a forum for evaluation of Faculty and Professional Services Divisions plans and effectiveness in the support of doctoral and post-doctoral

researchers (and assisting in ensuring this is appropriately reflected in REF submissions);

v.   keep under review the changing nature of doctoral provision and of market demand, and develop strategies in relation thereto;

vi.   support the Vice-Provost (Research, Innovation and Global Engagement) in responsibility for ensuring that coherent bids are submitted to funding agencies to maximize the number of PhD awards won by UCL (by working with School Research Facilitators, Deans, etc.), and oversee effective progress of Doctoral Training Centres and Doctoral Training Partnerships supported by either external or internal funding;

vii.   oversee scholarship and bursary provision for incoming and continuing graduates, including Overseas Research Scheme awards and DTA/CTA training accounts and seek to increase all such provision; work with the office of the Vice-Provost (Research, Innovation and Global Engagement) to help coordinate and facilitate the development and management of Research Council, Charity, and European Commission Doctoral Training schemes and other schemes for international students;

viii.   work with appropriate UCL Officers to develop and review the UCL Scholarship Strategy;

ix.   seek to improve space and facilities available to research students at UCL;

x.   define, implement and regularly review the achievement of aims and objectives for the Doctoral School;

xi.   be responsible for the annual budget of the Doctoral School: develop, implement and regularly review a financial strategy for the Doctoral School;

xii.   represent and seek to strengthen the identity of the Doctoral School both within and outside UCL by (1) contributing to strategic input within UCL; (2) contributing to strategic input to the UK Research Councils and other funding agencies; (3) overseeing the continuing development of the Doctoral School Web presence, and provision of events for early career researchers.

2.2   In consultation with the Vice-Provost (Research, Innovation and Global Engagement) and the UCL officers concerned, the Pro-Vice-Provost of the Doctoral School will:

i.   oversee the strategy for and provision of the Doctoral Skills Development Programme. The Organisational Development Unit of HR are responsible to the Pro-Vice-Provost for the operational delivery of the programme for Doctoral Students and will report to the role holder at regular intervals via the Doctoral Training Board (of whom the Pro-Vice-Provost is the ex officio Chair); the Pro-Vice-

Provost of the Doctoral School will also oversee the strategy for the development of postdoctoral staff;

ii.   oversee the convening of the Bloomsbury Postgraduate Skills Network and OD operational delivery of the coordinated shared skills provision across the network, and web presence including a web-based registration system for this network;

iii.   represent UCL at relevant national and international workshops, seminars and conferences relevant to doctoral education and provision (e.g. League of European Research Universities, European Universities Association, Vitae, UK Council for Graduate Education, etc.);

iv.   provide leadership and maintain oversight on standards of doctoral supervision and examining, in liaison with the Arena Centre for Research-based Education, and developing UCL's supervisor community;

v.   liaise with the Vice-Provost (Research, Innovation and Global Engagement) in relation to international doctoral exchange.

3. Administration

Committee membership

3.1   The Pro-Vice-Provost of the Doctoral School will be:

- ex officio a member of the Academic Committee;
- ex officio Chair of the Researcher Training Strategy Committee;
- ex officio Chair of the Research Degrees Committee;
- an Appointed member of the Academic Board;
- ex officio a member of such other standing committees reporting to the Academic Committee or sub-groups thereof as may be agreed in consultation with those standing committees or sub-groups;
- ex officio a member of any other UCL standing committee as may be agreed in consultation with those standing committees;
- chair UCL Research Student Grievance Panels.

Student and Registry Services

3.2   The Pro-Vice-Provost of the Doctoral School will authorise the Suspension of Research Degree Regulations and advise the Registrar and other officers of Student and Registry Services on the Regulations and Procedures for Research Students, student records, recruitment and admission of research students, students carrying out research at external institutions and the administration of scholarship funds for research students.

Promoting good practice in, and support for, the research student experience

3.3   The Pro-Vice-Provost of the Doctoral School will:

    i.   oversee the development by ISD of the Research Student Log;

    ii.   oversee the development and regular review of the Doctoral School Code of Practice for Graduate Research Degrees and the Research Staff Code of Practice;

    iii.   oversee the development and regular review of the Doctoral School Handbook;

    iv.   oversee the development and regular review by Student and Registry Services of the UCL induction programme for new doctoral students;

    v.   support the activities of the Students' Union Postgraduate Association;

    vi.   oversee the implementation of biennial on-line surveys of research and publish the feedback received on the Doctoral School's web site;

    vii.   liaise with the UCL Student Mediator in relation to doctoral student difficulties;

    viii.   ensure close liaison with UCL Careers specifically in relation to doctoral students;

    ix.   encourage and oversee the funding of graduate student academic societies.

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5 Dean of Students (Academic)

Contact: Sarah Cowls TBC, Registrar (and Secretary to Council), Student and Registry Services.

Policy

Subject to any particular direction which may from time to time be given by the Provost and the Vice-Provost (Education and Student Experience), the duties and responsibilities of the Dean of Students (Academic) will include the following:

i. Have overall responsibility for all academic aspects of UCL's student recruitment, admissions and selection activities and processes, in liaison with, on the operational aspects of this area of responsibility: the Director of Communications (or his/her nominee within Communications and Marketing), in respect of international student recruitment matters; the Registrar (or his/her nominee within Student and Registry Services), in respect of UK student recruitment, and all student admissions and selection activities and processes;

ii. Provide academic leadership for UCL's widening participation activities;

iii. Be responsible for quality assurance in recruitment, admissions and selection, including the following areas: communications/publications (in conjunction with the Director of Communications), qualifications, equal opportunities, service standards, activity and other output evaluations;

iv. Be responsible, in liaison with the Registrar (or his/her nominee within Student and Registry Services), for general and particular matters relating to students' academic affairs and progress, including decisions on student referral applications for graduate and undergraduate students;

v. Be responsible, in liaison with appropriate officers of UCL Student and Registry Services, for the academic welfare of students;

vi. Work with the Vice-Provost (Education and Student Experience), the Registrar, and other relevant colleagues on enhancing the UCL student experience;

vii. Be responsible for the handling of complaints from students on academic grounds in liaison with Faculty Tutors and other appropriate officers;

viii. Give direction and general co-ordination to the work of the Faculty Tutors;

ix. Have overall responsibility for the effective functioning of the Personal Tutor Scheme;

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x.   Be responsible, in conjunction with the Registrar, for investigating all cases of examination or other irregularities on the part of students (including cases of criminal conviction or falsification of qualifications), in accordance with the relevant UCL regulations;

xi.   Oversee, in liaison with the Faculty Tutors and the Registrar, such matters as qualifications, registration procedures, examination arrangements, fee payments, grants and scholarships;

xii.   Liaise on a regular basis with UCL's UCAS correspondent (the Registrar or his/her nominee);

xiii.   Chair the Education Committee

xiv.   Chair the Student and Registry Services Admission Requirements Panel.

xv.   Serve as a member of the following committees (as an *ex-officio* member unless otherwise indicated):

- Academic Board (Appointed Member)
- Academic Committee
- Education Committee
- Student Experience Committee
- Research Degrees Committees
- Student Recruitment, Admissions and Funding Committee.

6 Faculty Tutors

Contact: [Professor Kathleen Armour](), Vice-Provost Education and Student Experience Policy

Foreword

Under Statute 8(6), a Tutor to the Students of each Faculty is appointed by the Provost and the Provost prescribes the duties of Faculty Tutors. The Dean of the Faculty is responsible, by authority delegated by the Provost, for the line management of the Faculty Tutor.

Roles and Responsibilities

The Faculty Tutor, in collaboration with the Dean, has overall responsibility for ensuring both that appropriate action is taken in relation to students and to learning and teaching matters, in line with UCL policy, and that appropriate contributions are made to strategy and policy development.

1. The role of the Faculty Tutor includes the following:

    i.   exercise the general academic and pastoral oversight of all students (undergraduate, graduate taught and graduate research students) in the Faculty;

    ii.   together with the Dean, provide leadership on the implementation of Faculty Learning and Teaching Strategies and the development and management of new programmes, ensuring also that programmes and modules are reviewed and withdrawn as they become redundant;

    iii.   contribute to the setting of Faculty quotas and targets, manage the admissions process and procedures so as to ensure that the Faculty meets its quotas and targets and conforms with UCL policies, coordinating the work of the support staff administering the procedure and liaising with the Dean, Faculty Graduate Tutor, Dean of Students (Academic), the Registrar and the UCL Admissions Office, as appropriate;

    iv.   manage and monitor the Personal Tutor Scheme, ensuring the delivery of the key skills agenda and careers advice and providing advice and direction to students experiencing difficulties (academic, financial, medical or personal);

    v.   as a member of the Faculty Management Team, contribute to the strategic management of the Faculty (in accordance with Statute 8);

    vi.   contribute a Faculty view in discussions relating to a range of student matters including registration, fees, examinations and other academic matters working closely with the Registrar and officers of the Registry;

vii. represent UCL in student recruitment activities and events (Open Days, Schools Conferences, Schools Visits and other Widening Participation and international student recruitment initiatives etc.) organised by Outreach and Admissions and ensure appropriate representation at such events;

viii. ensure that each student's registration, academic progress and examination entry details satisfy the relevant degree or diploma or certificate regulations;

ix. advise students who are academically insufficient or who have failed major examinations as to their possible future actions, and, under authority delegated from the Provost (in accordance with Statute 11), suspend or exclude them from further registration at UCL, in conjunction with the Dean of Students and Faculty Graduate Tutor, as appropriate;

x. handle complaints and grievances in liaison with the Dean of Students (Academic);

xi. monitor and co-ordinate all aspects of student progress, liaising with Faculty Officers, tutors and teaching staff on issues concerning the general pastoral and academic welfare of students in the Faculty;

xii. ensure that relevant Faculty staff are aware of and comply with UCL policy and current legislation and liaise as necessary with UCL Officers on such issues and their implementation;

xiii. co-ordinate the activities of the Faculty Graduate Tutor in the exercise of their duties;

xiv. take responsibility with the Dean for the operation of all aspects of the Quality Management and Enhancement measures and procedures within the Faculty's remit including the monitoring of Examination Boards;

xv. chair a number of Faculty and UCL committees (such as the Faculty Teaching committee(s), UCL Grievance Panels, Academic Misconduct Panels, and Internal Quality Review Teams) or give oral reports at them on a regular basis;

xvi. represent the Faculty as an *ex officio* member at a range of UCL committees and sub-committees, and serve on other UCL committees, sub-committees, working groups and panels when asked to do so;

xvii. keep up to date with all issues surrounding the student experience generally and be conversant with all current UCL policies and procedures relating to the recruitment, admission and academic progress and pastoral well-being of the student body and develop/implement new procedures and protocols in collaboration with the Dean, Dean of Students (Academic) and Vice-Provost (Education and Student Experience). Ensure that policies and procedures are effectively disseminated across, and followed within the Faculty;

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xviii. contribute to the teaching effort within the Faculty and ensure appropriate training of admissions staff in liaison with the Organisational and Staff Development Team and UCL Arena as appropriate;

xix. draft, edit and audit content for the undergraduate and graduate prospectuses, the UCAS Handbook, documents for Schools Conferences, other publications and website material in conjunction with the Faculty Graduate Tutor, working with the Educational Liaison Team which has responsibility for publishing.

2. Additionally, with regard to UCL's undergraduate provision the Faculty Tutor's roles and responsibilities are as follows:

i. under powers delegated from the Provost on the authority of Statute 11, make on behalf of the Registrar offers of admission to undergraduate degree courses within the Faculty, and authorise the making of offers of admission of applicants from non-traditional backgrounds;

ii. co-ordinate the activities of Admissions Staff, Admissions Tutors and Departmental/Degree Programme Tutors on all issues concerning the admission, induction and progress of undergraduate students in the Faculty;

iii. communicate on behalf of the Faculty and UCL with Local Authorities, professional, regulatory and statutory bodies, other funding bodies, other universities, commercial organisations and the media etc. on all issues concerning the registration and progress of undergraduate students within the Faculty;

iv. attend, or nominate a representative to attend, the Final Boards of Examiners Meetings for undergraduate degree and taught Masters degree programmes.

3. Graduate Matters:

Where the Faculty has a separate Faculty Graduate Tutor s/he will have responsibility for graduate research students and the Dean is his/her line manager. The Faculty Tutor will, however, have overall responsibility for the general academic and pastoral oversight of all students in the Faculty and will advise the Dean in matters relating to Quality Management and Enhancement. The Faculty Tutor is thus expected to communicate regularly with, and coordinate the activities of, the Faculty Graduate Tutor on all issues affecting taught graduate students and pastoral matters relating to research students. They must agree the allocation of specific duties (in consultation with the Dean), and ensure that the above roles and responsibilities are effectively discharged. Faculty Graduate Tutors have responsibility for regular liaison with Graduate and Admissions Tutors, and for keeping them informed of issues relating to graduate research students.

7 Departmental Tutors

Contact:, [Professor Kathleen Armour](), Vice-Provost Education and Student Experience

The Departmental Tutor is appointed by the Head of Department* and is one of the most important positions in a department. In undergraduate matters, the Departmental Tutor is the key post holder and the importance of the position should be recognised in the Department, the Faculty, and in UCL generally.

The Departmental Tutor has oversight of the activities described in this document but many of the duties will be carried out by other members of staff. Practice in departments varies but in most cases the Head of Department appoints (i) the Admissions Tutors, (ii) the Chair of the Board of Examiners, (iii) the Chair of the Teaching Committee**, and (iv) the Careers Liaison Officer who are responsible for (i) admissions, (ii) examinations and assessment, (iii) teaching and learning and quality assurance, and (iv) careers guidance. The Head of Department may delegate further areas to other members of staff, but the Departmental Tutor retains an oversight of all activities.

Admissions

1.   Most Departments have an Undergraduate Admissions Tutor and a Postgraduate Admissions Tutor to carry out the duties associated with Admissions.

2.   The Departmental Tutor has oversight of admissions policy in the department and liaises with the Admissions Tutor who will be responsible for:

 •   procedure and co-ordination of admissions within the Department;

 •   acting as the channel of communication with the Faculty Tutor and with the Director of Access and Admissions (Student and Registry Services).

3.   However, the admission of students is a power delegated by the Provost to the Faculty Tutor in the case of undergraduate students and to the Registrar in the case of postgraduate students. The Departmental Tutor merely recommends to the Faculty Tutor, or to the Registrar, that a particular applicant should be offered a place and upon what conditions.

Academic Administration

4.   The Departmental Tutor will be responsible for:

 i.   collating information on attendance and submitting reports to the Faculty Tutor and to the Student Records Manager (Student and Registry Services), and

 ii.   on the academic progress of students, submitting reports to the Faculty Tutor;

iii. confirming module availability and maintaining programme diets with appropriate core, elective and optional modules, liaising with tutors in other departments when necessary;

iv. ensuring that students follow a coherent degree programme giving advice on choice of modules;

v. arranging academic tutorials in the Department.

5. All communications to grant-awarding bodies regarding individual students should be by Faculty Tutors NOT Departmental Tutors, although Faculty Tutors may request information from Departmental Tutors to assist in this task.

6. Many Departments have a Departmental Graduate Tutor who carries out these duties for postgraduate students consulting with the Faculty Graduate Tutor as required.

Examinations and Assessment

7. All Boards of Examiners have a Chair appointed through Student and Registry Services and approved by the Chair of Education Committee nominee. Most Boards of Examiners also have an Examinations Liaison Officer (ELO) appointed through Student and Registry Services.

8. The Departmental Tutor has oversight of Examinations and Assessment in the Department but the Chair of the Departmental Board of Examiners and the ELO will be responsible for

i. co-ordinating examination arrangements in the Department including Referred examinations, Deferred examinations and Late Assessments;

ii. the details of the examination process and liaison with the Director of Education Services or Director of Student Operations as appropriate (Student and Registry Services) and the Examinations Manager (Student and Registry Services) as required.

9. The Departmental Tutor will be responsible for:

i. providing the Faculty Tutor with recommendations on student progression;

ii. advising students, in consultation with the Faculty Tutor, on their eligibility for Part Time Revision, Late Assessment, and for Deferred, Referred, and Resit examinations.

Teaching and Learning and Quality Assurance

10. The Departmental Tutor is an *ex officio* member of the Departmental Teaching Committee.

11.   The Departmental Tutor has oversight of all teaching and learning and quality assurance in the Department but the duties associated with these activities are usually carried out by another member of staff designated as the Chair of the Departmental Teaching Committee, or the Director of Studies, or Programme Director depending on departmental practice and nomenclature.

12.   The Chair of the Departmental Teaching Committee, or equivalent post holder, will be responsible for:

      i.   developing a Learning and Teaching Strategy and for implementing it across the Department;

      ii.   developing appropriate quality assurance mechanisms, including those required for programme approval and modification of existing programmes;

      iii.   the withdrawal of programmes when they no longer attract an enrolment of 10 or more students;

      iv.   developing new modules and maintaining existing modules;

      v.   withdrawing modules when they are no longer attract an enrolment of 10 or more students or are no longer required by the programmes;

      vi.   preparing the Annual Student Experience Review (ASER) Report for submission to UCL's Quality Review Sub-Committee;

      vii.   coordinating the periodic Internal Quality Review (IQR) including preparation of the Self Evaluation Statement and other documentation required for IQR.

Pastoral

13.   The Departmental Tutor is an *ex officio* member of the Departmental Staff Student Consultative Committee and of the Departmental Extenuating Circumstances Committee.

14.   The Departmental Tutor will be responsible for the welfare of students and in particular:

      i.   the induction of new students into the Department and the implementation of the Transition Programme;

      ii.   the Departmental Personal Tutoring Scheme:

          a. assigning Personal Tutors to all undergraduate and postgraduate taught students,
          b. ensuring meetings take place between tutors and tutees, and
          c. providing summaries for the Faculty Tutor of Personal Tutoring activity in the Department;

      iii.   the implementation in the Department of the UCL Key Skills System;

iv.   providing advice to students on a wide range of academic and personal issues, identified for example through the Personal Tutoring Scheme, and making Faculty Tutors aware of difficult cases;

v.   recording departmental HEAR data;

vi.   ensuring that references are provided for students.

15.   The Departmental Tutor has oversight of careers activity in the Department but the Departmental Careers Liaison Office is responsible for careers guidance to students, working with the UCL Careers Service, and lead discussion within the Department of student destination data.

16.   Departmental Tutors should ensure they are available on a regular basis to see students.

17.   The Departmental Tutor must maintain a complete set of records of illness and similar matters which might affect a student's academic performance and prepare a summary on such Extenuating Circumstances for use by the Chair of the Board of Examiners at meetings of the Departmental Extenuating Circumstances Committee.

18.   The Departmental Tutor

i.   should be the first point of contact for students with a complaint or grievance;

ii.   should provide advice to the students and attempt to resolve the dispute informally;

iii.   refer the students to the Registrar in those cases that cannot be resolved informally.

19.   The Departmental Tutor will be responsible for the social disciple of students in the Department and, in consultation with the Chair of the Departmental Board of Examiners, for academic disciple.

Communication

20.   The Departmental Tutor will be responsible for:

i.   regular communication on issues relating to Faculty and UCL regulations and practice:

    a. with academic and administrative colleagues in the Faculty and UCL, and
    b. with academic and administrative colleagues in the Department;

ii.   maintaining departmental communications within the interdisciplinary programmes to which the Department contributes;

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iii.   the active promotion of UCL's Outreach initiatives to enhance the diversity of the student body within the Department, in consultation with the Director of Admissions (Student and Registry Services).

21.   The Departmental Tutor has oversight of published material on admissions, but the Admissions Tutor will be responsible for:

    i.   maintaining publicity material with respect to courses taught at first degree level under the general direction of the Faculty Tutor;

    ii.   the annual updating of the Departmental entry for the UCL prospectus as required by the UCL Communications and Marketing Office.

*In this document "Division" should be substituted for "Department" for faculties where the basic organizational unit is designated a Division rather than a Department.

**Although the terms of reference for Departmental Teaching Committees are set out in Part 13 of the Academic Manual, the nomenclature used to describe the chair of the Committee is particularly varied and include Director of Studies and Programme Director.

8 Faculty Graduate Tutors

Contact: [Professor David Bogle](#), Pro-Vice-Provost, Doctoral School

Policy

Foreword

Each faculty shall have a Faculty Graduate Tutor (FGT) appointed by the Dean, after consultation with the Pro-Vice-Provost of the Doctoral School. The Dean, by authority delegated by the Provost, is also the Faculty Graduate Tutor's line manager. The Faculty Graduate Tutor shall:

- be an experienced member of the academic staff of UCL;
- have satisfactorily completed any probationary period attached to his/her appointment;
- normally have previously undertaken the role of Departmental Graduate Tutor or equivalent role that demonstrates a thorough understanding of research student issues;
- have had significant previous experience of doctoral supervision as Principal Supervisor (defined as having taken a student all the way through to award).

Honorary members of staff are not permitted to hold the role of FGT. In instances where a member of staff retires during their time as FGT, the Dean and Pro-Vice-Provost of the Doctoral School will arrange for the role to pass to a suitably qualified colleague.

The Faculty Tutor has the overall responsibility for the general academic and pastoral oversight of students in the faculty and assists the Dean in all matters relating to Quality Management and Enhancement. The Faculty Graduate Tutor is expected to communicate regularly and liaise with the Faculty Tutor on all issues affecting graduate students. The Faculty Graduate Tutor has particular responsibility for graduate students, their programmes of study and supervision, funding arrangements for all graduate students, reporting on faculty graduate matters to the Doctoral School and representing the faculty on Research Degrees Committee (RDC). Regular liaison with Departmental/Divisional Graduate Tutors and Admissions Tutors and keeping them informed of Doctoral School and RDC issues, and issues relating to the taught graduate community is also a key function of the Faculty Graduate Tutor.

Roles and Responsibilities

1. To exercise the general academic and pastoral oversight of all graduate students in the faculty in liaison with the Doctoral School, the Vice-Provost (Education and Student Experience), and Student and Registry Services as appropriate.

2. To agree all Departmental/Divisional Graduate Tutor appointments with the Head of Department or Division as appropriate.

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3.   To meet all new Departmental/Divisional Graduate Tutors individually and discuss roles and responsibilities.

4.   To be conversant with UCL policies and procedures relating to the recruitment, admission and academic progress and pastoral well-being of the graduate student body.

5.   To act as the key contact between the faculty and the Pro-Vice-Provost of the Doctoral School.

6.   To liaise with the Dean (and Vice-Deans Research and Education as appropriate) in coordinating the faculty's response to the annual Doctoral Planning Process. To meet with the Pro-Vice-Provost of the Doctoral School to discuss the submission and the Doctoral School's formal response, and to coordinate enhancements within the faculty in light of this response.

7.   To communicate with the Faculty Tutor regarding issues affecting graduate students, and to be informed by the Faculty Tutor of such matters that may arise in key UCL committees.

8.   To liaise with the Dean, Faculty Tutor, Doctoral School, the Vice-Provost (Education and Student Experience), the Registrar and the UCL Access and Admissions Office, as appropriate, in the operation of UCL and faculty admissions policies and to monitor the graduate admissions procedure so as to meet faculty quotas and targets and to conform with UCL policies, with particular reference to statistical patterns.

9.   To ensure that the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) is consulted on all issues relating to the admission and progress of graduate students with disabilities, and ensure that faculty and departmental staff are aware of and comply with current legislation in this area.

10.   To liaise with and advise Student Recruitment Marketing in the Department of Communications and Marketing as to appropriate entries in the graduate prospectuses, departmental handbooks and other publications, so as to ensure, in conjunction with the Faculty Tutor and the Student Recruitment Marketing, consistent wording in common publicity across departments in the faculty.

11.   To participate in graduate student recruitment activities and events (Open Days, Fairs, Institutional Visits, etc.) organised by Student Recruitment Marketing, as required, and to ensure appropriate departmental representation at such events.

12.   To assist in the promotion and monitoring of Quality Management and Enhancement for graduate students across the faculty.

13.   To assist in the implementation of the Code of Practice for Graduate Research Degrees and to report to the faculty and the Doctoral School accordingly.

14. To advise graduate students who are experiencing any difficulties (personal, financial, medical or academic) affecting their studies.

15. To liaise with the Vice-Provost (Education and Student Experience) or his/her deputies on issues concerning the academic welfare of students following graduate taught degree programmes within the faculty.

16. To approve, on behalf of the Faculty Research Degrees Committee, applications from individual staff members to act as Supervisors, ensuring that all Supervisors undertake UCL's mandatory Supervisor training; ensuring that the faculty maintains and updates the central list of approved Supervisors via UCL's EROS system.

17. To consider and approve, on behalf of the Faculty Research Degrees Committee, Nominations of Examiners for all UCL research degree candidates registered in the faculty, in accordance with UCL regulations and procedures, liaising with Departmental Graduate Tutors and Student and Registry Services as necessary, and reporting as appropriate to RDC.

18. To consider and approve departmental Research Student Additional Fee Element Requests above £10,000.

19. In conjunction with the Dean and the Faculty Research Degrees Committee and/or Faculty Graduate Board of Examiners, to monitor:

    i. compliance with the Code of Practice for Graduate Research Degrees;
    ii. numbers of registered graduate students in the faculty;
    iii. research student progress, including use of the Research Student Log;
    iv. the professional development of research students through the Doctoral Skills Development Programme;
    v. upgrade rates from MPhil to PhD;
    vi. research degree submission rates for the faculty;
    vii. external Examiners' reports on PhD and Professional Doctorate students and
    viii. to notify the faculty, the Doctoral School and the Registry, as appropriate, of any action required.

20. To liaise regularly with Departmental/Divisional Graduate Tutors and Admissions Tutors and to keep them informed of Doctoral School and Research Degrees Committee issues, and issues relating to the taught graduate community.

21. To serve as an ex officio Chair of the Faculty Research Degrees Committee, and an ex officio member of Faculty Graduate Board of Examiners (chairing when not chaired by the Dean or Vice-Dean of the faculty).

22. To serve as an ex officio member of RDC and, as necessary, Student Complaints Panels.

23. To attend, or to nominate a representative to attend, the final Boards of Examiners meetings for taught graduate programmes (see regulations for Boards of Examiners for taught programmes, UCL Academic Manual, Chapter 4, Section 11: Boards of Examiners).

24. To advise students who are academically insufficient or who have failed major examinations as to their future action, and in accordance with UCL's Academic Manual, suspend or exclude them from further registration at UCL, as appropriate.

25. To advise graduate students, as appropriate, on the procedures for student complaints as laid down in UCL's Academic Manual.

9 Departmental/Divisional Graduate Tutors

Contact: [Professor David Bogle](#), Pro-Vice-Provost, Doctoral School

Policy

Foreword

Each department/division shall have a Departmental/Divisional Graduate Tutor, as appropriate, appointed by the Head of Department/Division with the agreement of the Faculty Graduate Tutor. The Departmental/Divisional Graduate Tutor shall:

- be an experienced member of the academic staff of UCL;
- have satisfactorily completed any probationary period attached to his/her appointment;
- have had previous experience of doctoral supervision as Principal Supervisor (defined as having taken a student all the way through to award);

Honorary members of staff are not permitted to hold the role of DGT. In instances where a member of staff retires during their time as DGT, the Head of Department and FGT will arrange for the role to pass to a suitably qualified colleague.

The Departmental/Divisional Graduate Tutor will report to the Head of Department/Division and liaise closely with the Faculty Graduate Tutor concerning graduate matters.

The role and responsibilities of the Departmental/Divisional Graduate Tutor shall be undertaken in consultation with the Head of Department and may be undertaken by a single individual or shared, with one individual taking responsibility for research students and another one (or two) for taught degree students.

The role and responsibilities described herein shall be discharged by the Departmental/Divisional Graduate Tutor, except where certain areas have been delegated by the Head of Department to another member of staff (e.g. an Admissions or Examinations Tutor).

Roles and Responsibilities

1. To exercise general academic and pastoral oversight of graduate students in the department/division.

2. To be conversant with UCL policies, Codes of Practice and procedures.

3. To oversee admission, induction, supervision, progression and examination of graduate students in the Department/Division and generally ensure that the Code of Practice for Graduate Research Degrees is implemented and its use monitored.

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4. To advise graduate students who are experiencing any difficulties (personal, financial, medical or academic) affecting their studies.

5. To assist as appropriate, in the promotion and monitoring of quality assurance for graduate students in the department/division.

6. To liaise with the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) on all issues relating to the admission and progress of graduate students with disabilities, and ensure that Departmental/Divisional staff are aware of and comply with current legislation in this area.

7. To communicate with the Faculty Graduate Tutor regarding issues affecting graduate students, and be informed by the Faculty Graduate Tutor and the Faculty Tutor of such matters that may arise in key UCL and faculty committees.

8. To serve on the Faculty Research Degrees Committee and where appropriate, chair the Departmental/Divisional Graduate Committee.

9. To serve as a source of information for both students and staff about graduate regulations and resources for both students and staff.

10. To liaise regularly with Departmental/Divisional staff to keep them informed of Doctoral School and Research Degrees Committee issues; and issues relating to UCL's taught graduate community.

11. To ensure that part-time graduate students, and those working in more than one department, and students primarily working in another institution or organisation are integrated into each department/division and that they receive adequate supervision and monitoring.

12. To promote and manage the professional development of research students through the Doctoral Skills Development Programme; manage the Departmental/Divisional training portfolio and return Departmental/Divisional Skills Registers to the Doctoral Skills Development Programme Manager.

13. To promote timely submission and completion by research students.

14. To monitor research student progress, ensuring use of the Research Student Log by all research students; approve upgrade from MPhil to PhD; oversee graduate examination arrangements; liaise with Student and Registry Services as appropriate.

15. To monitor:

    i.   compliance with the Code of Practice for Graduate Research Degrees;
    ii. numbers of registered graduate students in the department;
    iii. research student progress, including use of the Research Student Log;

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the professional development of research students through the Doctoral Skills Development Programme and faculty/departmental provision;
upgrade rates from MPhil to PhD;
research degree submission rates for the department;
external Examiners' reports for graduate taught programmes;
external Examiners' reports on PhD and Professional Doctorate students;
and notify the Faculty Graduate Tutor, the Doctoral School and Student and Registry Services, as appropriate, of any action required.

16. To carry out administrative tasks in relation to graduate admissions and induction (except where this responsibility has been delegated to another), including the production of appropriate graduate recruitment literature.

17. To recommend Research Degree Examiners for approval by the Faculty Graduate Tutor on behalf of the Faculty Research Degrees Committee.

18. To oversee the management of UCL graduate scholarship applications.

19. To consider and approve Research Student Additional Fee Element Requests below £10,000.

10 Deputy Departmental Graduate Tutor for Research Students

Contact: [Professor David Bogle](#), Pro-Vice-Provost, Doctoral School

Policy

Foreword

Many departments have Deputy Departmental Graduate Tutors. This role may vary across the university in terms of the number of tasks undertaken on behalf of the lead Departmental Graduate Tutor in the department. The Departmental Graduate Tutor should work with the Head of Department in formulating a **specific description of the criteria needed to be met by Deputy Departmental Graduate Tutors** in that department. This should be accompanied by a list of responsibilities that the Deputy Departmental Graduate Tutor undertakes on behalf of the Departmental Graduate Tutor. This list will include the core responsibilities and some additional ones, selected from those described below.

Criteria for the Deputy Departmental Graduate Tutor role

All Deputy Departmental Graduate Tutors should:

- be a member of UCL staff with experience working with post-graduate students (taught or research (PGR)) as a minimum, and ideally having supervised a doctoral student to completion on time;
- have excellent interpersonal skills;
- have a sympathetic, approachable manner and the ability to deal with sensitive and confidential matters with discretion;
- ideally be a senior member of staff;
- have satisfactorily completed any probationary period attached to their appointment;
- not be honorary members of staff;
- have a contract that extends at least two years from the date of appointment.

Appointments

Deputy Departmental Graduate Tutors are appointed by the Faculty Graduate Tutor in consultation with the Head of the Department / Division / Institute.

The selection process of Deputy Departmental Graduate Tutors is conducted at the discretion of the Head of the Department / Division / Institute and the Departmental Graduate Tutor.

In instances where a member of staff retires during their time as Deputy Departmental Graduate Tutor, the Head of the Research Department / Division / Institute and the Departmental Graduate Tutor will arrange for the role to pass to a suitably qualified colleague, with approval from the Faculty Graduate Tutor.

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Reporting

The Deputy Departmental Graduate Tutor will report to the Departmental Graduate Tutor concerning graduate matters.

Roles and Responsibilities

Core

1. To assist with general academic and pastoral oversight of assigned PGR students in the Research Department / Division / Institute.

2. To be conversant with UCL policies, Codes of Practice and procedures.

3. To communicate with, and escalate to, the Departmental Graduate Tutor regarding issues affecting PGR students. To be informed by the Departmental Graduate Tutor of relevant matters that may arise in key UCL and faculty committees.

Additional

4. To assist with admission, induction, supervision, progression and examination of PGR students in the Research Department / Division / Institute and generally ensure that the Code of Practice for Graduate Research Degrees is implemented and its use monitored.

5. To assist with the dissemination of advice to PGR students who are experiencing any difficulties (personal, financial, medical or academic) affecting their studies.

6. To assist, as appropriate, with the promotion and monitoring of quality assurance for graduate students in the Research Department / Division / Institute.

7. To discuss issues relating to the admission and progress of assigned PGR students with disabilities or wellbeing concerns with the Departmental Graduate Tutor. In instances where there are emergencies with specific PGR students, to contact the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) in parallel with reporting the issue to the Departmental Graduate Tutor.

8. To serve on any Departmental Research Degrees Committee, or Departmental Education Committee, as appropriate. To serve on any Departmental Staff PGR Student Consultative Committee.

9. To serve as a source of information for both PGR students and staff about graduate regulations and resources for both PGR students and staff.

10. To disseminate information from the Departmental Graduate Tutor to the Department / Division / Institute staff regarding Doctoral School and Research Degrees Committee issues.

11. To ensure that part-time PGR students, and those working in more than one department, and PGR students primarily working in another institution or organisation are integrated

into each department/division and that they receive adequate supervision and monitoring.

12. To promote the professional development of PGR students through the Doctoral Skills Development Programme; to have oversight of local provision of training programmes, including Researcher Development Programmes where relevant.

13. To approve Thesis Committee members for new PGR students, as appropriate.

14. To monitor research PGR student progress, ensuring use of the Research Student Log by all PGR students.

15. To promote timely submission and completion by PGR students.

16. To liaise with the PGR administrator and departmental administrative contacts in relation to PGR students, where appropriate.

17. To perform any other relevant duties, at the request of the Departmental Graduate Tutor.

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11 Undergraduate Admissions Tutors/Selectors

Contact: [Professor Kathleen Armour](#), Vice-Provost Education and Student Experience

Policy

1. To be responsible for and to coordinate the process of undergraduate admissions to the Department/degree programme.

2. To make final decisions on applicants to recommend to the relevant Faculty Tutor for admission to UCL.

3. To liaise with other Departments if an applicant is applying for a combined-studies degree or has submitted an application to more than one Department.

4. To recommend to the Faculty the nature of any offer to be made (i.e. degree programme, year of entry, grades/qualifications to be achieved) in accordance with departmental requirements as stated in the UG Prospectus.

5. To liaise with the relevant Faculty Admissions Officer and Faculty Tutor on all aspects of undergraduate admissions.

6. To have an awareness of:

    a. Widening Participation issues;
    b. Equal Opportunities;
    c. Disabilities;
    d. Current UCL policies (on Admissions, Quotas and Targets, Student Accommodation, Fee Status, Admission of Young Applicants etc.);
    e. Government policy on university admissions;
    f. Data Protection Act.

7. To be conversant with current UCAS procedures.

8. To be conversant with all mainstream UK, European and North American school-leaving qualifications (e.g. Curriculum 2000, Scottish and Irish Highers, Access, IB, EB, Abitur, AP, etc.).

9. To be familiar with any changes made to the systems of examination in the above qualifications.

10. To ensure that their Department keeps appropriate records for each applicant on UCLSelect (including interview notes, etc.) and of the decisions made.

11. To arrange Open Days for all relevant applicants.

12. To ensure that all who run Open Days on their behalf are appropriately briefed/trained.

13. To ensure that admissions issues are regularly discussed within their Department.

14. To liaise with their Head of Department and Departmental Tutor, as appropriate, regarding issues such as the financial situation of the department, admissions targets/quotas, etc.

15. To attend any UCL or Faculty meetings or training courses arranged for Admissions Tutors.

16. To arrange appropriate activities for applicants invited for Open Days wherever possible (e.g. meeting current students, tour of UCL, etc.).

17. To ensure that all applications are promptly processed and that decisions are made within the relevant deadlines.

18. To arrange for appropriately trained office staff to answer telephone and written enquiries.

19. a) When applicants' examination results become available, to make confirmation decisions promptly. In the case of applicants who have taken A/AS levels, to make confirmation decisions on those who have satisfied offer requirements within two days of the receipt of the results by UCL (i.e. by the Tuesday following the receipt of the results the preceding Sunday). Confirmation decisions on borderline candidates should be made in accordance with UCL's agreed approach on such candidates (determined each year after the release of the A/AS level results) and by the specified UCAS deadlines.

    b) Throughout the year to arrange for appropriate staff to cover for them and during confirmation to ensure there is cover from 9.00 am to 5.00 pm (including lunch times) to handle telephone enquiries, during the first two days after the publication of the A-level results to students. After that period, reasonable cover should be provided until the start of the academic year.

20. To be aware of, and implement where appropriate, UCL's Guidelines on Good Practice for admissions, interviews and Open Days (see Academic Manual Chapter 1: Student Admission Framework)

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12 Personal Tutors

Contact:, [Professor Kathleen Armour](#), Vice-Provost Education and Student Experience

Guidance/Policy

Personal tutoring is a core academic responsibility at UCL. It is very important that every taught student is assigned a Personal Tutor, who is able to provide regular and personal support and guidance. The UCL Arena Centre is available to provide support to personal tutors through professional development and resources.

Please see the [Guidance and resources for Personal Tutors](#) webpage for more information.

13 Programme Leader

Contact:, To be Confirmed, Director of Education Services or Director of Student Operations as appropriate

UCL Responsibilities of a Programme Leader

A Programme Leader will be responsible, in conjunction with other Programme Leaders where appropriate, for the organisation and management of a named programme and for the academic experience of the students on the programme. A Programme Leader must be a fully appointed current member of UCL staff in which teaching responsibilities are clearly articulated. Programme Leaders will be expected to be members of the Departmental Teaching Committee and/or any relevant sub-committees and to play an active part in the development of the Department's portfolio of programmes and the enhancement of the student academic experience.

Specifically, in relation to their named programme, a Programme Leader will be responsible for:

Education leadership

i.   ensuring that the programme is academically coherent and that it remains informed by research developments and other initiatives including QAA Subject Benchmark Statements;

ii.   providing leadership to for the team of staff who contribute modules and teaching for the core and optional elements of the programme;

iii. ensuring that the programme is responsive to market need and that appropriate actions are taken in response to all stakeholders;

iv.   ensuring that the modules which form core and optional elements of the programme are coherent and appropriate for achievement of the programme learning outcomes;

v.   keeping up to date with learning and teaching developments and being alert to best practice (through UCL Arena, subject associations, conferences, professional events and journals).

vi.   ensuring that the programme reflects the dimensions of the Connected Curriculum and research based education can be evidenced across the programme;

vii. undertaking review of the programme in accordance with UCL regulations and policy;

viii. ensuring that student evaluation of modules and programmes is managed effectively and used to enhance provision for current and/or future cohorts.

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Assessment and Feedback

    i.   ensuring that the intended learning outcomes, at all levels, are clear and appropriate for the level of the qualification;

    ii.   ensuring that assessment criteria and marking schemes on all modules are clear and explicitly communicated to and explored with students;

    iii.   ensuring that the overall assessment requirements at the module and programme level satisfy UCL regulations contained in the Academic Manual;

    iv.   ensuring that assessments are planned across the programme so that there is a diversity of assessment methods and clustering is avoided.

Student Engagement and Performance

    i.   monitoring of student performance on the programme;

    ii.   meeting with the relevant staff to oversee analysis and response to student feedback collected internally and externally and external examiners' reports;

    iii.   developing appropriate ways of engaging students as partners, for example in generating ideas for enhancing provision and in decision-making, in order to enrich their academic and personal experience.

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14 Wardens of Student Residences

Contact: [Ms Denise Long,](#) Director, Student Support and Wellbeing

Policy

1. The Warden Teams are an integral part of UCL's Student Support and Wellbeing Services in the division of Student and Registry Services. The Warden shall be responsible to the Registrar via the Director of Student Support and Wellbeing for the welfare and safety of student residents and the domestic and social harmony of the Hall/House. The Warden may delegate specific duties to Student Residence Advisers or other suitably responsible members of the UCL Residences team, but responsibility rests with the Warden. The Warden must formally nominate another Warden to be in charge during periods of absence of more than three days.

2. The Warden shall promote a collegiate atmosphere and good order in the Hall/House for the general benefit of student residents in accordance with UCL policy and regulations.

3. Residence Managers and appropriate UCL Officers will advise the Warden as appropriate. In the event of difficulty in applying such advice the Warden may refer the matter to the Director, Student Support and Wellbeing who will consult as necessary before deciding upon a course of action.

4. The responsibility for the financial management of the residence rests with the Residence Manager and Director of UCL Accommodation

5. In the event of fire or criminal acts within the curtilage of the Hall/House, the Fire Brigade or Police will normally determine the immediate course of events. The Warden must inform appropriate UCL Officers of serious incidents as soon as possible.

Discipline

6. The following disciplinary powers stand delegated to the Warden by the Registrar after appropriate consultation if deemed necessary:

    i.   to reprimand;
    ii. to order compensation for damage to property or persons;
    iii. to impose a fine not exceeding the agreed maximum pertaining at the time.

7. In addition, where the conduct of an individual is unacceptable the Warden shall be able:

    i.   to refer cases for exclusion to the Registrar;
    ii. in the case of a visitor, to exclude that person from the premises and, where the circumstances warrant it, to hold a resident liable for the behaviour of his/her guest(s).

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8.   In exercising any of the above powers, the Warden shall inform the student concerned of his or her right of appeal to the Registrar.

Reports

9.   The Warden shall report:

- to the Registrar upon major breaches of discipline, whether or not dealt with locally, and upon other breaches of discipline which may have more general implications for UCL;

- to the Director of Accommodation upon general problems of management for which local solutions cannot be found within the terms of UCL policy or regulations;

- to the Director of Accommodation on matters relating to safety or security.

General

10.   Halls of Residence form an integral part of UCL activities; Wardens and Residence Managers should conduct the management of the Halls/ Houses in a manner consistent with the general interests and wellbeing of UCL and the UCL community. Wardens and Residence Managers are expected to take full advantage of the expertise and facilities available within the UCL administration and student support services.

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UCL Academic Manual 2022-23

Chapter 13: Faculty and Departmental Committees

Chapter 13 is UCL's regulatory framework for the terms of reference for Departmental Teaching Committees (DTC), Faculty Teaching Committees (FTC) and Faculty Research Degree Committees (FRDC).

1   Departmental Teaching Committees

Terms of reference

The following should be regarded as core terms of reference for Departmental Teaching Committees (DTCs). This list of items should not be regarded as exhaustive.

Subject to any general or particular direction which may be prescribed from time to time by the Academic Committee and/or the relevant Faculty Teaching Committee(s) (FTCs), the DTC will normally be expected:

1. Within the framework of Academic Committee and FTC statements of policy and good practice in respect of quality management and enhancement (QME), to define, develop and keep under regular review departmental QME processes and mechanisms.
2. To consider and approve proposals to institute, amend, revise or withdraw modules or programmes, for forwarding to the appropriate faculty committees or officers.
3. To consider and approve proposals to institute, amend, revise or terminate academic partnerships, for forwarding to the appropriate faculty committees or officers.
4. As part of the implementation of UCL's Annual Student Experience Review (ASER) and Internal Quality Review (IQR) processes (i) to receive and consider the Department's ASER dataset and Development and Enhancement Plan, (ii) to receive and consider the Department's IQR report and (iii) to submit these to the relevant Faculty Teaching Committee.
5. To receive the continuous module dialogue summary proforma in order to confirm module engagement with the process and to discuss changes and improvements made to provision.
6. To receive the minutes of Staff Student Consultative Committees (SSCCs), to note the main matters arising, and where necessary, to take further action.
7. To review annually the department's arrangements for Induction Week.
8. To receive the department's Self-evaluative Statement for Internal Quality Review (IQR) [1] and approve this for forwarding to the IQR team.
9. To receive reports: (i) on how peer dialogue has run in the department over the past year, any generic issues that have been identified and any associated enhancement work that could usefully be adopted across the department and (ii) from any students who have participated in the student reviewers of teaching practice scheme on good practice they have observed and would like to recommend is adopted within the department.
10. To report to the Head of Department (either via the Departmental Staff Meeting or through such other mechanism as the Head of Department sees fit) by submission of the Minutes of each meeting of the Committee to the Head.
11. To report to the FTC(s) concerned by submission of Minutes of each meeting of the Committee to the officers of the relevant FTC(s).

Constitution

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The following should be regarded as comprising minimum requirements for the constitution of a DTC:

Staff Membership

- Head of Department (or her/his designated representative)
- Departmental Learning and Teaching Co-ordinator
- the Programme Co-ordinator for each programme of study offered by the department.

Student Membership

The DTC should invite the student Lead Departmental Representative to membership of the Committee. Other student representatives may also be invited where appropriate [2]. Committee chairs and/or secretaries should meet the student representatives in advance of the first committee meeting, in order to brief them on the committees' works and proceedings and to put the students at ease and introduce them to key committee members.

Meetings

The DTC should normally meet at least once in the Autumn Term each year and at least once in the Spring Term each year. Departments are encouraged to convene the DTC more frequently if they see fit to do so.

The DTC should normally be serviced by a member of the department's administrative or secretarial staff.

Faculty monitoring of DTC operations

As indicated in the core terms of reference, FTCs should routinely receive the Minutes of DTC meetings.

[1] It is understood that the timing of some IQR visits may mean that the DTC's approval will need to be obtained, either through Chair's action or through correspondence rather than in discussion at a DTC meeting.

[2] If the DTC agenda includes business which the Chair feels should not be discussed in the presence of student members, there should be a separate, Reserved Area of Business section of the agenda.

2   Faculty Teaching Committees

Terms of reference

The following should be regarded as core terms of reference for FTCs. It is acknowledged that some faculties operate separate committees for undergraduate and taught postgraduate/research student matters. Therefore, the following list should be applied, as appropriate, to the relevant committee. This list of items should not be regarded as exhaustive.

Subject to any general or particular direction which may be prescribed from time to time by the Education Committee, the Faculty Teaching Committee will normally be expected:

1. To ensure that faculty-level strategy on education matters reflects the principles of the Education Strategy and UCL 2034.
2. Within the framework of Academic Committee statements of policy and good practice in respect of quality management and enhancement (QME), to define, develop and keep under regular review faculty QME processes and mechanisms.
3. To keep under review the teaching provision across the faculty and to provide a forum for discussion of issues raised by Departmental Teaching Committees (DTCs).
4. To consider the academic and resource implications of new degree programme and academic partnership proposals from departments within the faculty and, if and when satisfied, submit these for consideration by the Education Committee (or relevant sub-group thereof).
5. To consider the academic and resource implications of proposals for new or amended modules from departments within the faculty and, if and when satisfied, submit these to the Student and Registry Services for approval.
6. To oversee the implementation of UCL's Annual Student Experience Review (ASER) and Internal Quality Review (IQR) processes within the faculty by (i) the receipt and consideration of departments' ASER Development and Enhancement Plans, to be signed off by the FTC, (ii) the receipt, consideration and, as appropriate, approval of departments' IQR reports, (iii) the preparation of an annual summary report on issues or emerging themes arising from the FTC's consideration of the ASERs and IQRs for submission to the Quality Review Sub-Committee.
7. To receive, in accordance with UCL policy [1], reports from departments summarising the operation of peer dialogue and ensure that any matters arising from such reports are followed-up appropriately with the departments concerned.
8. To receive the outcomes of the continuous module dialogue summary proformas from DTCs and to consider any relevant issues arising.
9. To monitor the minutes and proceedings of DTCs to ensure that such committees have student representatives, as required by UCL policy.
10. To receive reports on or to consider, as appropriate, relevant issues arising from meetings of Academic Committee or other relevant institutional-level committees [2].
11. To report to Education Committee by the submission of Minutes of each meeting of the FTC to the officers of Education Committee.

Constitution

The following should be regarded as comprising minimum requirements for the constitution of a FTC:

Staff Membership

- Dean and/or Vice/Sub-Dean
- Faculty Tutor
- Faculty Graduate Tutor (if appropriate)
- One member of staff from each department within the faculty (e.g., Chair of DTC and/or Departmental Tutor)
- Chairs of steering committees of inter-faculty or inter-departmental programmes for which the parent department is from within the faculty.
- Representation from UCL Arena.

It is recommended that representatives of relevant Professional Support Services are invited at least once a year to FTC meetings if possible, at the discretion of the Faculty Tutor.

Student Membership

The student Faculty Representative should be invited to membership of the FTC. Other student representatives may also be invited where appropriate [3]. Committee chairs and/or secretaries should meet the student representatives in advance of the first committee meeting, in order to brief them on the committees' works and proceedings and to put the students at ease and introduce them to key committee members.

[1] See UCL's policy on peer dialogue (Academic Manual Chapter 9, Quality Review Framework)

[2] It is recommended that receipt of a report on the proceedings of the most recent meeting(s) of Academic Committee and or other relevant institutional-level committees should be a standing item on the agendas for meetings of FTCs.

[3] If the FTC agenda includes business which the Chair feels should not be discussed in the presence of student members, there should be a separate, Reserved Area of Business section of the agenda.

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3   Faculty Research Degree Committees

Terms of reference

The following should be regarded as core terms of reference for faculty committees responsible for postgraduate research student provision, including MPhil/PhD, professional and specialist doctorates and the research elements of MRes programmes. This should be read alongside the framework of the core terms of reference for Faculty Teaching Committees. This list of items should not be regarded as exhaustive.

Subject to any general or particular direction which may be prescribed from time to time by UCL's Research Degrees Committee, the Faculty Committee will be expected:

1. Within the framework of the UCL Doctoral Educational Strategy, to define, develop and review a faculty-level postgraduate research student strategy.
2. Within the framework of the UCL Academic Manual, to define, develop and keep under regular review faculty quality and enhancement processes and mechanisms.
3. To monitor faculty key performance indicators for a high quality research student environment including applications and enrolments, number of supervisors per student, upgrade and/or progression rates, thesis submission rates and the Postgraduate Research Experience Survey results.
4. To keep under review the postgraduate research student experience across the faculty, including discussion of, but not limited to:
   (i)   recruitment and admissions processes
   (ii)   student diversity
   (iii)   Doctoral skills training
   (iv)   assessment and feedback
   (v)   academic support
   (vi)   student wellbeing
   (vii)   study space
   (viii)   library and learning resources
   (ix)   postgraduate PGTA opportunities, responsibilities and entitlements
   (x)   careers advice and guidance

5. To receive and consider analyses of the results of internal and external student surveys such as departmental student evaluation questionnaires, UCL-wide surveys. To oversee departmental responses to student feedback and respond to faculty level issues as appropriate.
6. To receive reports from departments on postgraduate research students' engagement with the Student Representative scheme and involvement in departmental committees.
7. To receive reports on recruitment, approval, appointment, support and training of research student supervisors by departments within the faculty.
8. To monitor and report on the appointment of examiners (including where examiners were declined) and to discuss common matter arising from the examiners reports.

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9. To consider the academic and resource implications of new research degree programmes and academic partnership proposals from departments within the faculty and, if and when satisfied, submit these for consideration by UCL's Research Degrees Committee (or relevant sub-group thereof). To also receive regular reports on amendments, withdrawals and reviews of programmes approved by the faculty.

10. To provide a forum for discussion of issues raised by department level committees responsible for postgraduate research student provision or their equivalent, such as joint graduate teaching and research provision committees. Refer institutional level issues to Research Degrees Committee via the Faculty Graduate Tutor as appropriate.

11. To receive the minutes, where applicable, of departmental level committees responsible for postgraduate research student provision.

12. To receive regular reports, as appropriate, on relevant issues arising from meetings of Academic Committee, UCL's Research Degrees Committee or other relevant institutional-level committees.

13. To report to UCL's Research Degrees Committee by the submission of Minutes of each meeting to the officers of Research Degrees Committee.

Constitution

The following should be regarded as comprising minimum requirements for the constitution of a committee:

Staff Membership

- Faculty Graduate Tutor (Chair)
- Vice-Dean Research
- One member of staff from each department within the faculty (e.g. Departmental Graduate Tutor)
- Representatives from inter-faculty or inter-departmental programmes as appropriate.

Membership might also include representatives from library and other learning resources services, UCL Arena and other UCL departments as appropriate.

Student Membership

It is suggested that the Committee should include three postgraduate Research Student Academic Representatives in its membership and that attendance may rotate depending on availability for meetings. The Committee should ensure that the Research Student Representatives are aware of the training and support offered by the Students' Union for the Student Academic Representative scheme. The Committee may also wish to invite the student Faculty Representative to its meetings. Committee chairs and/or secretaries should also meet the Research Student Representatives in advance of the first committee meeting, in order to brief them on the committees' works and proceedings and to put the students at ease and introduce them to key committee members.

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UCL Academic Manual 2022-23
Chapter 14: Teaching and Learning

Student Confidentiality Statement
How UCL manages confidential information

Policy

What is confidential information?

During your time at UCL there may occasionally be circumstances where you choose to share confidential information about yourself with your personal tutor or other staff from across UCL. It is important that you understand how we will deal with this information.

Confidential information is any information to which the common law 'duty of confidence' applies. Put simply, a duty of confidence is created when 'private' information has been passed on in such a way that the person receiving the information was aware, or should have been aware, that the information was being imparted on the basis of confidentiality.

Whilst we will always deal with sensitive information very carefully and only share it on a 'need-to-know' basis, such as when you provide information relating to a request for extenuating circumstances, this statement is concerned with times when you share information in a confidential way. This maybe during a conversation with a personal tutor or in an email or in some other way. It's likely to cover particularly unusual one-off circumstances rather than relate to a defined UCL processes or procedure.

If I share confidential information will it be shared with anyone else within UCL?

The answer to this question will always depend on the circumstances but we will usually require your consent before confidential information can be shared, even within UCL. If you share some confidential information with a member of staff and they know that in order to help you or for UCL to provide you with support they will need to share the information, they will discuss this with you and seek your agreement before sharing anything.

Sharing without your consent

There are specific circumstances where confidential information may be shared without your agreement. A disclosure can be made without consent under the following circumstances:

- when the vital interests of any person are threatened and the disclosure is made to a relevant, appropriate person;
- when it is in the public interest to do so and the disclosure is made to a relevant, appropriate person.

Whenever an obligation of confidence is to be broken without consent, you should still be informed, unless to do so would endanger your or another person's vital interests. In this context vital interests refers to a situation which would seriously affect your physical or mental health or wellbeing.

Involving others

Sometimes when you share confidential information about a problem you are encountering we may feel that involving someone else such as a parent or another person close to you would help you. However, if the information was provided in confidence we will not share this without your consent. Only where the circumstances are so severe that in order to protect your or someone else's vital interests or where there is a public interest to do so could the information be disclosed to an appropriate person.

Duty of care?

UCL has a duty of care to protect its staff and students from harm, as far as practicable and foreseeable. This duty of care extends to directing those in need to the appropriate support services and to encouraging them to take up the support available.

With your agreement, we can refer you to Student Psychological and Counselling Services or to other appropriate services within Student Support and Wellbeing. However, you are under no obligation to agree to such disclosures and where you object, we will respect your decision, although this may limit our ability to offer you support.

If you register with the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing (SSW) the information you share with them will be treated confidentially. You will be asked whether the Disability, Mental Health and Wellbeing team staff can reveal limited information to other members of UCL staff, on a 'need-to-know' basis where this is necessary to facilitate our support for you. More information can be found at the following web-link about how SSW handles Student Confidential Information.

Student of concern

There may be a time when someone is concerned about you and wishes to share their concern with Student Support and Wellbeing so that they can offer you appropriate support. In these circumstances information about you may be shared on a limited basis with appropriate people within UCL. However, where the concern relates to a situation that a UCL member of staff has become aware of because you have disclosed some information to them in confidence this information will only be shared with your consent unless it is in your vital interests or there is a public interest to do so.

Confidentiality and data protection law

Confidential information and personal data are not the same thing but they can overlap, for example financial information about a business may have been provided in confidence but it is not personal data as it does not identify, or relate to, an individual. Information found within a medical record will be both confidential, due to the circumstances in which it was provided and the nature of the material, and also special category personal data as defined data protection law.

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Chapter 14: Teaching and Learning

Teaching on Wednesday Afternoons

Guidance

1. All teaching should finish at 12.50pm on Wednesday afternoons.

2. We regard the UCL student experience as holistic, and we keep Wednesday afternoons free for students to enable them to participate in extra-curricular activities. The need for teaching to finish at 12.50pm is especially crucial for those students taking part in field sports, since the completion of matches and training in daylight hours is essential for the safety of the participants.

3. Any decision to hold classes on Wednesday afternoons must be approved by the Faculty Education Leadership and also discussed and agreed with all students involved. If it proves impossible to schedule the class(es) at another time, alternative arrangements should be put in place for students who wish to take part in extra-curricular activities on Wednesday afternoons so that their academic progress is not affected.

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Chapter 14: Teaching and Learning

UCL Lecturecast Policy

Contact: Professor Andrea Townsend-Nicholson, Faculty of Life Sciences

Policy

1. This policy refers to UCL's Lecturecast service, UCL's system for the end-to-end recording and online delivery of material captured during face-to-face classes within the institution. The system consists of a number of recording devices within selected teaching spaces and a processing/distribution system for content delivery. It also applies to video material produced either externally or through the Personal/Universal Capture tool and uploaded to the Lecturecast system. Recordings are currently made available to UCL staff and students via a dedicated portal accessible through Moodle, although other forms of dissemination are possible and may prove of interest to academic users of the service.

2. Lecturecast is, by default, an opt-in service with the onus on individual lecturers or teaching leads in departments/divisions to choose to use the system. Each department/division should clearly define who is responsible for managing this process. It is recommended that usage of Lecturecast be a standing item on the agenda of the relevant Teaching Committee to show a clear UCL structure of tracking and accountability.

3. Where departments/divisions wish to depart from the standard opt-in policy and set an explicit opt-out policy, this must be in consultation with staff affected. Clear guidance must be given to all staff on this policy; for instance it must be made clear to staff whom they should contact to opt-out and what implications this would have for their teaching. It should be possible for any member of staff to opt-out so that their lectures within the specific course are not captured or published.

4. All staff using the system should be made aware of the training material available on the use of Lecturecast through the [Lecturecast Resource Centre](). This material, as well as covering technical aspects of the system, also provides primary guidance on copyright and other policy issues.

5. Staff are reminded that the Library's Copyright Support Team provide [Copyright advice and guidance]() on how Copyright impacts on teaching and on UCL's Intellectual Property Rights (IPR) Policy to all staff and students.

This includes specific guidance on Lecturecast and recorded lectures: [Lecture Capture, Lecturecast and Copyright]().

6. **Retention policy**: All Lecturecast content will be available for 4 years from the date of capture. Any content older than four years will become automatically archived by the system into a state known as 'Glacier'. Content will stay in the 'Glacier' for 3 years and may only be recovered by the Digital Education team. Any content that is republished to another section will have its clock reset to the start of the seven 7 year cycle.

7. **Content Deletion**: Content which has been archived by the system into a state known as the 'Glacier' for more than 3 years will be permanently deleted automatically. Content on the Lecturecast system will be permanently deleted after 7 years: [Lecturecast Policy]().

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Chapter 14: Teaching and Learning

Student Reference Policy

General policy

1. It is UCL policy to provide references, where practicable, in respect of its current or past students. This document provides guidance to members of staff providing references in accordance with this policy.
2. In this context departmental policy should be made clear to students: for example, whether they can assume their tutor/adviser/supervisor will automatically provide a reference if his/her name is given as a referee, or whether he/she should be approached first for permission for his/her name to be given.
3. It is the responsibility of Heads of Departments to ensure that staff in their department who may respond to requests for references in respect of past or present students are aware of and abide by these guidelines.

The legal position

4. The author of a reference owes a 'duty of care' to the person about whom it is written, which means the author must use reasonable skill and care in preparing the reference to ensure it is true and accurate, and does not give an unfair overall impression.
5. An inaccurate reference may give rise to an action for negligence (on the basis the author has negligently failed to fulfil her/his duty of care to the reference subject). That individual would not have to prove 'actual loss' of employment but only that he/she has lost a 'reasonable chance' of employment and thereby sustained loss.
6. Similarly, any untrue statement that disparages the reputation of the individual could give rise to an action for libel (sometimes referred to as a defamation action). In either a negligence or libel action, the individual may seek to claim against UCL and/or the individual author.
7. Authors should also take care to ensure that a reference does not discriminate against the individual in any way. For example, particular care should be taken when making any comment about performance, absence or sickness where there is a risk that such comments may be discriminatory on grounds of disability.
8. A duty of care is also owed to the recipient of the reference, who may be entitled to bring an action for negligence against the individual author and/or UCL if the information contained in the reference is inaccurate or misleading, and where it has been relied upon and causes some loss or damage.

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9. There will usually be no legal obligation to provide a reference for a student. If a member of staff (including a Head of Department) has any concerns about writing a reference for a current or past student, he/she should contact the Registrar at srs@ucl.ac.uk.

Aims of the reference

10. There are two principal aims of a reference:

    - To confirm the accuracy of statements made in an application by the student (which means, of course, ascertaining what those statements are)
    - To give the referee's opinion as to the student's suitability for the post/programme in question and her/his potential for the future.

The substance of the reference

11. Members of staff who provide a reference in respect of a present or past student should make clear in what capacity they are providing the reference. If the reference is provided in relation to the student as a student (or former student) of UCL and on behalf of UCL, the reference should be given on UCL-headed paper. If the reference is provided in a private, personal or non-UCL capacity, UCL-headed paper should not be used, and the relationship of the referee to the student concerned and the fact that the reference is given in a personal capacity should be made clear.

12. In writing a reference the author should always indicate for how long he/she has known or knew the student and in what capacity, and should ensure that the facts stated about the student are correct. The author should not include any facts of which he/she is unsure; if in doubt, leave it out. If information about a student's programme/history/study profile is needed, this information should be sought from Student and Registry Services (please contact the Registrar's Office in the first instance at srs@ucl.ac.uk).

13. In a reference the facts about a student's career and any opinion of her/his ability should be differentiated. If an opinion is offered regarding a student's abilities or potential, the referee must be qualified to give such an opinion and the reasoning for such a view should be made clear. If challenged, the author would need to provide evidence to support her/his view:

    - Fact and opinion should not be confused: "On her performance to date I would be surprised if X did not get a first-class degree" is clearly an opinion;
    - "She will get a first-class degree" suggests that the method of classification for Honours is such that the issue is beyond doubt.
    - Opinions stated should be based on facts known to the referee and referees should not make statements they are not qualified to make: for example, "I consider X to be well suited to the post for which he/she has applied, and am happy to support her/his application" is better than "X will be a success in the post of . . . ".
    - Particular care should be taken where a reference is provided about someone who is not known to the person providing the reference (for example, if the student's tutor or supervisor is absent or has left UCL). Opinions should not be given which are not those of the author of the reference.
    - There may be issues on which an opinion is invited or requested about which the referee has limited knowledge, e.g. the honesty and integrity of the student. In these circumstances it may be necessary to say, for example, "I know nothing which would lead me to question X's honesty".

14. In the event of being challenged over a reference, the referee must never admit liability as this may invalidate UCL's insurance policy. The matter should be referred to the Registrar.
15. References should be marked "Confidential" to the addressee.
16. A copy of any reference provided on behalf of UCL should be kept on the relevant departmental file. References must be stored for the time period set out in UCL's Record Retention Schedule (available here) before being securely destroyed in accordance with applicable UCL policies and procedures.

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Liability and Disclaimers

17. A reference should contain the following disclaimer in its final paragraph:

    "This reference is strictly confidential and is provided to you only in connection with [NAME] and should only be used for that purpose. The above information is given in confidence and in good faith. No responsibility however, can be accepted for any errors, omissions or inaccuracies in the information or for any loss or damage that may result from reliance being placed upon it."

18. As there is no guarantee that a disclaimer will not be successfully challenged in court, due care must be exercised when preparing a reference. UCL has insurance that covers members of staff (and ex-members of staff) who have written references in the course of their employment, if these guidelines have been followed. UCL insurance does not cover references by a member of staff in her/his private capacity. In the event that a member of staff is challenged over the content of a reference, he/she should not be drawn into a discussion of the issue of liability, but should refer the matter immediately to the Registrar.

Confidentiality and data protection legislation

19. The provision of references involves the use and disclosure of personal data, which is governed by current data protection legislation. This section sets out some of the key points to consider from a data protection compliance perspective when providing references.

Legal basis for processing

20. Under current data protection legislation, UCL is required to establish a 'legal basis' for processing personal data. When providing references, UCL's legal basis for processing will generally be the legitimate interests of the third party recipient of the reference, e.g. a prospective employer. Provided that you do not include sensitive details (i.e. special category personal data or criminal convictions data) about the student in the reference, this means that you can provide the reference without seeking the consent of the student concerned.

Special category personal data

21. Special category personal data is information about an individual's race; ethnic origin; politics; religion; trade union membership; genetics; biometrics (where used for ID purposes); health; sex life; or sexual orientation.
22. Special category personal data is subject to higher levels of protection under current data protection laws.
23. Where special category personal data is included in a reference, you will need an additional legal basis for processing the data (over and above legitimate interests). In all cases, the additional legal basis for processing the special category personal data will be the student's explicit consent.
24. Due to the increased burden placed on UCL by data protection laws where special category personal data is processed, you should avoid including special category personal data in references where possible. However, in some circumstances it may be necessary to include special category personal data, e.g. if a student's low examination grades may be explained by a period of absence caused by an illness. If you wish to include special category personal data in a reference then you will need to obtain the explicit consent of the student concerned prior to giving the reference to the third party recipient.

Criminal convictions data

25. It is extremely difficult to justify the use of criminal convictions data under current data protection laws. References should <u>not</u> include information about a student's criminal convictions and offences (spent or otherwise), even where the intended third party recipient has asked us to comment on a student's criminal history.

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Subject access requests

26. Data protection legislation gives students the right to access their personal data held by UCL. A student exercises this right by making a *subject access request* to UCL. If you receive a subject access request, please contact the UCL data protection team at data-protection@ucl.ac.uk which is responsible for responding to these requests on behalf of UCL.

27. For references given in confidence, there is an exemption under current data protection legislation which means that a student reference does not have to be disclosed as part of UCL's response to a student's subject access request where it has been given for any of the following purposes:

   - The education, training or employment of the student
   - The placement of the student as a volunteer
   - The appointment of the student to any office
   - The provision by the student of any service

28. This exemption applies to confidential references already given as well as references that have been drafted but not actually given at the time the subject access request is received. It also covers each of the above purposes prospectively, e.g. where the reference is given in connection with a prospective job or intended training.

29. The exemption applies to both confidential references created by UCL and those created by third parties and provided to UCL.

30. All references are considered to be given in confidence unless there is evidence to the contrary. Nevertheless, UCL may be required to disclose a reference under certain circumstances, such as a request for disclosure by an Employment Tribunal or a Court dealing with a negligence or defamation case. In such circumstances, staff should not disclose any documents but instead seek advice from Legal Services on how to proceed.

Telephone or verbal references

31. Although requests for telephone or oral references are frequently received, such requests should be declined other than in exceptional circumstances, since information given in this way may be misinterpreted in its transmission to the interview panel. If, exceptionally, an oral reference is given, steps should be taken first to verify the identity of the enquirer and notes should be kept of the conversation. Where an oral reference is given on behalf of UCL the person giving the reference should not make any statements he/she would not be willing to make in writing.

Unsolicited references

32. It is generally inadvisable to provide unsolicited references addressed 'To whom it may concern'. If, exceptionally, such references are provided, they should be limited to factual statements such as dates of the student's registration, programme of study, and, if relevant, date and title of award.

Criminal convictions and disciplinary or other such sanctions

33. Care should be taken not to mention in references criminal convictions (spent or otherwise). Any query on this should be referred to the Registrar.

34. Disciplinary, Academic Misconduct or Research Misconduct matters should not be mentioned unless (a) they have been substantiated and upheld, and (b) the reference-writer believes them to be directly relevant to the duty of care owed to the recipient of the reference, i.e. relevant to the job or programme that the student has applied for. If the referee is in doubt, they should contact the Registrar for advice.

UCL Academic Manual 2022-23
Chapter 14: Teaching and Learning

UCL Timetabling Policy

Policy

1.　Scope

This document sets out UCL's Timetabling Policy for 2022/23.

2.　Governance

This Policy has been developed by the Central Timetabling Team and is jointly owned by Operations Committee and Education Committee.

3.　Purpose

This Policy is required to support the vision of providing an efficient and effective Institutional timetabling service that optimises and enhances the student and staff experience.

4.　Objectives

- Deliver a timetable that is student focused; enables success and wellbeing; and is efficient, effective and equitable
- Deliver a single integrated timetable
- Balances space utilisation with the facilities required to deliver teaching
- Minimise the administrative burden of timetabling and rooming across the University.

5.　Principles

5.1　Supply of space

- All UCL 'generic' bookable teaching space (including PC cluster rooms), will be centrally managed.

- Excluded spaces are (i) an agreed list of rooms that are unsuitable for teaching but suitable for meetings and (ii) specialist spaces including labs, studios etc.
- Some appropriate external space may be procured, depending on demonstrable demand. Any external space must be procured centrally.

5.2   Delivery of education (including class sizes)

- Departments must plan to deliver their curriculum in accordance with the Teaching and Assessment Model for 2022/23.

5.3   Teaching hours

5.3.1 The 'UCL Hour'

From 2022/23 all teaching (and meetings etc.) will commence on the hour and will end at ten minutes to the hour. The ten minute 'changeover' must be adhered to. This applies to all events (F2F and online).

5.3.2 Teaching day

The core teaching day will be 0900 – 1800 Monday, Tuesday, Thursday and Friday, and 0900 – 1300 Wednesday.

Wednesday afternoons should be kept free of teaching for all UG and PGT students (with some agreed programme exceptions that will be approved by the Faculty Education Leadership).

Departments and their staff may choose to teach outside of core teaching hours in order to both improve equality of access to a high-quality education and to facilitate flexible working arrangements. This is an optin arrangement.[1]

5.4   Teaching & Reading Weeks

A Reading Week is held in each of Terms 1 and 2 in CMIS Weeks 11 (w/c 7th November 2022) and 25 (w/c 13th February 2023) respectively (see *Appendix 1*). All departments must adhere to this structure.

Departments are encouraged to run block teaching sessions during Reading Week. This is an opt-in arrangement. [1]

5.5   In-term assessments

Where in-term assessments are delivered F2F these will be roomed after core teaching and will not disrupt the consistency of rooming of teaching events. The timing and/or location of in-term assessments should be arranged at a time – and in a format – that can be accommodated within UCL space.

5.6   Induction Week

UCL Induction Week activities will be a blend of online and F2F.

Departments should normally deliver large information sharing events online, with smaller more interactive events delivered in person. Where a department plans to deliver an induction event F2F, priority will be given to rooming centrally organised Welcome and Induction events.

Induction activities must normally be scheduled into CMIS for Week 5 (w/c 26th September 2022) or earlier. Ad hoc synchronous online and/or F2F induction activities may be arranged for later weeks but will be roomed after teaching activity.

5.7   Timetables for Students and Staff

ALL teaching activities must be entered in CMIS (UCL's timetabling software) in order to provide a complete online timetable for students and staff. This includes all scheduled labs and practice based teaching, and synchronous online sessions.

5.8   Student-facing vs other scheduled activities

5.8.1 Teaching rooms

Teaching will be prioritised in all UCL's bookable teaching rooms, with student informal learning and interaction taking second priority during term time.

All other meetings etc. should be undertaken online where possible. Where F2F meetings need to be arranged they should be booked in accordance with the *Room Bookings Policy*. This includes Exam Boards, SSCCs etc.

5.9   Prioritisation

5.9.1 Demand

Where demand for teaching rooms exceeds supply at a particular type of space/time, the department must reschedule for another day/time when appropriate space is available.

Once alternative days/times/ have been thoroughly investigated, if demand still exceeds supply and there is no appropriate UCL space available, external space may exceptionally be procured by the Central Timetabling Team.

5.9.2 Supply

All generic teaching space is centrally managed.

Teaching rooms will be allocated as follows:

(i)   Allocation of a suitable room for students or staff with a disability will take priority.
(ii)   Allocation of a day and/or time range for staff with a protected characteristic or recognised health requirement will be implemented.
(iii)   Matching the class size to room capacity to ensure that no class exceeds the stated room capacity.
(iv)   Matching the location (e.g. in home or zoned[2] building) and room *requirement* (e.g. LectureCast, whiteboards) will be prioritised over preserving the *exact day/time* of an event.
(v)   Events of more than 5 weeks duration will be auto-roomed first to improve the consistency of rooming.
(vi)   A number of rooms will be allocated to accommodate short, intensive (rather than term long) teaching.
(vii)   Events requiring specific facilities may be treated as higher priority since the pool of available rooms is more limited.
(viii) Research seminars and other sessions that form a core part of a PhD student's programme of study will be scheduled subject to appropriate space being available.

The Timetable Team will hold back a small number of rooms in order to respond to overshoots in class numbers etc.

6   Timeframe and deadlines

The Timetable Production Timeline can be found here
https://www.ucl.ac.uk/estates/sites/estates/files/timetable_formal_timeline_2022-23.pdf Published deadlines must be adhered to in order to deliver timetables to students in a timely manner.

7   Student and staff movement to/from and around campus

Given extensive student choice, departments should make every effort to limit student and staff movement between UCL campuses on any given day.

8   Student clashes

Student clashes (F2F and synchronous online) on compulsory modules must be avoided. Student clashes on optional modules will be avoided where feasible but timetables free of option clashes cannot be guaranteed.

9   Room changes

Staff are requested to check allocated rooms in person by 15th August and request changes by that date. Changes requested after that date must give at least three working days notice.

10   Auditing of Classes

All students attending F2F sessions must be registered on the relevant module. Students will not be able to audit classes F2F unless there is adequate capacity within the allocated room.

11   Key Roles and Responsibilities

The following is not an exhaustive list but summarises the key roles and responsibilities for delivering the 2022/23 timetable.

11.1   Central Timetabling Team Responsibilities

The Timetabling Business Partners will:

- Produce a schedule of key dates and deadlines
- Maintain regular engagement with Faculties and Departments
- Coordinate training workshops and undertake data validation checks
- Provide timetabling and rooming advice and support
- Deliver a roomed timetable in collaboration with Departments and Faculties
- Maximise the potential of the timetabling system via training, development and sharing best practice
- Review feedback, Timetabling KPIs and 'Complaints and Issues Log' and identify areas for improvement
- Work collaboratively with Faculties and Departments to ensure an effective business partnering relationship and service delivery to drive continuous improvement.

11.2   Faculty and Departmental Responsibilities

Faculty Education Teams (inc. Programme and Module Leaders) will:

- Work with the Central Timetabling Team and academic departments to ensure that timetabled activities are appropriately roomed
- Consider the effect on room utilisation of 'peaks and troughs' e.g. single days or whole weeks. Consider dovetailing with other programmes to flatten out demand
- Provide constructive challenge to ensure that the Faculty and Department is able to offer quality rather than quantity in its educational portfolio and that the timetabling implications of the curriculum have been fully considered

- Consider the timetable experience from a student's perspective, including joint honours routes. Analyse the take-up of options and electives to ensure that the most popular optional module combinations can be accommodated.

Departmental Timetablers will:

- Attend CMIS training workshops and refresher sessions
- Liaise with Module Leaders and Faculty Tutors to collate timetable requirements. Ensure requirements are correctly and completely entered into CMIS by the agreed deadline
- Run clash checks
- Promptly attend to issues raised in clash reports and data validation checks
- First line problem-solving (e.g. managing overshoots through re-allocation of students between groups)
- Inform staff and students via email when short-notice changes occur for F2F sessions
- Promptly notify the Central Timetabling Team when rooms are no longer required
- Oversee the process of 'student fitting' to sub-groups by staff within the Department and ensure that allocations are accutate in CMIS.

Lecturing staff will:

- Submit timetabling requirements and details of personal availability, constraints and preferences by agreed deadlines and in accordance with the approved process
- Read and check timetables as per agreed deadlines
- Visit the rooms by 15th August to ensure its suitability and immediately communicate any concerns
- Notify Departmental Timetablers promptly of errors, or if rooms are no longer required
- Start and finish lectures and other teaching events promptly for changeover
- Report any faults (missing or malfunctioning equipment to the ISD Helpdesk and room issues/malfunctions to the Customer Helpdesk)
- Ensure that Health & Safety requirements are followed, particularly ensuring immediate evacuation of the whole class in event of a fire alarm and ensuring that the room capacity is not exceeded
- Help colleagues to keep the administrative records accurate. Do not undertake informal room swaps with colleagues, or allow non-enrolled students to attend a class, as this impacts attendance monitoring, lecture capture and can exceed safe room capacities.

Heads of Department will:

- Ensure there is sufficient staff resource available to engage with, and respond to, timetabling processes and issues throughout the lifecycle, ensuring that appropriate cross-cover and/or business continuity arrangements are in place to provide a seamless and responsive service in case of absence (i.e. holiday; sickness etc.)
- Ensure that staff availability to teach is maximised
- Ensure that academic staff discharge their responsibilities in respect of timetabled activities
- Ensure information is shared within the Department.

Deans (with Directors of Operations) will:

- Oversight and management of issues across their Departments, taking necessary action where issues impacting on the delivery of the Faculty's timetable
- Sign off of an agreed roomed timetable.

## 12.	Adherence to this Policy

This Policy has been developed to facilitate the delivery of a critical student-facing service as a shared Institutional endeavour. Therefore adherence to this Policy is mandatory. Amendments to room allocations after sign off of the timetable will only be made in exceptional circumstances (i.e. accessibility requirement; staff illness; unplanned class size changes).

13.   Review

This policy will be updated on an annual basis.

DATE APPROVED BY EDUCATION COMMITTEE	DATE APPROVED BY OPERATIONS COMMITTEE	DATE OF NEXT REVIEW
26th April 2022	5th May 2022	March 2023

Footnotes

1   Departments may decide to run F2F teaching in short, intensive blocks which could be facilitated by longer teaching days; weekend teaching and/or teaching during Reading Week

2   Zoning refers to the alignment of buildings and/or departments to teaching spaces on a geographical basis. Wherever possible, students will be roomed within a geographical zone in proximity to their department although this is not always possible where room layout and/or room sizes are not aligned.