



UCL

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# UCL Academic Manual 2017-18

## Chapter 4: Assessment Framework for Taught Programmes

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

# Introduction

## Scope

1. Chapter 4 is UCL's regulatory framework for the assessment and examination of Undergraduate 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 (e.g. EMPA, International MA) *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, either as part of the Programme and Module Approval Process, or the annual Academic Review Process.
5. All variations *must* be documented in the Programme Specification and/ or Scheme of Award, 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 UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) 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.

## Derogations and Variations

7. Chapter 4 includes the main regulations for all UCL students, except where the following approved derogations and variations supersede (see Chapter 8: Derogations and Variations):

Arts & Humanities	Bachelor of Arts (BA) in English Derogations Bachelor of Arts (BA) in Fine Art Derogations Bachelor of Fine Art (BFA) Derogations Master of Fine Art (MFA) Derogations
The Bartlett, UCL's Faculty of the Built Environment	Bartlett Derogations
Brain Sciences	BSc in Speech Sciences Variations
Engineering	Faculty of Engineering Sciences – Undergraduate Variations
UCL Institute of Education	General Academic Regulations

	Assessment Regulations for Students
	Undergraduate Regulations
	Foundation Degree Regulations
	Bachelor of Education (Honours) Regulations
	Taught Postgraduate Regulations
	Initial Teacher Training Regulations
	Fitness to Practice Policy and Procedures
Laws	Bachelor of Laws (LLB) Assessment Principles
	Master of Laws (LLM) Derogations
Life Sciences	School of Pharmacy Derogations
Mathematical & Physical Sciences	Faculty of Mathematical and Physical Sciences – Undergraduate Variations
Medical Sciences	Bachelor of Medicine, Bachelor of Surgery (MBBS) Regulations
Social & Historical Sciences	Faculty of Social and Historical Sciences – Undergraduate Variations

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# 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 *must* 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 Programme Scheme of Award *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 Programme 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 Programme Boards of Examiners report.

### **Examination Irregularities and Plagiarism**

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

The Assessment Information regulations define the information that should be provided to students about assessment via Student Handbooks (or equivalent) and online resources such as Moodle.

### 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 Programme Summary *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 *UCL Examination Guide for Candidates* which is published annually on the Examinations and Awards website.
  - 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, Special Examination Arrangements 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 plagiarism 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 Programme Scheme of Award

1. All programmes *must* maintain an accurate Programme Scheme of Award which defines the programme structure, the modules which students must undertake, which modules are Core, Elective or Optional, and where a module or component is Non-condonable (i.e. *must* be passed).
2. The Programme Scheme of Award *must* clearly explain any approved variations from the main UCL regulations on the programme, including but not limited to regulations on:
  - a) Progression and Award requirements
  - b) Classification algorithms
  - c) Non-condonable modules
  - d) The consequences of failure
3. The Programme Scheme of Award *must* clearly explain any local, subject- or programme-specific regulations in place on the programme, including but not limited to local regulations on:
  - a) Professional practice
  - b) Fitness to Practice and/ or Occupational Health
  - c) Study Abroad
  - d) Placements
4. The Programme Scheme of Award, and any amendments to it, *must* be approved by the Faculty Board of Examiners.

# 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 9](#)) and to determine their Classification ([Section 10](#)).

## 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 *must* 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 *must* 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 Methods of Assessment

1. A variety of assessment methods *should* be used across a programme to test different knowledge and skills. Guidance on appropriate assessment methods is available from [UCL Arena](#). Guidance on a range of digital assessment platforms is available from the [Digital Education](#) team.

## 3.4 Digital Assessment

1. The Assessment Framework for Taught Programmes applies to the conduct of all forms of assessment. However there are additional considerations and risks involved in managing digital assessments. These regulations *should* be read in conjunction with the remainder of this Chapter.

### Good Practice for Exam Design

2. In line with the British Standard ISO/IEC 23988:2007, if a computer-based examination lasts longer than 90 minutes there *should* be provision, if not detrimental to the purpose or validity of the assessment, for candidates to take a break.

### Testing Summative Online Assessment Tasks

3. The technology being used for all summative online assessment tasks *must* be tested before students undertake the assessment.
4. If the assessment involves invigilators then these invigilators *must* be familiar with the software and they *must* know what the candidates are expected to do during the assessment, so that they can spot any attempts to cheat.

### Skills and Access

5. It *must* be ensured that all students have access to the required technology needed to carry out the assessment.
6. Reasonable Adjustments *may* be possible for students with dyslexia or other disabilities. This *must* be arranged in advance of the assessment in consultation with Student Disability Services (see [Section 4.3: Special Examination Arrangements](#)).
7. If any specific technical skills are required to undertake an assessment, students *must* have been given a training opportunity to acquire these skills in advance of the assessment.

### Further Guidance

8. More detailed information on the operation of digital examinations is available in [Annex 4.5.1 E-Assessment Requirements Guidelines](#).
9. Further advice and guidance is available from the Digital Education team.

## 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.

## 3.6 Attendance Requirements & Eligibility for Assessment

1. UCL's minimum attendance requirement is 70%. Departments *may* stipulate a higher percentage and/ or additional requirements where appropriate (see [Chapter 1, Section 4.3: Attendance Requirements](#) for details).
2. A student whose monitored attendance falls below the attendance requirement is ineligible for summative assessment in that module and will be subject to the regulations in [Chapter 1, Section 9.2: Barring Students from Assessment](#).
3. A student who is absent due to illness or other Extenuating Circumstances *must* notify their Department as soon as possible following the procedures in [Section 6: Extenuating Circumstances](#).

## 3.7 Undergraduate Requirements to Complete a Module

1. An undergraduate module is 'Complete' when a student has been academically assessed in all of the examined components relating to the module.
2. An undergraduate module is 'Passed' when a student has been academically assessed in all of the examined components relating to the module **and** achieved the Pass Mark for the module as a whole.
3. Students *must* Complete any component representing more than 20% of a module. Some programmes *may* also require students to Complete specified components with a lower weighting. Whenever Completion of a component is required, this *must* be clearly publicised to students.
4. The threshold for Completion *must* be set by the Department and *must* be clearly publicised to students. The threshold *should* normally be a requirement to submit at least a specified fraction

of the assessment. If the threshold for Completion is not reached, then the component will be judged 'Incomplete' and the student will receive a mark of zero.

5. If Completion of the component is not required for Completion of the module, or if no threshold criteria are set, then the mark obtained by the student, including zero, *must* be awarded for the component. The overall mark *must* be calculated in the usual way and the student declared 'Complete' for the component.
6. An examination or assessed component is deemed Complete if a student has submitted an answer that can be academically assessed. The mark awarded, however, might be zero. If a candidate makes little or no attempt at the examination or other form of assessment, the component and the module as a whole will be deemed 'Incomplete'.

### 3.8 Pass Mark

1. The Pass Mark at levels 4, 5 and 6 (Undergraduate and Graduate Certificate/ Diploma level) is 40.00%.
2. The Pass Mark at level 7 (Taught Postgraduate level) is 50.00%.

### 3.9 Requirements to Pass a Module

1. A module *may* include one or more summative assessment components.
2. One or more of those components *may* be Non-condonable (must be passed).
3. Components *may* be equally weighted, or some components *may* carry a higher weighting than others (e.g. Essay 60%, Presentation 40%).
4. The module mark *should* be determined from a weighted average of all component marks.
5. In order to pass a module at levels 4, 5 or 6 a student *must* achieve a weighted average of 40.00%, plus 40.00% in any Non-condonable component(s).
6. In order to pass a module at level 7 a student *must* achieve a weighted average of 50.00%, plus 50.00% in any Non-condonable component(s).
7. 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.

### 3.10 No Attempt or Minimal Attempt at Assessment

1. 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.
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 Section 6: Extenuating Circumstances.

### 3.11 Coursework 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 coursework 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* refer to Section 6: Extenuating Circumstances. If the EC is accepted, the student *may* be granted an extension. If the deadline has already passed, the late submission *may* be condoned i.e. the below penalties will not apply.



### Late Submission Penalties

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	
	40.00-100.00%	0-39.99%
Up to 2 working days late	Deduction of 10 percentage points, but no lower than 40.00%	No Penalty
2-5 working days late	Mark capped at 40.00%	No Penalty
More than 5 working days late	Mark of 0%	Mark of 0%

Modules at level 7	Component Mark	
	50.00-100.00%	0-49.99%
Up to 2 working days late	Deduction of 10 percentage points, but no lower than 50.00%	No Penalty
2-5 working days late	Mark capped at 50.00%	No Penalty
More than 5 working days late	Mark of 0%	Mark of 0%

4. Undergraduate students who submit before the second week of the third term will receive a mark of 0% but will be considered Complete.
5. 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.
6. In the case of coursework that is submitted over- or under-length and is also late, the greater of any penalties *must* apply.
7. 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.
8. 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.
9. 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.

## 3.12 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 for that Component and *must not* take the student's mark below the Pass Mark (see [Section 3.8](#)).
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.

# 4 Examinations

The Examinations regulations outline UCL's threshold expectations for students sitting unseen written examinations.

## 4.1 Overarching Principles

Principle 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](#).

## 4.2 Examination Timetable

### Module Verification

1. Students must verify whether their modules on Portico are correct to ensure they are entered for the correct examinations by the deadlines published by UCL Student Records each year:
  - a) September start students: Modules must be verified by Week 11 of term 1
  - b) January start students: Modules must be verified by Week 2 of term 2
2. Where a student is not registered on the correct modules by the stated deadlines, their module choices will not be reflected in the examination timetable. Consequently the student may have a timetable clash and/or there may not be room in the examination venue on the scheduled examination date. In such circumstances, students may be required to undertake the examination in their Department.

### Timetable

3. UCL Examinations is responsible for publishing the Examination Timetable for students.
4. Some Departments or non-UCL colleges *may* also schedule additional examinations at other times of the year. Departments and colleges are responsible for notifying students about the arrangements for any such examinations.
5. Students are responsible for ensuring that they know the date, time and location of each paper they are registered to take, whether organised by the central UCL Examinations or the Department, and that they are available to sit all scheduled examinations.
6. Students *must* notify their Department of any timetabling inaccuracies at the earliest possible time.

### Venues

7. UCL examinations are held in a number of different locations, some of which are away from the main Bloomsbury Campus. Detailed information about the venues in use each year, including location codes and maps, will be made available to view online when the timetable is published.
8. Practical and oral examinations will normally be held in departmental accommodation. Students *should* contact the teaching Department for information about the date, time and location of such examinations.
9. Only students with approved Special Examination Arrangements are permitted to sit examinations in one of the UCL special facility venues (see [Section 4.3 below](#)).
10. Intercollegiate examinations are usually held at the college where the module is taught. Intercollegiate candidates with Special Examination Arrangements will usually sit examinations at their home college.
11. UCL students taking examinations at other colleges as part of the University of London's Intercollegiate Scheme *must* abide by the regulations of the college they are attending. Similarly, students from other colleges taking examinations at UCL are subject to UCL's regulations for examinations as detailed herein.

## 4.3 Special Examination Arrangements

1. Special Examination Arrangements (SEAs) are adjustments to central or departmental/divisional written examinations which can be made as a Reasonable Adjustment for students with a disability or longer-term condition or as a form of mitigation for students with shorter-term medical Extenuating Circumstances.
2. Special Examination Arrangements can include, but are not limited to:
  - Extra time
  - A separate room
  - Rest breaks
  - Specialist equipment
3. Students should complete an [online application for Special Examination Arrangements \(SEAs\)](#) available from the Student Disability Services webpages and submit the required documentary evidence when requested to do so.
4. [Student Disability Services \(SDS\)](#) can help students with a disability to complete their online application.
5. UCL Examinations is responsible for confirming and implementing the necessary adjustments.

### Application Deadlines

6. SEA applications *must* be received by Student Disability Services (SDS) five weeks before the main examination period and three weeks before the Late Summer Assessment examination period.
7. For all other examination periods, SEA applications *must* be received by Student Disability Services (SDS) six weeks before the examination.
8. Applications received after the deadlines (Late SEA Applications) will only be considered from students who suffer sudden illness or accidental injury.
9. Late SEA applications *must* be received by Student Disability Services (SDS) no later than seven calendar days before the examination.
10. Where applications are received after the deadlines students *should* apply for a deferral to the next normal occasion under the regulations in [Section 6: Extenuating Circumstances](#).

### Other Reasonable Adjustments

11. SEAs only apply to unseen written examinations. UCL supports students undertaking other assessment methods, including coursework, via the provisions in [Section 5: Reasonable Adjustments](#).

## 4.4 Identification

1. To gain admission to the hall, students *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 a student fails to produce an approved means of identification on the day, they *must* sign a declaration of identity form and a label will be attached to the examination answer book to notify the examiner.

## 4.5 Items Permitted in Examination Halls

1. Students *must not* have unauthorised items on or under their desk or about their person. All unauthorised items will be confiscated for the duration of the examination.
2. If a student finds that they have inadvertently brought unauthorised items into an examination the student *must* inform a member of invigilation staff immediately.
3. The following items **are permitted** in a written, practical, oral or other examination:
  - 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 examiner

- e) Calculators (approved models only – see below)
  - f) Mathematical instruments
  - g) Clear pencil cases containing pens, pencils (for MCQ examinations and diagrams only), highlighter pens, correction fluid/tape, erasers, sharpeners and small bottles of ink
  - h) Bottles of still (non-carbonated) water only (except for laboratory exams).
4. The following items **are prohibited** in a written, practical, oral or other examination:
    - a) Revision or course notes
    - b) Books, statutes or dictionaries (except where approved by the examiner – see below)
    - c) Paper for rough work
    - d) Laptops, audio players, or devices with internet or data storage capabilities
    - e) Opaque pencil cases or staplers
    - f) Food or other hot/cold drinks (except on medical grounds (prior approval required))
    - g) E-cigarettes
    - h) Ear plugs (except on medical grounds (prior approval required))
    - i) Headgear (except that which worn on religious or medical grounds (prior approval required for the latter))
  5. Students *should* leave all non-essential items at home as UCL cannot accept responsibility for the loss of property or guarantee its safety.
  6. Students *must* follow the directions of the invigilation staff in regards to bags, coats, revision notes or other prohibited items.
  7. All valuables, including wallets and travel cards, *must* be placed under the examination desk in the plastic wallet provided.
  8. Students are not permitted to keep their examination timetable on their desk during examinations. Timetables *must* be placed under the desk in the plastic wallet provided.

### **Mobile Phones and Communication Devices**

9. All mobile phones, smart watches and other communication devices *must* be switched off before students enter the examination hall.
10. Students *must not* have mobile phones, smart watches or communication devices on their desk or about their person and *must* instead place them under the examination desk in the plastic wallet provided.
11. Students *must not* send or receive calls or messages during an examination, or allow ringtones or pre-set alarms to cause a disturbance.

### **Electronic Calculators**

12. Programme Boards of Examiners will determine whether students are permitted to use an electronic calculator in a particular examination.
13. At all other examinations, the unauthorised use of electronic calculators is not permitted and will be treated as an examination offence. Random checks will be made during examinations to ensure that these regulations are complied with.
14. UCL has approved a standard calculator for use in examinations. Students will be committing an examination offence if they are found using the wrong model. Further details are available in the Examination Guide for Candidates published each year on the Examinations and Awards website.
15. Exceptionally, a Department *may* approve the use of non-standard calculators for one or more of its examinations. In such circumstances, the Department will inform all students taking the examinations concerned what type of calculators will be permitted in the examination hall. If students are in any doubt, they *should* consult their tutor. Students *may* still need a UCL-approved calculator if they are taking examinations for modules taught by other Departments.
16. Students *must* indicate the make and model of calculator used on the front of their examination answer book.
17. Students *must* ensure that their calculator is in good working order and provide themselves with an alternative means of calculating *should* the calculator fail during an examination. Spare calculators will not be available at the hall on the day.
18. Where credit *may* be given for using the correct method when a final answer is wrong, the student *must* provide the examiner with sufficient information about the process of derivation. Further details are available in the Examination Guide for Candidates published each year on the Examinations and Awards website.

19. The use of material stored in the pre-programmable memory of a calculator will normally constitute an examination offence.

### Reference Materials

20. For some examinations reference materials *may* be provided by the examiner. There *may* also be occasions when students are instructed, in advance of the examination, to bring specific documents with them to the hall. Such documents *must* be unmarked unless the examiner has indicated otherwise.

### Dictionaries

21. The use of paper or electronic dictionaries 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 UCL Examinations in writing before the examination.
22. At all other examinations, the unauthorised use of dictionaries is banned and will be treated as an examination offence. Random checks will be made during examinations to ensure that these regulations are complied with.

## 4.6 At the Start of the Exam

1. UCL morning and afternoon examinations start at 10.00am and 2.30pm respectively unless otherwise indicated on the timetable; students *must* note any exceptions that apply to them.
2. Students *should* arrive at the hall between 10 and 20 minutes before the start of the examination.
3. Students *must* observe any instructions given on the day by invigilation staff, examiners or other staff responsible for the conduct of examinations.
4. Students *must* sit in their allocated seat. Seat numbers will be used to verify attendance and to ensure that marks are awarded to the correct candidate.
5. Students *must not* speak to other candidates once they have entered the hall.

## 4.7 Candidate Numbers

1. All UCL written examinations *must* be examined anonymously by candidate number instead of name.
2. Students *must* display both their candidate number card and their identification ([see 4.4 above](#)) on the desk at each examination.
3. Students *must* enter their candidate number in the space provided on all examination answer books (with the exception of Multiple Choice Question [MCQ] papers, where the student number *should* be used) unless instructed otherwise on the day.

## 4.8 Question Papers

1. Students *must not* begin reading the question paper before the start of the examination. However, students *should* check that the examination code and title on the front cover of the question paper are correct. Students *must* alert a member of invigilation staff immediately if they have been given the wrong paper.

## 4.9 Answer Books

1. Prior to the start of the examination students *may* enter the following information on the front cover of the answer book:
  - a) Candidate number
  - b) Student number (MCQ cards only)
  - c) Seat number
  - d) The examination title and code
  - e) The date and venue
  - f) The make and model of the student's calculator (if applicable)

2. Students *must not* write anything else on their answer book or question paper, or any other materials present on their desk, before the start of the examination unless told to do so by the supervisor (for computer users, this includes typing).
3. Students *must* write clearly in English, or the language specified for the examination.
4. Students *must* write only in blue or black ink (or in the case of MCQ examinations, pencil).
5. Pencils *may* be used for drawing diagrams, charts, graphs or other illustrations.
6. Examiners *may* refuse to mark any answers which are illegible.
7. All rough work *must* be done in the answer book and crossed through; scrap paper *must not* be used.
8. Students *should* cross through any questions answered over and above the number required or any other work which the student does not wish to be marked.
9. Students *should* only request a supplementary answer book when their main answer book is full.
10. Students *must not* write their name on any answer books or materials submitted for marking, to ensure their anonymity is maintained.
11. Students *must* enter the following information on the front cover of their main answer book in the boxes provided:
  - a) The number of answer books used
  - b) The question numbers answered in the order attempted
12. Students *must* enter the following information on all used answer books:
  - a) Candidate number
  - b) Seat number
13. Students *must* ensure that all answer books, supplementary books and any other materials to be submitted for marking (except MCQ cards) are tied securely behind their main answer book using the tag provided. MCQ cards *should* be handed in separately.
14. When the time permitted for the examination has passed, students will be given one extra minute to prepare their answer books for collection, including tying books together and completing the front cover(s). When the end of the one minute allowance is announced students *must* stop writing immediately. It is an examination offence to continue writing after the one minute allowance has passed.
15. When time is called, students *must not* speak to other candidates and *must* remain silent in their seat until all answer books have been collected.
16. With the exception of those papers clearly marked not to be removed from the hall, students *may* take away their copy of the question paper. However students *must not* take out of the hall any used or unused answer books, restricted question papers, or other items of examination stationery.
17. If a student removes a completed answer book from the examination hall this will constitute an examination offence and the work will not be marked.

## 4.10 Students Arriving Late for an Exam

1. Students arriving less than 30 minutes late will be allowed into the hall to sit the examination but will forfeit any time already elapsed. The student *must* report to an invigilator so that the time of arrival can be recorded and any instructions provided.
2. Students arriving more than 30 minutes late will not be allowed into the hall but will be directed to their parent Department (intercollegiate candidates *should* go to the appropriate teaching Department). If the Department agrees, and the normal end time for the examination has not yet passed, the student *may* be permitted to sit the examination but 30 minutes will be deducted from the time allowed. Students *must* complete a declaration form indicating why they arrived late and confirming that they have neither seen the question paper nor been in contact with any candidates who have seen the paper. The decision of the home Department is final and the central examinations team cannot accommodate any student not permitted to sit by their Department.
3. Students arriving after the normal end time of the examination *must not* be permitted to sit the examination.

## 4.11 Leaving the Hall during an Exam

1. Students *must not* leave the hall during the first 30 minutes or the last 15 minutes of the examination. Toilet visits are not normally permitted during these times.
2. At all other times, students *must not* leave their seat without first seeking permission, except in cases of illness or emergency. Students *must* notify the invigilators by raising their hand if they have a query, feel unwell, need more stationery or the toilet, or want to leave the hall permanently after the first 30 minutes or before the last 15 minutes of the examination.
3. In case of illness or emergency, students *must* only leave their seat if accompanied by a member of invigilation staff.
4. All candidates *must* be accompanied on toilet visits and each visit will be recorded on the attendance sheet.
5. If a student wishes to leave the hall permanently after the first 30 minutes but before the designated finish time, they *must* raise their hand and remain in their seat until their answer books have been collected.

## 4.12 At the end of the Examination

1. Each examination will include 15 and 5 minute warning announcements.
2. Once the final 15 minute warning has been announced, students *must* remain in their seat until the answer books for all candidates have been collected and students are told they may leave.
3. Students *should* leave the hall quickly and quietly when told to do so by the supervisor as there *may* be longer examinations taking place in the same hall.
4. Students *must* collect their valuables from the plastic wallet under their desk and place the empty wallet on their desk before leaving the hall.

## 4.13 Examinations & Extenuating Circumstances

1. If illness or other Extenuating Circumstances prevent a student from attending an examination, or affect a student's performance at an examination, the student *must* submit an EC Form, together with appropriate supporting evidence, as soon as possible and no later than one week after the circumstance has taken place, to their home Department/Faculty. Circumstances for which allowance has already been made (e.g. extra time allowed for Special Examination Arrangements) will not normally be eligible for any further mitigation. However, an acute episode or sudden worsening of a long-term or chronic condition will be considered under the EC provisions.
2. For further details see [Section 6: Extenuating Circumstances](#).

## 4.14 Unauthorised Absence from an Examination

1. If a student is absent from an examination or other form of assessment without permission, or, although present at an examination, either does not attempt the paper or attempts so little that it cannot be assessed, and provides no evidence of Extenuating Circumstances, then the student will be awarded a mark of zero for the missed/non-attempted examination and will not be deemed to have completed the module.
2. For further details see [Section 11: Consequences of Failure](#).

## 4.15 Emergency Evacuation Procedure

1. In the event of an emergency, the hall supervisor will tell students to leave all materials on their desks and direct them to the nearest exit. Examination conditions will still apply and students *must not* speak to any other candidates on any topic.

## 4.16 Examination Offences

1. UCL takes matters of examination misconduct very seriously. The following are examples of actions that constitute examination offences:



- a) Cheating, attempting to cheat or assisting someone else to cheat
  - b) Having unauthorised items on or under the desk or about one's person
  - c) Writing before the start of the examination or after the one minute allowance has passed
  - d) Writing notes on hands, arms or other parts of the body
  - e) Leaving the hall unaccompanied or without permission
  - f) Tampering with answer books, question papers or other examination stationery
  - g) Committing plagiarism or self-plagiarism
  - h) Causing a disturbance or disrupting the examination process
2. Anyone suspected of an examination offence will be reported to the UCL authorities and *may* be called to appear before an Examination Irregularities Panel. Penalties for examination offences include, but are not limited to, formal reprimand, disqualification from one or all examinations for the session, and exclusion from UCL on a temporary or permanent basis.
  3. For further details see Section 14: Examination Irregularities and Plagiarism.

# 5 Reasonable Adjustments

The Reasonable Adjustments regulations define how UCL supports students with a disability or long-term medical or mental health condition throughout their learning, teaching and assessment experience. They cover students at all levels of study, including taught and research students.

## 5.1 Overarching Principles

Principle 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.

Principle 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.

## 5.2 Student 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 Student Disability Services (SDS) about your condition and support needs.

Or

Contact Student Disability Services (SDS) directly at any stage during your studies to request a confidential 1:1 appointment.



### Step 2:

Continue to liaise with SDS via email or phone, or attend an appointment. A member of the SDS 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 online application for Special Examination Arrangements
- Onward referral for non-medical help (e.g. specialist tuition, mental health mentoring, note-taking support)



### Step 3:

Remain in contact with SDS throughout your studies and request a review of support as and when you feel it is necessary.

## 5.3 Scope & Definitions

1. The Reasonable Adjustments regulations apply to all UCL undergraduate and postgraduate taught and research students.
2. 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.
3. Under the Act, a disability is defined as a physical or mental impairment that has a substantial and long-term negative effect on a person's ability to do normal daily activities. 'Substantial' is more than minor or trivial, e.g. it takes much longer than it usually would to complete a daily task like getting dressed. 'Long-term' generally means the condition has lasted, or is likely to last, 12 months or more, although UCL also provides support for students with shorter-term conditions.
4. A disability can arise from a wide range of impairments which can include, but are not limited to:
  - a) Specific learning difficulties (e.g. dyslexia, dyspraxia)
  - b) Mental health difficulties (e.g. depression, anxiety, schizophrenia)
  - c) Mobility difficulties (e.g. wheelchair users, back pain, hypermobility)
  - d) Blindness or visual impairment
  - e) Deafness or hearing impairment
  - f) Autistic spectrum conditions (e.g. Asperger syndrome)
  - g) Long-term health issues (e.g. diabetes, arthritis, cancer, HIV, autoimmune conditions)
  - h) Progressive conditions (e.g. motor neurone disease, muscular dystrophy, forms of dementia)
  - i) Fluctuating or recurring conditions (e.g. bipolar disorder, epilepsy, rheumatoid arthritis, myalgic encephalitis (ME), chronic fatigue syndrome (CFS))

## 5.4 Academic & Competency Standards

1. The aim of Reasonable Adjustments is to ensure that all students are able to demonstrate the full extent of their academic abilities, irrespective of a disability or long-term condition. All UCL programmes require students to reach specific academic standards in order to be awarded a UCL qualification and some also have particular Competency Standards associated with professional accreditation. UCL will not reduce or change those standards, but it is committed to ensuring that the methods of assessing those standards do not put disabled students at a disadvantage.

## 5.5 Support Available to Students

1. Reasonable Adjustments can take a wide range of forms and Student Disability Services (SDS) will work with the student to agree the best support for them. The SDS website provides detailed information about the types of support available for different conditions such as:
  - a) Additional tuition and library access for students with specific learning difficulties
  - b) Support mechanisms and workload planning for students with mental health difficulties
  - c) Ensuring there is physical access for students with mobility difficulties
  - d) Providing materials in an alternative format for students who are blind or have a visual impairment
  - e) Providing materials in an alternative format for students who are deaf or have a hearing impairment
  - f) Support mechanisms and workload planning for students with autistic spectrum conditions
  - g) Support mechanisms and workload planning for students with long-term health issues, progressive conditions, fluctuating conditions or recurring conditions
2. There are a number of other ways in which UCL can support students in addition to Reasonable Adjustments, including:

## Special Examination Arrangements

3. Students may also apply for Special Examination Arrangements (SEAs) via a **separate online application process**. SEAs are adjustments to central or departmental written examinations which can be made as a form of Reasonable Adjustment for students with a disability or long-term condition **or** as a form of mitigation for students with shorter-term Extenuating Circumstances - see [Section 4.3: Special Examination Arrangements](#).

## Interruption of Study

4. Where a student is affected by adverse circumstances for an extended period of time they may decide to apply for an Interruption of Study - see [Chapter 1, Section 4.6 Interruption of Study](#).

## Support to Study Policy and Fitness to Study Procedure

5. Where a student's physical or mental health gives rise to concerns about their fitness to study, their capacity to engage with their studies and/ or their behaviour in relation to the UCL community as a whole, the Support to Study Policy and Fitness to Study Procedure may apply - see [Chapter 1, Section 10.1: Support to Study](#) and [Section 10.2: Fitness to Study Procedure](#).

## Pregnancy and Maternity

6. Pregnancy, maternity and being a carer are protected characteristics under the Equality Act 2010. In accordance with this, account will be taken of any constraints for the assessment of students owing to pregnancy or maternity. Reasonable adjustments will be made where possible.
7. Students should contact [UCL Examinations](#) or [Student Support & Wellbeing](#) to find out what options are available (support is not provided by Student Disability Services or via a SORA).

## Religious Observance and Cultural Traditions

8. In accordance with UCL's policy for cultural and religious inclusiveness, account will be taken of any constraints for the assessment of students owing to cultural or religious observance. Reasonable adjustments will be made where possible.
9. Students should contact [UCL Examinations](#) or [Student Support & Wellbeing](#) to find out what options are available (support is not provided by Student Disability Services or via a SORA).

## Extenuating Circumstances

10. Students with Reasonable Adjustments may also need to use the Extenuating Circumstances (EC) regulations if they experience something sudden, unexpected, significantly disruptive and beyond their control and which affects their performance at assessment, such as a serious illness or the death of a close relative. [Section 6: Extenuating Circumstances](#) covers:
  - a) A one-off coursework extension (where this is not an agreed part of a SORA – see [Section 5.12 below](#))
  - b) Condoned late submission of coursework
  - c) An alternative method of assessment (approved by the External Examiner)
  - d) Deferral of assessment to the next occasion
  - e) Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, up to a maximum of 30 credits in each year of study.

## 5.6 Longer-term Conditions

1. Ongoing medical or mental health conditions are not usually considered to fall within the definition of ECs because UCL supports the student through Reasonable Adjustments. However there may be times when a student with a disability or ongoing medical or mental health condition needs to use the Extenuating Circumstances procedures if they feel they need a one-off coursework extension, a Deferral of assessment or some other form of shorter-term help. Examples include, but are not limited to:
  - a) An acute episode or crisis
  - b) A serious worsening of their condition
  - c) A mental health problem which may fluctuate unpredictably
  - d) An acute flare-up of a mental health or medical condition due to increased exam stress
  - e) A new condition

- f) Circumstances where there may be insufficient time to put Reasonable Adjustments in place
  - g) A severe long-term illness which can only be addressed by an extension, Deferral or other form of one-off mitigation.
2. Longer-term medical or mental health conditions can fall between the definition of a 'disability' and an 'Extenuating Circumstance'. In such cases it may be appropriate to support the student through a combination of **both** Reasonable Adjustments and Extenuating Circumstances. The options in [Section 5.5](#) - such as Interruption of Study, Special Examination Arrangements and Fitness to Study - should also be considered. The principal aim should be to draw up a support package which provides the best level of care for the student concerned but which also ensures that arrangements uphold the academic standards of UCL and do not unfairly advantage or disadvantage any student over another.
  3. If a student has questions about a longer-term condition or is unsure of which procedure to use, they should contact their Personal Tutor, Programme Leader, departmental administrator, Student Disability Services or Student Psychological Services who can help the student to assess the options open to them and provide assistance in completing the relevant forms.

## 5.7 Postgraduate Research Students

1. These Reasonable Adjustments regulations also apply to UCL Postgraduate Research students, including MPhil/ PhD, Professional Doctorate and MRes students. A student may need Reasonable Adjustments for some or all of the following:
  - a) Supervision meetings, seminars, tutorials and symposia
  - b) Field trips and study leave
  - c) The upgrade meeting
  - d) Completion of the thesis and any other documentation or artefacts
  - e) The assessment of any taught components on the degree
  - f) The oral/viva examination
2. Where student requires support they should follow the procedures outlined in this chapter, noting in particular the need to declare their condition (see [Section 5.8](#)) and to work with [Student Disability Services](#), their Supervisor and their Department to draw up a Summary of Reasonable Adjustments (SORA) (see [Section 5.10](#)).
3. At the point of upgrade and final examination in particular, Supervisors and Examiners must ensure that the candidate's needs are taken into consideration. If staff or students have any questions about putting Reasonable Adjustments in place they should contact [Student Disability Services](#) for advice.

## 5.8 Declaring a Condition

1. Students are responsible for declaring a disability or other long-term medical or mental health condition so that UCL can support them throughout their studies:
  - a) Students are strongly encouraged to declare their condition at the application stage or during pre-enrolment.
  - b) Students may also contact Student Disability Services directly at any stage during their studies to request a confidential one-to-one appointment.

### **Confidentiality**

2. Any information relating to a student's disability or Reasonable Adjustments is treated confidentially. Where information needs to be shared with members of the UCL community in order to facilitate support for the student, this will be done only with the student's consent and on a 'need-to-know' basis.

### **Full and Partial Declaration**

3. Students are encouraged to fully declare their condition so that UCL can ensure that learning, teaching and assessment processes are adjusted to their needs. A full declaration means that all UCL staff directly involved in the student's education have access to information about the adjustments which need to be made.

4. Students do have the option of only partially declaring their condition. This means that the student chooses which members of staff have access to information about their adjustments or chooses what details are disclosed. However, if a student only partially declares a condition UCL may not be able to offer the student all the support that they need.

### **Non-disclosure**

5. Where a student does not declare a condition, UCL will not be able to offer any support.

## 5.9 Accessing Support

1. Where a student declares a condition at application or pre-enrolment, they will be invited to complete an Applicant Support Questionnaire giving UCL more information about their condition and support needs. Alternatively, any student may request a confidential one-to-one appointment with a member of Student Disability Services at any time during their studies to discuss their needs.

### **Medical Evidence**

2. Students may be asked for medical evidence so that UCL can assess their needs and arrange Reasonable Adjustments. Student Support and Wellbeing's Medical Evidence Guidance provides further information and advice.

### **Follow-on Actions**

3. On receipt of the Applicant Support Questionnaire, or following initial contact from the student, SDS will liaise with the student, via email, phone or one-to-one appointments, to discuss their support needs in more detail and agree appropriate follow-on actions, such as:
  - a) Production of a Summary of Reasonable Adjustments (SORA) (Section 5.10)
  - b) Email liaison with the student's department, Information Services (ISD) or Library
  - c) Completion of an online application for Special Examination Arrangements (Section 4.3)
  - d) Onward referral for non-medical help (e.g. specialist tuition, mental health mentoring, note-taking support).

## 5.10 Summary of Reasonable Adjustments (SORA)

1. All students with a disability or long-term condition should work with Student Disability Services and their Departmental Disability Officer to draw up a Summary of Reasonable Adjustments (SORA). There are a number of different SORA templates for different purposes; Student Disability Services will decide which template is most appropriate.
2. The SORA should take into account both the student's needs and the curriculum on their specific programme of study, helping to ensure that adjustments are appropriate to the activities which a student will be undertaking, such as lab work, field trips, coursework, examinations etc.
3. The student may decide:
  - a) Whether or not to involve the Departmental Disability Officer in this process.
  - b) Whether or not to involve their tutor, module organiser, supervisor, programme leader or other academic or professional staff in this process.
  - c) How much information they want to disclose about their condition or adjustments.
4. Students must note that, if they choose not to disclose information, UCL may not be able to offer the student all the support that they need.
5. Once the SORA has been agreed with the student, it will be shared with the appropriate department(s) or service(s), taking account of the student's preferences for the disclosure of information.
6. If a department or service has any queries about the recommendations they should contact Student Disability Services for advice.

## Assessments Taking Place before the SORA is Agreed

7. The start of the academic year is always a busy time for Student Disability Services and it may not be possible to give students an appointment as quickly as we would like. Where a student provides evidence that they have made an appointment with SDS but is yet to be seen, the Faculty Extenuating Circumstances Panel may use its discretion to allow students with a disability or other long-term condition additional time or other Reasonable Adjustments - see Section 6: Extenuating Circumstances for details of how to apply.

## 5.11 Changes in a Student's Condition

1. Where a student's condition is relatively stable, adjustments can be agreed for the whole of their time with UCL. However, a student's condition can fluctuate or worsen over time and they might need different levels of support at different times. Student Disability Services will try to take these fluctuations into account in the SORA, but there may be a need to review the student's adjustments at regular points during their programme.
2. Students are responsible for considering their needs regularly and must contact SDS if they think that any changes need to be made to their SORA.

## 5.12 Extensions as a Form of Reasonable Adjustment

1. Reasonable Adjustments include a wide range of options to support students which can be much more effective than regular extensions. Extensions can mean that a student falls behind fellow students and they often clash with other deadlines and teaching activities. However there may be times when Student Disability Services recommends that a student needs regular extensions to support their condition. If this is considered to be an appropriate adjustment for the student, this should be explicitly stated in the SORA.
2. Such students do not need to complete a separate EC Form. Departments and Module Organisers should assume that the student is using the extended deadline on all eligible assessments unless the student informs them otherwise.
3. If a Department or Module Organiser has concerns about granting an extension – for example if it is likely to impact on the student's ability to attend teaching activities or complete other assessments – the Department should liaise with the student and with Student Disability Services to agree the deadline for submission.
4. If extensions are not explicitly included in a student's SORA then the same regulations around extensions apply to that student as to all other students i.e. they must submit an EC Form under the regulations in Section 6: Extenuating Circumstances.

## 5.13 Attendance Requirements

1. UCL's minimum attendance requirement is 70% (see Chapter 1, Section 4.3 Attendance Requirements). UCL expects students to aim for 100% attendance, and includes Reasonable Adjustments in the minimum requirement of 70%. As a result, UCL will not normally consider lowering the minimum attendance requirement as a form of Reasonable Adjustment. Any student on a Tier 4 visa who is absent from UCL must obtain authorisation under the procedures set out in Chapter 1, Section 4.4: Authorised Absence for Students on a Tier 4 Visa.

## 5.14 Study Abroad

1. Student Disability Services can provide advice on Reasonable Adjustments for students on a Study Abroad Year, and will work with the receiving institution, subject to the student's consent, to ensure that details of support requirements are communicated.

## 5.15 Placements & Occupational Health

1. Where a programme includes a professional placement, such as teacher training or a health care placement, students are required to declare any condition which might impact on their ability to undertake the placement at the application stage or during pre-enrolment.
2. If any health-related issues arise during a student's programme, the student can contact [Occupational Health and Wellbeing](#) (OHW) directly for a confidential one-to-one appointment at any time. The student's tutor or Programme Leader may also refer the student to OHW using the Student Referral Form.
3. Where a student declares a condition, OHW will invite the student to an appointment to discuss their support needs. OHW will draw up a report giving suggestions on the support and adjustments that the placement provider may wish to consider. The placement provider, tutor and/ or programme leader are responsible for determining whether the adjustments are justified, reasonable and feasible in that environment.
4. Faculties or Departments may publish local Fitness to Practise policies covering students on professional placements on their programmes. Policies should be published on the Faculty/ Departmental website and communicated to students.

## 5.16 Accommodation & other Non-academic Services

1. These Reasonable Adjustments regulations cover UCL's provisions for learning, teaching and assessment. However students with a disability or long-term condition may also need Reasonable Adjustments to access accommodation or other UCL services. Students can discuss their needs with [Student Disability Services](#) or [Student Support and Wellbeing](#) as part of their application for academic Reasonable Adjustments, or they can contact SDS or SSW directly for a confidential one-to-one appointment at any time during their studies.

## 5.17 Further Guidance

- [UCL Declare \[video\]](#)
- [Student Disability Services](#)
- [Student Psychological Services](#)
- [Student Support and Wellbeing](#)
- [Occupational Health and Wellbeing](#)
- [Section 4.3 Special Examination Arrangements](#)
- [Section 6: Extenuating Circumstances](#)
- [Chapter 1, Section 10.1: Support to Study](#)
- [Chapter 1, Section 10.2: Fitness to Study Procedure](#)



# 6 Extenuating Circumstances

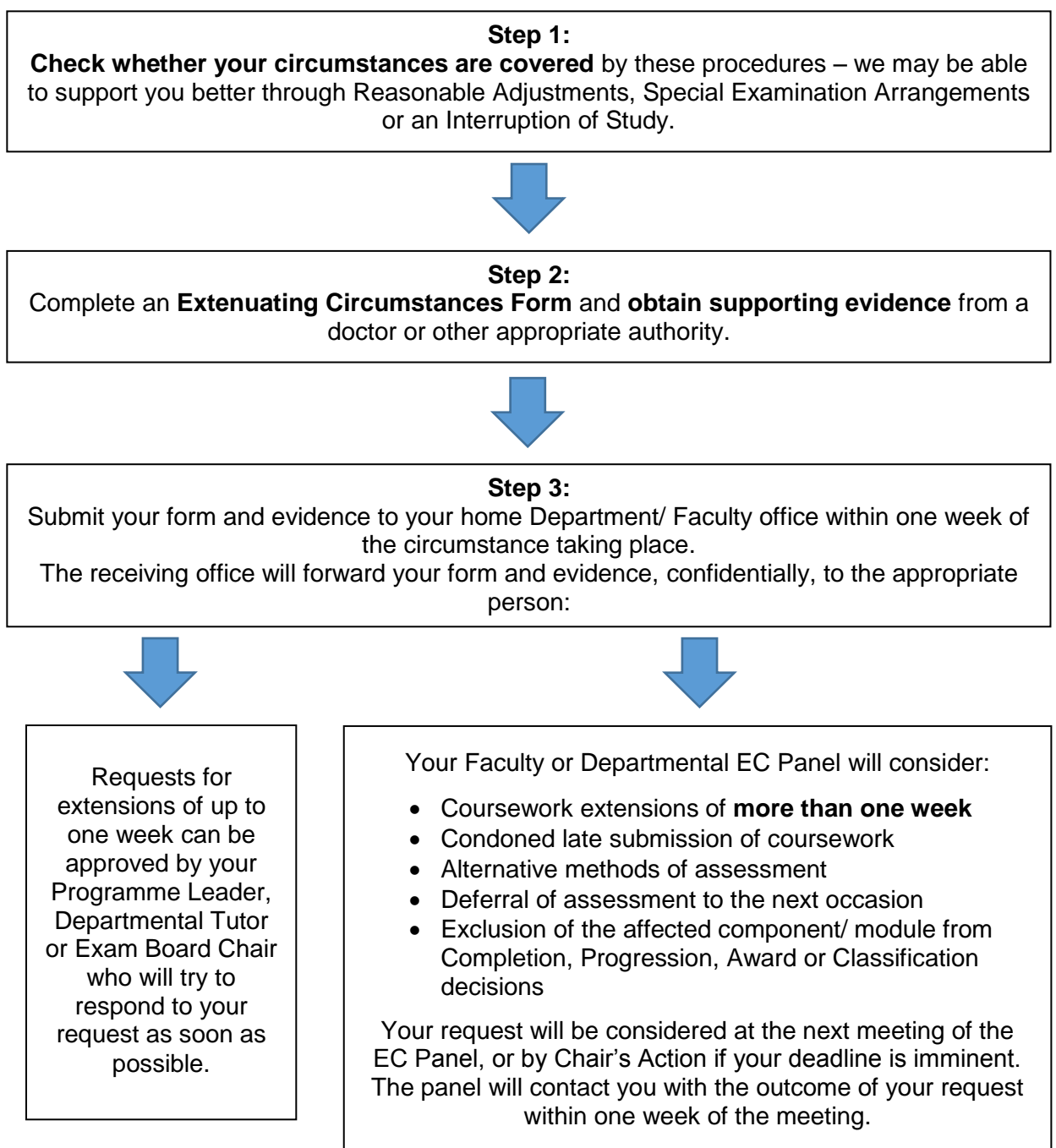
The Extenuating Circumstances regulations define how UCL can support students who experience sudden, unexpected difficulties which *may* affect their performance at assessment.

## 6.1 Overarching Principles

Principle 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.

Principle 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.

## 6.2 Student Guide to Applying for Extenuating Circumstances



## 6.3 Scope & Definitions

1. The Extenuating Circumstances (EC) regulations apply to the summative assessment of all UCL taught students and to postgraduate research students undertaking taught components/modules.
2. Extenuating Circumstances are defined as 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. Further guidance about the types of circumstances which are generally considered to be extenuating can be found in Annex 4.1.1: Grounds for Extenuating Circumstances.

### Information for Students

3. Departments *must* ensure that information about procedures, forms, evidence and deadlines for submission are published in the Student Handbook or equivalent from the start of the academic year and in the information provided for students about their assessment (see Section 2: Assessment Information).

### Authorised Absence for Students on a Tier 4 Visa

4. These regulations seek to ensure that a student's performance is not adversely impacted by an EC at assessment. **In addition**, any student who is studying at UCL on a Tier 4 visa and who is absent from UCL *must* obtain authorisation under the procedures set out in Chapter 1, Section 4.4: Authorised Absence for Students on a Tier 4 Visa.

### Intercollegiate and Affiliate Students

5. Incoming intercollegiate and affiliate students *may* use these UCL procedures for a coursework extension. For any other form of mitigation, such students are normally subject to the procedures at their home institution.
6. UCL students studying modules at other colleges are subject to these UCL procedures, although the receiving institution *may* provide some forms of mitigation, such as an extension, in consultation with the relevant UCL EC Panel. Students *should* ensure that their request makes clear that mitigation is being sought for an intercollegiate module and appropriate mitigation should be agreed with the receiving institution.

### ECs 'Banked' from Previous Years

7. Students with ECs 'banked' under the previous UCL EC regulations (i.e. students who submitted an EC in 2014-15 or earlier) *should* still have these circumstances taken into consideration by the Programme Board of Examiners. Any new requests made by such students will only be considered under the regulations herein i.e. no further ECs can be 'banked'.

### Multiple Requests for the Same Condition

8. Where a student submits repeat requests for the same condition, the Faculty/ Departmental EC Panel *may* use its discretion to continue to accept the requests or to reject a request and instead require the student to apply for Reasonable Adjustments – see Section 5. Where the EC Panel feels that this is necessary, the normal course of action is to accept the EC request in hand but warn the student that further requests for the same condition are unlikely to be permitted.

### Group Work

9. Where a student is affected by ECs and is working in a group, the EC Panel or Programme Team *should* use their discretion to consider the impact on other students in the group, for example if the EC prevents the group from meeting a deadline or from completing the required work.

## 6.4 Support Available to Students

1. The Extenuating Circumstances regulations cover two main procedures:

- a) A Programme Leader, Departmental Tutor or Exam Board Chair *may* approve a coursework extension of up to one week – see [Section 6.8](#) below.
  - b) The Faculty or Departmental Extenuating Circumstances Panel *may* approve the following forms of mitigation - see [Section 6.9](#) below:
    - A coursework extension of more than one week
    - Condoned late submission of coursework
    - An alternative method of assessment (approved by the External Examiner)
    - Deferral of assessment to the next occasion
    - Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, up to a maximum of 30 credits in each year of study.
2. There are a number of other ways in which UCL can support students, including:

### **Special Examination Arrangements**

3. Students *may* also apply for Special Examination Arrangements (SEAs) via a **separate online application process**. SEAs are adjustments to central or departmental written examinations which can be made as a form of Reasonable Adjustment for students with a disability or long-term condition **or** as a form of mitigation for students with shorter-term Extenuating Circumstances - see [Section 4.3: Special Examination Arrangements](#).

### **Interruption of Study**

4. Where a student is affected by adverse circumstances for an extended period of time they *may* decide to apply for an Interruption of Study - see [Chapter 1, Section 4.6 Interruption of Study](#).

### **Support to Study Policy and Fitness to Study Procedure**

5. Where a student's physical or mental health gives rise to concerns about their fitness to study, their capacity to engage with their studies and/ or their behaviour in relation to the UCL community as a whole, the Support to Study Policy and Fitness to Study Procedure *may* apply - see [Chapter 1, Section 10.1: Support to Study](#) and [Chapter 1, Section 10.2: Fitness to Study Procedure](#).

### **Reasonable Adjustments**

6. Students with a disability or ongoing medical or mental health condition *should* ensure that they apply for Reasonable Adjustments as this allows UCL to support them throughout their learning and assessment - see [Section 5: Reasonable Adjustments](#).

## **6.5 Longer-term Conditions**

1. Ongoing medical or mental health conditions are not usually considered to fall within the definition of ECs because UCL supports the student through Reasonable Adjustments (see [Section 5](#)). However there *may* be times when a student with a disability or ongoing medical or mental health condition needs to use the Extenuating Circumstances procedures if they feel they need a one-off coursework extension, a Deferral of assessment or some other form of shorter-term help. Examples include, but are not limited to:
  - a) An acute episode or crisis
  - b) A serious worsening of their condition
  - c) A mental health problem which may fluctuate unpredictably
  - d) An acute flare-up of a mental health or medical condition due to increased exam stress
  - e) A new condition
  - f) Circumstances where there may be insufficient time to put Reasonable Adjustments in place
  - g) A severe long-term illness which can only be addressed by an extension, Deferral or other form of one-off mitigation.
2. Longer-term medical or mental health conditions can fall between the definition of a 'disability' and an 'Extenuating Circumstance'. In such cases it *may* be appropriate to support the student through a combination of **both** Reasonable Adjustments and Extenuating Circumstances. The options in [Section 6.4](#) above - such as Interruption of Study, Special Examination Arrangements and Fitness to Study - *should* also be considered. The principal aim *should* be to draw up a support package which provides the best level of care for the student concerned

but which also ensures that arrangements uphold the academic standards of UCL and do not unfairly advantage or disadvantage any student over another.

3. If a student has questions about a longer-term condition or is unsure of which procedure to use, they *should* contact their Personal Tutor, Programme Leader, departmental administrator, Student Disability Services or Student Psychological Services who can help the student to assess the options open to them and provide assistance in completing the relevant forms.

### **Extensions**

4. There *may* be times when SDS recommends that a student with a disability or long-term condition needs regular extensions to coursework deadlines. If this is considered to be an appropriate adjustment for the student, this *should* be explicitly stated in the Summary of Reasonable Adjustments (SORA). Such students do not need to submit a separate EC Form for each assessment - see Section 5.12: Extensions as a Form of Reasonable Adjustment for further details.
5. If extensions are not explicitly included in a student's SORA then the same regulations around extensions apply to that student as to all other students i.e. they are subject to these Extenuating Circumstances regulations.

## **6.6 Confidentiality**

1. Any information relating to a student's EC *must* be treated confidentially. This means that sensitive information *should* only be accessible to the relevant Programme Leader/ Departmental Tutor/ Chair of Board of Examiners and the members and secretary of the home Faculty or Departmental EC Panel.
2. Communications to any other parties *must* only describe the form of mitigation which has been agreed and *must not* disclose any details of the circumstance itself. To facilitate this, the EC Form is divided into four sections:
  - Part 1: Student Details
  - Part 2: Details of the EC
  - Part 3: Supporting Evidence
  - Part 4: Decision
3. The person or body responsible for approving the request *must* ensure that only Parts 1 and 4 are included in communications to the teaching Department/College, UCL Student Records (where applicable) or any other body which needs to know about the mitigation required.
4. Once approved, the full EC Form (Parts 1 to 4 inclusive) *should* be sent to the secretary of the home Faculty or Departmental Extenuating Circumstances Panel for secure and confidential record-keeping.
5. If a student is concerned about disclosing particularly sensitive circumstances to a Departmental EC Panel or their Programme Leader/ Departmental Tutor/ Chair of Board of Examiners, they *may* ask that their request is considered by the Faculty Extenuating Circumstances Panel.

## **6.7 Evidence**

1. All EC requests *must* be supported by written evidence from an appropriate, independent authority such as:
  - a) A registered medical practitioner (i.e. listed in the GMC's List of Registered Medical Practitioners)
  - b) A solicitor
  - c) An undertaker or coroner
  - d) A registrar of births, marriages and deaths
  - e) A police or fire officer
  - f) A court or tribunal officer
2. Evidence *must* cover the full period for which the student is requesting mitigation.
3. Evidence *must* be provided in English or accompanied by a translation formally notarised by a solicitor.
4. UCL recognises that it can be very difficult to be asked for 'evidence' in the case of very sensitive circumstances such as the death of a close relative or sexual assault, or in the case

of sudden short term severe illnesses such as food poisoning. In such cases, the Faculty EC Panel *may* exercise its discretion to suspend the need for formal evidence (this cannot be delegated to a Departmental EC Panel or Programme Leader/ Departmental Tutor/ BoE Chair). However the Faculty EC Panel retains the right to require the student to submit formal evidence to support their request.

### **Students with Reasonable Adjustments**

5. Where a student is already in touch with Student Disability Services or Student Psychological Services, their Summary of Reasonable Adjustments (SORA) *may* be used as supporting evidence.

### **Late Evidence**

6. If a student is unable to obtain the necessary evidence within the deadlines stated herein they *should* still submit their form on time and indicate that their evidence is to follow. However, a decision cannot be made until evidence is received.

## **6.8 Extensions of Up to One Week**

1. A Programme Leader (or equivalent), Departmental Tutor or Exam Board Chair *may* approve a coursework extension of **up to one week**.
2. Other members of staff are not able to approve an extension.
3. Where a student with a disability or long-term condition needs regular extensions to coursework deadlines this *should* be explicitly stated in the Summary of Reasonable Adjustments (SORA). Such students do not need to submit a separate EC Form for each assessment. If extensions are not explicitly included in a student's SORA the student will need to complete an EC Form according to these procedures.

### **How to Apply**

4. Students *should* submit an EC Form, together with appropriate supporting evidence as described in Section 6.7 above, as soon as possible and **no more than one week after the Extenuating Circumstance has taken place, to their home Department/ Faculty office**. Student handbooks/ Moodle *should* include clear details of where to submit forms.
5. Where a student is unable to submit a request within these deadlines because the EC is still ongoing, they *should* refer to Section 6.11: Late EC Requests.
6. Students are responsible for submitting a request. If they are unable to make an application for themselves, their next of kin *may* submit a request on their behalf. A member of staff is not permitted to submit a request on a student's behalf. However where a student is severely affected by their condition, or having difficulties with the process, a tutor or other member of staff *may* assist the student in completing their form, or *may* refer the student to Student Support and Wellbeing, Student Disability Services or Student Psychological Services for assistance.
7. Where the request relates to a module taken outside of the student's home Faculty or Department, they *must* include the name of the teaching Department and clear information about the assessment concerned on their EC Form.

### **Approval**

8. The receiving office *should* forward the request to the relevant member of staff as soon as possible.
9. The member of staff *should* consider the request and the evidence presented with reference to Annex 4.1.1: Grounds for Extenuating Circumstances and make a decision as to whether an extension can be granted.
10. **Where an extension is agreed**, the new deadline *must* be communicated to the student in writing as soon as possible.
11. Where a Programme Leader, Departmental Tutor or Chair of the Programme Board of Examiners approves a request, the new deadline *should* also be communicated to the teaching Department/ College.
12. **Where an extension is not granted**, the decision *must* be communicated to the student in writing as soon as possible. Such students retain the right to submit a request for other forms of mitigation for consideration by the Faculty/ Departmental EC Panel.

13. Communications *must* include only the form of mitigation which has been agreed (i.e. Parts 1 and 4 of the EC Form) and *should not* include details of the EC itself.

### Record-keeping

14. Once a decision has been made, all completed request forms *should* be forwarded to the secretary of the relevant Faculty/ Departmental EC Panel for confidential and secure record-keeping.

## 6.9 Consideration by the EC Panel

### Forms of Mitigation

1. The following forms of mitigation *must* be approved by the Faculty or Departmental Extenuating Circumstances Panel (see [Section 6.13: Extenuating Circumstances Panels](#) for terms of reference, constitution and membership):
  - a) A coursework extension of more than one week
  - b) Condoned late submission of coursework
  - c) An alternative method of assessment (approved by the External Examiner)
  - d) Deferral of assessment
  - e) Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, up to a maximum of 30 credits in each year of study.

### How to Apply

2. Students *should* submit an [EC Form](#), together with appropriate supporting evidence as described in [Section 6.7 above](#), as soon as possible and **no more than one week after the Extenuating Circumstance has taken place, to their home Department/ Faculty office** - student handbooks/ Moodle *should* include clear details of where to submit forms.
3. Where a student is unable to submit a request within these deadlines because the EC is still ongoing, they *should* refer to [Section 6.11: Late EC Requests](#).
4. Students are responsible for submitting a request. If they are unable to make an application for themselves, their next of kin *may* submit a request on their behalf. A member of staff is not permitted to submit a request on a student's behalf. However where a student is severely affected by their condition, or having difficulties with the process, a tutor or other member of staff *may* assist the student in completing their form, or *may* refer the student to [Student Support and Wellbeing](#), [Student Disability Services](#) or [Student Psychological Services](#) for assistance.
5. Where the request relates to a module taken outside of the student's home Faculty or Department, they *must* include the name of the teaching Department and clear information about the assessment concerned on their EC Form.

### Approval

6. The receiving office *should* forward the EC Form to the secretary of the relevant Faculty or Departmental EC Panel (see [Annex 4.1.3: EC Panel Contact Details](#)).
7. The EC Panel *should* consider the request and the evidence presented with reference to [Annex 4.1.1: Grounds for Extenuating Circumstances](#) and determine whether one of the following types of mitigation can be provided:
  - a) To offer the student a specified extended deadline.
  - b) To condone the late submission of coursework (late submission penalties suspended and full mark awarded).
  - c) To offer the student a Deferral i.e. the opportunity to sit/ submit the assessment as if for the first time and without penalty at the next occasion, including where the student has already made an assessment attempt – see [Section 6.10: Deferred Assessment](#) for further details.
  - d) Subject to consultation with the Programme Leader and approval by the External Examiner, to offer the student an alternative method of assessment which allows the student to demonstrate achievement of the same learning outcomes.
  - e) To exclude the affected *component* from the Pass and/ or Completion requirements and/ or the module mark calculation, up to a maximum of 50% of a module, where Professional, Statutory and Regulatory Bodies permit.

- f) To exclude the affected *module* from the Progression or Award Requirements, including any Pass and Completion requirements, up to a maximum of 30 credits in each year of study (or 30 credits in each *level* of study for part-time or flexible programmes), provided that:
    - i. The student will still be able to meet the minimum credit requirements for the qualification, AND
    - ii. Any Professional, Statutory and Regulatory Bodies permit such an exclusion.
  - g) To exclude the affected *module* from the Classification calculation, up to a maximum of 30 credits across the whole programme.
8. **For interdepartmental or intercollegiate modules**, the type of mitigation *should* also be discussed with the teaching Department/ College to ensure that the mitigation is possible within and appropriate to the curriculum. The details of the EC itself *should not* be disclosed.
9. **Where further evidence is required**, the student *should* be asked to provide the missing evidence within a further two weeks. Where no further evidence is received, the EC Panel *should* reject the request and notify the student in writing.

### Communication of Outcomes

- 10. Students *should* be informed of the mitigation decision in writing within one week of the EC Panel meeting.
- 11. Within one week of the Panel meeting, the FECP/ DECP secretary *should* also communicate the mitigation decision for each affected module to:
  - a) The relevant Programme Board of Examiners
  - b) In the case of interdepartmental or intercollegiate modules, the relevant teaching Department or College
  - c) If the student is granted a Deferral, UCL Student Records
  - d) If an alternative method of assessment is recommended, UCL Examinations and the teaching Department
- 12. Communications *must* only include the form of mitigation which has been agreed (i.e. Parts 1 and 4 of the EC Form) and *should not* include details of the EC itself.

### Programme Board of Examiners

- 13. The Programme Board of Examiners (BoE) is responsible for applying the FECP/ DECP's decision, recalculating any results, confirming module marks and determining whether the student *may* progress or graduate.
- 14. The BoE *should* receive only the mitigation decision (Parts 1 and 4 of the EC Form). Only the Chair and Secretary of the BoE *should* have access to the full EC Form (Parts 1 to 4 inclusive) in order to verify information.
- 15. In order to respect the sensitive nature of students' circumstances and to ensure that the academic standards of UCL are upheld, the BoE *must* ensure that:
  - a) Only ECs validated by the Faculty/ Departmental EC Panel are received
  - b) New cases are not raised at the meeting of the Board
  - c) The nature or severity of the EC is not discussed
  - d) Marks are not adjusted in any circumstances
  - e) Students are not raised from a fail to a pass
- 16. Students *should* refer to Section 15: Award of Degrees for information about when they can expect to receive their formal results following the BoE meeting.

## 6.10 Deferred Assessment

### 6.10.1 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 3.8). Students should refer to Section 11: 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. A Deferral *must* be completed within two years of initial registration on the module or, where a module is substituted, within two years of initial registration on the substituted module.
10. The Faculty/ Departmental EC Panel *must* communicate the decision to offer a Deferral, with or without tuition, to the Programme Board of Examiners.
11. The Programme Board of Examiners *must* implement the decision, confirm the date of the next assessment, and ensure that the student's Portico registration is amended.
12. 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.

## 6.10.2 Deferral without Tuition

### Timing of the Deferral

1. A **Deferral without Tuition** *should* take place within or before the Late Summer Assessment Period and before a student commences the next year of study.
2. **Up to a maximum of 30 credits**, a student with ECs extending beyond the Late Summer Assessment Period, *may* be permitted to commence 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.

### Requirements and Entitlements

3. Students *should* be assessed in the module **component(s)** affected by the EC.
4. 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.
5. Students *must not* be charged an additional fee for deferring the assessment.
6. 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.
7. Students *must* be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
8. Students *should* undertake the Deferral before they commence any Study Abroad Year or Placement Year.

### Format of the Deferral

9. Students *must* be assessed under the syllabus and UCL Academic Manual which were in place for the original assessment.
10. 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 Programme 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.
11. The Programme Board of Examiners *must* determine whether Deferral students will be assessed in the same task (e.g. an essay or dissertation topic) or whether a new task will be set (e.g. an examination 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.
12. Students *cannot* substitute a module with an alternative module because the Deferral includes no tuition.

### 6.10.3 Deferral with Tuition

#### Timing of the Deferral

1. A **Deferral with Tuition** *must* take place in the following academic session.
  - a) **Up to a maximum of 30 credits**, a student *may* be permitted to 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.
  - b) 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.

#### Requirements and Entitlements

2. Students *should* be assessed in **all the components** of the affected module(s).
3. 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).
4. 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.
5. Students *must* have full access to UCL's facilities such as the library and other learning resources.
6. Students *must* be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
7. Students *must* meet UCL's minimum attendance requirements to be eligible for their deferred assessment attempt.
8. Students *should* undertake the Deferral before they commence any Study Abroad Year or Placement Year.

#### Format of the Deferral

9. 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.
10. The UCL Academic Manual *may* be different from one year of study to the next. Students *must* be assessed under the new Academic Manual.

#### 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 3.8](#)). Students *should* refer to [Section 11: Consequences of Failure](#) for full details of the regulations around Resits and Repeats.
15. All approved applications for substitutions *must* be submitted to [UCL Student Records](#) who will confirm that the substitutions are possible and amend the student's record.

#### 6.10.4 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 [Student Disability Services](#) or [Student Psychological Services](#) as early as possible so that UCL can support them effectively throughout their studies via the provisions in [Section 5: Reasonable Adjustments](#).

### 6.11 Late EC Requests

1. Where a student is unable to submit their [EC Form](#) within the specified deadline because the EC is still ongoing, and the Programme Board of Examiners **has not yet made a decision**, the person or body responsible for considering the request *may* use their discretion to consider the late request following the standard procedures outlined above.
2. Where a student is unable to submit their form within the specified deadline because the EC is still ongoing, and the Programme Board of Examiners **has already made a decision**, the student *may* be able to request a review of the Board's decision:
  - a) Students *should* submit a request for review no more than two weeks after receiving their formal results. The student handbook/ Moodle page for each UCL programme *must* specify where student requests are to be submitted; requests for review *should* be submitted to the same location.
  - b) The receiving office *should* forward the request to the FECP Chair who will review the case. This function *must not* be delegated to a Departmental EC Panel.
  - c) Where the FECP Chair agrees that there are valid grounds for late submission of the request (i.e. it was impossible for the student to submit it on time and/ or before the Programme Board of Examiners) the FECP Chair *should* make a recommendation to [UCL Academic Policy and Quality Assurance](#) on behalf of the Vice-Provost (Education & Student Affairs).
  - d) Where [UCL Academic Policy and Quality Assurance](#) accepts the request for review, it will overturn the original Programme Board of Examiners' decision and put a new one in its place. The FECP and Programme Board of Examiners *should* be notified as soon as possible. UCL Student Records *should* amend the student's record and issue the student with a new results notification.
  - e) Where the FECP Chair or [UCL Academic Policy and Quality Assurance](#) rejects the request for review, they *should* notify the FECP as soon as possible. The FECP secretary *should* notify the student that their request has been rejected within one week of the decision being made.

### 6.12 Appealing an EC Decision

1. Students cannot contest the outcome of an EC request on the grounds of academic judgement. However if the student feels that there has been a procedural error in the handling

- of their request, or that the type of mitigation offered is unsuitable, the student *may* request that the FECP Chair reviews the decision. This function *must not* be delegated to a Departmental EC Panel.
2. Requests for review *must* be submitted within two weeks of the extension or mitigation decision.
  3. Student handbooks/ Moodle *should* include clear details of where to submit ECs; requests for review *should* be submitted to the same office.
  4. The FECP Chair *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 on the type of mitigation.
  5. The FECP Chair *should* communicate their decision to the student in writing within one week of receiving the request. The FECP secretary *should* ensure that any new decision is communicated to the relevant parties as described in [Section 6.9 above](#).
  6. If, after the review, a student is still unhappy, they *may* be able to appeal the decision under the regulations set out in [Chapter 1, Section 12: UCL Student Complaints Procedure](#).

## 6.13 Extenuating Circumstances Panels

### 6.13.1 Terms of Reference

1. Each Faculty *must* have a Faculty Extenuating Circumstances Panel (FECP).
2. The FECP has the following responsibilities:
  - a) To make objective, impartial decisions about the validity of ECs submitted by students in the Faculty.
  - b) To determine the most appropriate course of action for the circumstances in hand and make recommendations to the relevant Programme Board of Examiners.
  - c) To ensure that all ECs are supported by appropriate evidence.
  - d) To ensure that mitigation is only applied to the affected module(s).
  - e) To ensure that mitigation is only applied once for each assessment.
  - f) To ensure that ECs are processed within the timeframes stated above.
  - g) To ensure that ECs remain confidential to the EC Panel and to the Chair and Secretary of the relevant Programme Board of Examiners.
  - h) To ensure that all data relating to ECs are stored securely.
  - i) To meet at the start of each academic year to discuss and agree the arrangements for the delegation of decision-making to any Departmental EC Panels.
  - j) To report annually to the Academic Regulations and Quality Assurance Sub-committee on the efficacy of the EC regulations and on the profile of cases received.

#### **Delegation of Authority to Departmental EC Panels**

3. The FECP *may* delegate authority to consider ECs to a Departmental EC Panel (DECP). It is assumed that 'Department' also covers local variations like division, school, institute, life learning provider etc.
4. The FECP *must* determine the authority of any DECP under its responsibility. This *should* include:
  - a) Determining which forms of mitigation and/ or which grounds for ECs *may* or *may not* be considered by a DECP
  - b) Determining where cases *must* be referred up to the FECP
  - c) Determining where DECP Chair's Action *may* be used
  - d) Providing guidance on common forms of mitigation
  - e) Providing guidance on the local processes for communication and record-keeping
  - f) Publishing the panel arrangements in place within the Faculty, and ensuring that the contact details of the relevant FECP/ DECP secretaries are readily available to staff in other Faculties.
5. FECPs *should not* delegate decision-making to any person or body other than a DECP.
6. [Annex 4.1.3: EC Panel Contact Details](#) indicates the appropriate contact for each FECP and DECP.

## **Jurisdiction**

7. Each student's 'home' Faculty is responsible for processing any ECs submitted by that student.
8. Where the student is registered on a combined honours or joint degree, one of the Faculties will be specified as the home Faculty, which will be responsible for processing the EC.
9. Where a student is registered on an interdepartmental module, the home FECP is responsible for processing the request, in consultation with the teaching Department.
10. Incoming intercollegiate and affiliate students *may* use these UCL procedures for a coursework extension. For any other form of mitigation, such students are normally subject to the procedures at their home institution.
11. UCL students studying modules at other colleges are subject to these UCL procedures, although the receiving institution *may* provide some forms of mitigation, such as an extension, in consultation with the relevant UCL EC Panel. Students *should* ensure that their request makes clear that mitigation is being sought for an intercollegiate module and appropriate mitigation *should* be agreed with the receiving institution.

## **Frequency**

12. Each Faculty *should* determine how frequently the FECP/ DECP meets.

## **Chair's action**

13. The Chair of the FECP is entitled to act on behalf of the Panel in respect of any matter delegated to them by the Panel, the Faculty Board of Examiners or UCL Education Committee. The FECP is responsible for determining where DECP Chair's Action *may* be used.

## **Virtual Meetings**

14. To facilitate decision-making, FECPs and DECPs *may* meet 'virtually', where decisions are approved electronically and formally recorded by the EC Panel Secretary.

## **Confidentiality**

15. All FECP and DECP members are responsible for preserving confidentiality in respect of the proceedings of the Panel.

## **Conflicts of Interest**

16. FECP and DECP members who have a personal or professional conflict of interest with any student being considered at a particular meeting *must* withdraw from the meeting for discussions on that student.

## 6.13.2 Constitution and Membership

### **Faculty EC Panel**

1. The FECP *should* be chaired by the Faculty Tutor.
2. A Deputy Chair *may* be nominated to stand in for the Chair where necessary.
3. 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 etc.
4. The FECP secretary *should* be a named member of staff from the Faculty administration team.

### **Departmental EC Panel**

5. The DECP *should* be chaired by the Head of Department or the Departmental Tutor.
6. A Deputy Chair *may* be nominated to stand in for the Chair where necessary.
7. 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 etc.
8. The DECP secretary *should* be a named member of staff from the Departmental administration team.

### **Quoracy**

9. The minimum number of members permissible at a meeting of the FECP or DECP is three, including either the Chair or Deputy Chair.

### **External Examiners**

10. External Examiners *should not* be invited to attend FECP/ DECP meetings.

### **Rotation of Membership**

11. Where possible, the members of academic staff *should* change on an annual basis to ensure maximum sharing and awareness of the EC process across UCL.

# 7 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.

## 7.1 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.

## 7.2 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 13.3 Faculty Boards of Examiners](#) for further details).

## 7.3 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 Programme Board of Examiners – see [Section 13: 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.

## 7.4 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 Programme 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 Programme Board of Examiners and the External Examiner.

## **7.5 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](#).

## 7.6 Second Marking

### 7.6.1 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.

### 7.6.2 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.

### 7.6.3 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 Programme 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).

## 7.6.4 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.

## 7.6.5 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 6, Section 4: External Examining](#)). However, subsequently bringing third-marked work to the attention of the External Examiner is good practice.

## 7.6.6 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 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.

## 7.7 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.

# 8 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.

## 8.1 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.

## 8.2 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 [Section 7.4 Anonymity](#)). 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](#).

## 8.3 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.

# 9 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 Programme Scheme of Award for their specific programme of study.**

## 9.1 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.

## 9.2 Honours Degree Progression & Award Requirements

### 9.2.1 Non-Standard Progression and Award Requirements

1. This section defines UCL's standard Honours Degree Progression and Award requirements. The following approved variations and derogations from these standard regulations for specific Faculties, Departments and programmes are detailed in Chapter 8: Derogations and Variations:
  - a) Faculty of the Built Environment
  - b) Faculty of Engineering Sciences
  - c) Faculty of Mathematical & Physical Sciences
  - d) Faculty of Social & Historical Sciences
  - e) Bachelor of Sciences (BSc) in Speech Sciences
  - f) Bachelor of Arts (BA) in English
  - g) Bachelor of Arts (BA) in Fine Art
  - h) Bachelor of Arts (BA) at the Institute of Education
  - i) Bachelor of Education (BEd)
  - j) Bachelor of Fine Arts (BFA)
  - k) Bachelor of Laws (LLB)
  - l) Bachelor of Medicine, Bachelor of Surgery (MBBS)
  - m) Master of Pharmacy (MPharm)

### 9.2.2 Three-Year Bachelors

#### Progression from Year 1 to Year 2

1. In order to progress from Year 1, students *must* have passed at least 3.0 course units and be registered to complete in Year 2 any course units not yet complete. However, students *may not* progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
2. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a Suspension of Regulations from UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion.

3. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Programme Board of Examiners, students *may* progress if they have failed to meet the Progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.

### **Progression from Year 2 to Year 3**

4. In order to progress from Year 2, students *must* be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units, and be registered to complete in their final year any course units not yet complete. However, students *may not* progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
5. Students who have not completed 4.0 course units from Year 1, or have incomplete course units from Year 2 following an interruption, *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion. Otherwise, such students will never complete the number of modules required to graduate with an Honours Degree.
6. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Programme Board of Examiners, students *may* progress if they have failed to meet the Progression threshold by 0.5 course units and, therefore, have passed 6.5 course units, provided all Year 1 Progression requirements have been met including passing at least 3.0 course units from Year 1.

### **Award of an Honours Degree**

7. Students registered on a three year programme will be awarded an Honours Degree provided they have:
  - a) Completed 12.0 course units, and
  - b) Passed at least 11.0 course units including at least 3.0 course units at level 6, and
  - c) Satisfied the Honours Degree Modern Foreign Language Requirements (Section 9.3).

## **9.2.3 Four-Year Bachelors with Extra-Mural Study Abroad or Placement Year**

### **Progression from Year 1 to Year 2**

1. In order to progress from Year 1, students *must* have passed at least 3.0 course units and be registered to complete in Year 2 any course units not yet complete. However, students *may not* progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
2. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion.
3. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Programme Board of Examiners, students *may* progress if they have failed to meet the Progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.

### **Progression from Year 2 to Year 3**

4. In order to progress from Year 2, students *must* be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units and be registered to complete in their final year any course units not yet complete. However, students *may not* progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
5. Students who have not completed 4.0 course units from Year 1, or have incomplete modules from Year 2 following an interruption, *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion.
6. Students *should* have qualified for Progression prior to their Study Abroad/ Placement Year.

7. If the student is to re-sit the assessment this *must* take place during the summer before they enter Year 4 at the time of the Late Summer Assessments.

#### **Progression from Year 3 to Year 4**

8. In order to progress from Year 3, students *must* be complete in 12.0 course units, have passed at least 11.0 course units, and have met all Year 2 Progression requirements.
9. All Progression decisions at the end of Year 3 are provisional. Progression from Year 3 will not be confirmed until all marks are available and have been ratified by the Programme Board of Examiners. Progression *may* therefore be confirmed at the start of Year 4.

#### **The Award of an Honours Degree**

10. Students registered on a four-year programme with an Extra-Mural Study Abroad or Placement Year will be awarded an Honours Degree provided they have:
  - a) Completed 16.0 course units, and
  - b) Passed a minimum of 14.5 course units including at least 3.0 course units at level 6, and
  - c) Satisfied the Honours Degree Modern Foreign Language Requirements ([Section 9.3](#)).

### **9.2.4 Four-Year Integrated Masters**

#### **Progression from Year 1 to Year 2**

1. In order to progress from Year 1, students *must* have passed at least 3.0 course units and be registered to complete in Year 2 any course units not yet complete. However, students *may not* progress from Year 1 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
2. Students who have not completed 4.0 course units from Year 1 after having exhausted the permitted number of opportunities *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from [UCL Academic Policy and Quality Assurance](#) on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion.
3. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Programme Board of Examiners, students *may* progress if they have failed to meet the Progression threshold by 0.5 course units and, therefore, have passed 2.5 course units.

#### **Progression from Year 2 to Year 3**

4. In order to progress from Year 2, students *must* be complete in the 4.0 course units from Year 1, and have passed at least 7.0 course units, and be registered to complete in their final year any course units not yet complete. However, students *may not* progress from Year 2 or register for incomplete course units or re-sit attempts if they have exhausted the permitted number of opportunities.
5. Students who have not completed 4.0 course units from Year 1, or have incomplete course units from Year 2 following an interruption, *may* ask their Departmental/ Divisional Tutor to obtain Faculty approval to seek a suspension of regulations from [UCL Academic Policy and Quality Assurance](#) on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion. Otherwise, such students will never complete the number of modules required to graduate with an Honours Degree.

#### **Progression from Year 3 to Year 4**

6. In order to progress from Year 3, students *must* be complete in the 4.0 course units from Year 1 and the 4.0 course units from Year 2, have passed at least 11.0 course units, and be registered to complete in their final year any course units not yet complete.
7. Students who have not completed the 4.0 course units from Year 1 and the 4.0 course units from Year 2, or have incomplete course units from Year 3 following an interruption, *may* ask their Departmental/ Divisional Tutor to seek a suspension of regulations from [UCL Academic Policy and Quality Assurance](#) on behalf of the Vice-Provost (Education & Student Affairs) to allow a third attempt at a time other than the next scheduled occasion. Otherwise, such students will never complete the number of course units required to graduate with an Honours Degree.

8. At the discretion of the Faculty Tutor, upon the recommendation of the relevant Programme Board of Examiners, students *may* progress if they have failed to meet the Progression threshold by 0.5 course units and, therefore, have passed 10.5 course units, provided all Year 2 Progression requirements have been met including passing a total of at least 6.5 course units from Year 1 and Year 2.

### The Award of an Honours Degree

9. Students registered on an Integrated Masters programme will be awarded an Honours Degree provided they have:
  - a) Completed 16.0 course units, and
  - b) Passed at least 14.5 course units including at least 3.0 course units at level 6 and at least 3.0 course units at level 7, and
  - c) Satisfied the Honours Degree Modern Foreign Language Requirements ([Section 9.3](#)).

### 9.2.5 Exceptional Permission to Progress

1. Undergraduate students who fail to meet the requirements for Progression from one academic year to the next *may* apply for exceptional permission to progress:
  - a) Students considering an application for exceptional permission to progress *should* in the first instance discuss this course of action with the Departmental/ Divisional Tutor and take account of the regulations in [Section 6: Extenuating Circumstances](#).
  - b) Applications for exceptional permission to progress a student with a total of 2.5 passed course units should be made to the Faculty Tutor.

## 9.3 Honours Degree Modern Foreign Language Requirements

1. UCL is committed to Modern Foreign Language education. All UK Honours Degree students, with the exception of those on one-year Top-Up or iBSc degrees, *must* enter UCL with, or have developed by graduation, a basic level of competence in a Modern Foreign Language (MFL).
2. In order to satisfy UCL's Modern Foreign Language (MFL) requirements, a student *must* undertake one of the following:
  - a) Hold a C grade or higher in a GCSE, or equivalent, in a Modern Foreign Language, OR
  - b) Where available, attend a Modern Foreign Language Summer School arranged by UCL prior to enrolment, OR
  - c) Enrol on a 15-credit module in a Modern Foreign Language as a module choice within the student's standard programme diet. The student must be subject to the standard programme requirements for Progression, Award, Classification and Reassessment, OR
  - d) Enrol on an additional 15-credit module in a Modern Foreign Language, over and above the student's standard programme diet. The student must meet the minimum attendance requirements and take part in the assessment, but does not have to pass the module and the mark will not be included in the student's Classification calculation, OR
  - e) Exceptionally, and by agreement with the UCL Centre for Language and International Education, enrol on an evening class in a Modern Foreign Language.
3. In exceptional circumstances **UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs)** *may* suspend the MFL requirements if they are deemed to place an unreasonable burden on a student. Applications *must* be made to UCL Academic Policy and Quality Assurance via the Faculty Tutor.
4. A student who fails to satisfy the requirement by the end of their programme will not be eligible for the award of an Honours Degree.

### British Sign Language

5. Enrolment on a 15-credit module in British Sign Language will satisfy the MFL requirement.
6. **Subject to approval by the Faculty Tutor**, an appropriate, formal qualification in British Sign Language or another Sign Language *may* be considered as an equivalent to a GCSE.
7. **Subject to approval by UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs)**, experiential learning in British Sign Language

or another Sign Language *may* be considered, where accreditation is not available. Applications *must* be made via the Faculty Tutor.

### **Ancient Languages**

8. GCSE passes in, or enrolment on a 15-credit module in, Ancient Greek, Hebrew or Latin will not satisfy the MFL requirement.

### **Heritage and Community Languages**

9. **Subject to approval by the Faculty Tutor**, an appropriate, formal qualification in a heritage or community language *may* be considered as an equivalent to a GCSE.
10. **Subject to approval by UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs)**, experiential learning in a heritage or community language *may* be considered, where accreditation is not available. Applications *must* be made via the Faculty Tutor.

## 9.4 Graduate Certificate & Graduate Diploma Award Requirements

### 9.4.1 Graduate Certificate

1. In order to be awarded a Graduate Certificate, students *must* have:
  - a) Completed 2.0 course units, AND
  - b) Passed 1.5 course units, of which 0.5 course units *may* be a condoned fail within the applicable condonement range, AND
  - c) Achieved an overall weighted average of at least 40%.

### 9.4.2 Graduate Diploma

1. In order to be awarded a Graduate Diploma, students *must* have:
  - a) Completed 4.0 course units, AND
  - b) Passed 3.5 course units, of which 0.5 course units *may* be a condoned fail within the applicable condonement range, AND
  - c) Achieved an overall weighted average of at least 40%.

## 9.5 Taught Postgraduate Award Requirements

### 9.5.1 Progression

1. Taught Postgraduate programmes of one year's duration or less do not include any Progression requirements.
2. Students registered on programmes of more than one year's duration *must* satisfy any requirements specified in the Student Handbook or equivalent with regard to Progression between each year of the programme.

### 9.5.2 Condoned Marks

1. At taught postgraduate level, marks of 40-49% (or equivalent on alternative marking scales) in up to 25% of a student's taught credits *may* be condoned.
2. The Condonement Criteria apply at both the first and second attempts.
3. Once a mark is formally condoned by the Board of Examiners, the student will not be required or permitted to Resit.
4. The condoned mark will stand (i.e. the mark will not be raised to the Pass Mark) but will be treated as pass in all subsequent conditions and will be included in the student's Classification calculation, where applicable.
5. **Subject to approval by UCL Education Committee, or its nominee**, a programme *may* designate one or more modules as Non-condonable. Students *must* pass all Non-condonable modules on their programme in order to progress or be eligible for an award.



6. Condonement can only be considered and applied by the Programme Board of Examiners at the end of the taught modules, when the full extent of any failure is known.
7. Students who do not meet all the Condonement Criteria *must* be reassessed – see Section 11: Consequences of Failure.

### 9.5.3 Postgraduate Certificate Award Criteria

1. Students *must* meet the following minimum criteria to be considered for a Postgraduate Certificate, whether as a final or exit qualification:
  - a) Students *must* pass 60 credits and achieve a weighted average of at least 50%.
  - b) Where a student passes at least 45 credits, and achieves a mark of 40-49% in a maximum of 15 credits, the Condonable mark will be treated as a pass, and the student will not be permitted to Resit.

### 9.5.4 Postgraduate Diploma Award Criteria

1. Students *must* meet the following minimum criteria to be considered for a Postgraduate Diploma, whether as a final or exit qualification:
  - a) Students *must* pass 120 credits and achieve a weighted average of at least 50%.
  - b) Where a student passes at least 90 credits, and achieves a mark of 40-49% in a maximum of 30 credits, the Condonable mark will be treated as a pass, and the student will not be permitted to Resit.

### 9.5.5 Masters Award Criteria

1. Students *must* meet the following minimum criteria to be considered for a Masters degree:
  - a) Students *must* pass at least 180 credits and achieve a weighted average of at least 50%.
  - b) Where a student passes at least 75% of their taught credits, and achieves a mark of 40-49% in a maximum of 25% of their taught credits, the Condonable mark will be treated as a pass, and the student will not be permitted to Resit.

# 10 Classification

Students who have completed the requirements for a qualification *should*, on the recommendation of the relevant Programme Board of Examiners, be awarded a Classification.

## 10.1 Overarching Principles

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

## 10.2 General Classification Principles

### 10.2.1 Calculation of Classification

1. Averages *should* be calculated from a mean of all counting marks, weighted according to the year of study and the credit-rating of each module.
2. **Subject to approval by UCL Education Committee, or its nominee**, a Department/Division *may* use an alternative averaging method, such as the Median. Alternate averaging schemes *must* be clearly explained in the Student Handbook or equivalent.

### 10.2.2 Rounding

1. Rounding *must* be applied to the final weighted average mark (e.g. a mark of 59.4 *must* be rounded to 59%, and a mark of 59.5 *must* be rounded to 60%).

### 10.2.3 Borderline Marks

1. Where a student's weighted average mark falls within 1% of the next Classification they are in the Borderline Zone. The criteria for raising a student to the next class are defined under each Classification scheme.

### 10.2.4 Weighting of Reassessment and Deferral Marks

1. Marks achieved for reassessed modules *should* be weighted according to the year in which the module was first attempted.
2. Marks achieved for substitute modules *should* be weighted according to the year in which the substituted module was first attempted.
3. Marks achieved for modules deferred due to Extenuating Circumstances *should* be weighted according to the year in which the student was first registered on the module.

### 10.2.5 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 *should* be counted as part of the qualification requirements but *should* be excluded from the calculation of the Classification.
2. Credits accrued at UCL and awarded via the Recognition of Prior Learning (RPL) *should* 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 1.6: Recognition of Prior Learning for Entry to UCL.

## 10.2.6 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 explained in the Student Handbook or equivalent.

## 10.3 Honours Degree Classification Scheme

### 10.3.1 Honours Classifications

1. Students who have completed the requirements for an Honours Degree will, on the recommendation of the relevant Programme Board of Examiners, be awarded either:
  - a) First Class Honours, OR
  - b) Second Class Honours (Upper Division), OR
  - c) Second Class Honours (Lower Division), OR
  - d) Third Class Honours.

### 10.3.2 Non-Standard Honours Classification Schemes

1. The following approved variations and derogations from the standard UCL Honours Degree Classification scheme are located in Chapter 8: Derogations and Variations:
  - a) Faculty of the Built Environment
  - b) Faculty of Engineering Sciences
  - c) Faculty of Mathematical & Physical Sciences
  - d) Faculty of Social & Historical Sciences
  - e) Bachelor of Sciences (BSc) in Speech Sciences
  - f) Bachelor of Arts (BA) in English
  - g) Bachelor of Arts (BA) in Fine Art
  - h) Bachelor of Arts (BA) at the Institute of Education
  - i) Bachelor of Education (BEd)
  - j) Bachelor of Fine Arts (BFA)
  - k) Bachelor of Laws (LLB)
  - l) Bachelor of Medicine, Bachelor of Surgery (MBBS)
  - m) Master of Pharmacy (MPharm)
2. All students *should* refer to their Student Handbook or equivalent for full details of the arrangements in place on their programme.

### 10.3.3 Standard Classification Schemes

#### Three-year Bachelors Degrees

1. 12.0 course unit programmes are weighted as follows: 1: 3: 5 (first; second; third year).
2. Each year average is based on the best course unit marks in each year of study as follows: 3: 3.5: 4 (first; second; third year).

#### Four-Year Bachelors Degrees with an Extra-Mural Study Abroad or Placement Year<sup>1</sup>

3. 16.0 course unit programmes with an **Extra-Mural** Study Abroad or Placement Year (i.e. where the Study Abroad or Placement is in addition to the minimum Honours Degree requirements) are weighted as follows: 1: 3: 0: 5 (first; second; third; fourth year).
4. Each year average is based on the best course unit marks in each year of study as follows: 3: 3.5: 0: 4 (first; second; third; fourth year).

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<sup>1</sup> The exclusion of the Study Abroad or Placement Year from the Classification applies to students first enrolling on their programme from September 2016 onwards. Students who first enrolled before this date should refer to the Classification regulations for their year of entry in the [UCL Academic Manual Archive](#).

5. If the Study Abroad or Placement Year is spent in the fourth year, the weighting is as follows: 1: 3: 5: 0 (first; second; third; fourth year).
6. Each year average is based on the best course unit marks in each year of study as follows: 3: 3.5: 4: 0 (first; second; third; fourth year).

#### **Four-Year Integrated Masters Degrees**

7. 16.0 course unit Integrated Masters programmes without a mandatory Study Abroad or Placement Year are weighted as follows: 1: 3: 5: 5 (first; second; third; fourth year).
8. Each year average is based on the best course unit marks in each year of study as follows: 3: 3.5: 3.5: 4 (first; second; third; fourth year).

### 10.3.4 Honours Degree Borderline Criteria

1. Honours Degree candidates whose weighted average mark falls within 1% of the next Classification boundary (after rounding to the nearest integer) *may* be considered for the higher Classification. The Programme Board of Examiners should take the following criteria into account:
  - a) Whether the majority of credits (at least 50%) fall in the higher Classification.
  - b) Whether there is evidence of “exit velocity” in the candidate’s performance.
  - c) Whether high value modules, or those with a significant research element such as the dissertation, fall in the higher class.
  - d) Attention to those marks which have a particular significance for the overall Classification.
2. Where possible, External Examiners *should* be asked to consider the performance of candidates who fall in the borderline zone, reviewing the work prior to the meeting of the Programme Board of Examiners, with a view to determining whether the candidate is worthy of the higher Classification.

## 10.4 Graduate Certificate & Graduate Diploma Classification Scheme

### 10.4.1 Classification Criteria

1. The Classification for a Graduate Certificate or Graduate Diploma is calculated from an average of all module marks.
2. A Distinction *must* be given to students whose overall weighted average mark is 70% or higher.
3. A Merit *must* be given to students whose overall weighted average mark is between 60% and 69%.
4. A Pass *must* be given to students whose overall weighted average mark is between 40% and 59%.

### 10.4.2 Borderline Criteria

1. If the overall weighted average mark is 69% after rounding to the nearest integer, the candidate is in the borderline zone. An award of a Distinction *must* be made if at least half of the credits are at 70% or above.
2. If the overall weighted average mark is 59% after rounding to the nearest integer, the candidate is in the borderline zone. An award of a Merit *must* be made if at least half of the credits are at 60% or above.

## 10.5 Taught Postgraduate Classification Scheme

### 10.5.1 Non-Standard Taught Postgraduate Classification

1. The following approved variations and derogations from the standard UCL taught postgraduate Classification regulations are located in Chapter 8: Derogations and Variations:
  - a) Institute of Education postgraduate programmes

- b) Master of Fine Art (MFA) and Master of Arts (MA) in Fine Art
- c) Master of Laws (LLM)
- d) Masters by Research (MRes)

### 10.5.2 Standard PG Cert Classification Criteria

1. The award of Merit *must* be given to students if the overall weighted average mark over 60 credits is 60% or higher, but the student does not meet the criteria for the award of Distinction.
2. The award of Distinction *must* be given to students if the overall weighted average mark over 60 credits is 70% or higher.

### 10.5.3 Standard PG Dip Classification Criteria

1. The award of Merit *must* be given to students if the overall weighted average mark over 120 credits is 60% or higher, but the student does not meet the criteria for the award of Distinction.
2. The award of Distinction *must* be given to students if the overall weighted average mark over 120 credits is 70% or higher.

### 10.5.4 Standard PG Cert and PG Dip Borderline Criteria

1. If the overall weighted average mark is 69% after rounding to the nearest integer, the candidate is in the borderline zone. An award of Distinction *must only* be made where at least half of the taught credits are at or above 70%.
2. If the overall weighted average mark is 59% after rounding to the nearest integer, the candidate is in the borderline zone. An award of Merit *must only* be made where at least half of the taught credits are at or above 60%.

### 10.5.5 Standard Masters Classification Criteria

1. The award of Merit *must* be given to students if they have satisfied all of the following criteria, but do not meet the criteria for the award of Distinction:
  - a) The overall weighted average mark over 180 credits is 60% or higher; AND
  - b) The mark for the dissertation is 60% or higher.
2. The award of Distinction *must* be given to students if they have satisfied all of the following criteria:
  - a) The overall weighted average mark over 180 credits is 70% or higher; AND
  - b) The mark for the dissertation is 70% or higher.

### 10.5.6 Standard Masters Borderline Criteria

1. If the overall weighted average mark is 69% after rounding to the nearest integer, the candidate is in the borderline zone. An award of Distinction *must only* be made where:
  - a) At least half of the taught credits are at or above 70%, AND
  - b) The mark for the dissertation is at or above 70%.
2. If the overall weighted average mark is 59% after rounding to the nearest integer, the candidate is in the borderline zone. An award of Merit *must only* be made where:
  - a) At least half of the taught credits are at or above 60%, AND
  - b) The mark for the dissertation is at or above 60%.

# 11 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 [Section 6: Extenuating Circumstances](#) for details of the support available.

## 11.1 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.

## 11.2 Failure at the First Attempt

1. A student who does not pass all modules at the first attempt *should* be reassessed in the failed module(s) unless they:
  - a) Are eligible for the award of a qualification, OR
  - b) Are eligible for Graduate or Taught Postgraduate Condonement ([Sections 9.4 and 9.5](#)), OR
  - c) Have failed an Extra-Mural Study Abroad Year or Placement Year (see paragraph 5 below), OR
  - d) Have been awarded a qualification, OR
  - e) Have been excluded from UCL on the grounds of academic insufficiency, OR
  - f) 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 fails a Dissertation/ Research Project, reassessment *should* take the form of a **Resit** unless the Programme 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* attendance and fees.
5. A student who fails an Extra-Mural Study Abroad Year or Placement Year (excluding Year Abroad Project modules) *must* transfer to an equivalent programme without a Study Abroad or Placement requirement.
6. A student *must not* be reassessed in a Passed or Condoned module.
7. 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 Programme Board of Examiners has made a decision about Progression and Award.
8. The assessment for a module *must* be completed within two years of initial enrolment on the module or, where a module is substituted, within two years of initial enrolment on the module which has been substituted.
9. This period of two years *may* be extended at the discretion of [UCL Academic Policy and Quality Assurance](#) on behalf of the Vice-Provost (Education & Student Affairs). Applications *must* be made via the Faculty Tutor.

## 11.3 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.
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 12).

## 11.4 Resitting a Module

1. A **Resit** is a second attempt at an assessment in the Late Summer Assessment Period (or equivalent), without any additional tuition and with marks capped at the Pass Mark.

### Timing of Resits

2. Taught module Resits *must* take place within or before the Late Summer Assessment Period.
3. For Masters Dissertations/ Research Projects:
  - a) On September-start programmes, Resits *must* take place by 31 January of the following academic session.
  - b) On January-start programmes, Resits *must* take place by 30 April of the following academic session.
4. Progressing students *must not* enrol on the next year of study until the Resit has been completed.
5. Separate regulations apply to students undertaking a Deferral (Section 6.10 Deferred Assessment).

### Resit Marks

6. Resitting students *must* be reassessed in the failed module **component(s)**.
7. Where a student passes a Resit, the module mark(s) *must* be capped at the Pass Mark (Section 3.8).
8. Where a student fails a Resit, the higher mark from the two attempts will be recorded for the affected Component(s).

### Requirements and Entitlements

9. 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.
10. There *must* be no fee for Resitting an assessment.
11. 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.
12. Resitting students *must* be entitled to the Reasonable Adjustments provisions for students with disabilities and other long-term medical or mental health conditions.
13. Students *should* undertake a Resit before they commence a Study Abroad Year or Placement Year.

### Format of the Resit

14. Resitting students *must* be reassessed under the syllabus and UCL Academic Manual which were in place at the first attempt.
15. 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 Programme Board of Examiners *may*, with the approval of Education Committee, 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.
16. The Programme Board of Examiners *must* determine whether Resitting students will be reassessed in the same task (e.g. an essay or dissertation topic) or whether a new task will be set (e.g. an examination 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.

17. Resitting students *cannot* substitute a failed module with an alternative module because the Resit includes no teaching.

## 11.5 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.

### 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 *must not* enrol on the next year of study until the Repeat has been completed.

### Repeat Marks

4. Repeating students *should* 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 3.8](#)).
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. Repeating students *must* meet UCL's minimum attendance requirements to be eligible for their Repeat attempt.
12. Students *should* undertake a Repeat before they commence any Study Abroad Year or Placement Year.

### Format of the Repeat

13. 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.
14. The UCL Academic Manual *may* be different from one year of study to the next. Repeating students *must* be reassessed under the new Academic Manual.

### Substitution of Modules

15. **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.
16. 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.
17. 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.
18. The substitute module(s) *must* be treated as a second attempt and marks *must* be capped at the Pass Mark ([Section 3.8](#)).
19. All approved applications for substitutions *must* be submitted to [UCL Student Records](#) who will confirm that the substitutions are possible and amend the student's record.



## **Deferred Assessments**

20. Where a student holds both deferred assessments and failed assessments, the format of the deferred assessment *should* be honoured in accordance with the decision of the Extenuating Circumstances Panel. The volume of credits for a deferred assessment *should not* be taken into consideration in calculating whether a student is required to Resit or Repeat.

# 12 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.

## 12.1 Overarching Principles

Principle 17: Qualifications *must* only be awarded for the successful achievement of defined learning outcomes.

## 12.2 Scope & Definitions

### 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.
4. 'Advertised' means that:
  - a) The programme is deliberately structured to include multiple exit points e.g. a 5-year Masters programme might allow students to exit with either a PG Cert, a PG Dip or a Masters, AND
  - b) The multiple exit points are described in the prospectus and/ or student handbook, AND
  - c) Each interim qualification has its own positively-defined learning outcomes which are documented in the Programme Scheme of Award.
5. Where the interim qualification is not an Advertised Outcome of the programme the Programme Board of Examiners *must* assess the student's eligibility for the interim qualification against the standard UCL Interim Qualification Learning Outcomes defined in Sections 12.4-12.11.

### Field of Study

6. The field of study for an interim qualification *should* match the title of the full degree programme on which the student is registered.
7. **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.
8. Alternate fields of study for interim qualifications *must* be documented in the Programme Scheme of Award.

## 12.3 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. BSc Human Communication Science as an interim qualification for students who are unable to meet the requirements of BSc Speech Sciences, OR
  - b) A Programme 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 Policy and Quality Assurance 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 Affairs) 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 Programme 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.

## 12.4 Cert HE Interim Qualification

### Award Criteria

1. A student who is unable to meet the minimum requirements for an Honours Degree or Foundation Degree *may* be awarded a Certificate of Higher Education (Cert HE) if they have:
  - a) Passed 120 credits at level 4, 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.

## 12.5 Dip HE Interim Qualification

### Award Criteria

1. A student who is unable to meet the minimum requirements for an Honours Degree *may* be awarded a Diploma of Higher Education (Dip HE) if they have:
  - a) Passed 240 credits with at least 90 at level 5 and the balance at 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.

## 12.6 Ordinary Degree Interim Qualification

#### **Award Criteria**

1. A student who is unable to meet the minimum requirements for an Honours Degree *may* be awarded an Ordinary Degree (Bachelors without Honours) if they have:
- a) Passed 300 credits with at least 60 at level 6 and the balance at levels 4 and 5, 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.

## 12.7 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 9.4](#)), 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:
    - 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).
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.

## 12.8 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.

## 12.9 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) Met the standard or programme-defined Grad Cert Progression and Award Requirements (Section 9.6), 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:
    - 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).
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.

## 12.10 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) Met the standard or programme-defined PG Cert Progression and Award Requirements (Section 9.7), 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 Programme 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.

## 12.11 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) Met the standard or programme-defined PG Dip Progression and Award Requirements (Section 9.7), 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 Programme 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.

## **12.12 Aegrotat Degree**

1. Exceptionally, where the Programme 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 Affairs) *may* recommend the award of an Aegrotat Degree. Applications *must* be made to UCL Academic Policy and Quality Assurance 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.

# 13 Boards of Examiners

The Boards of Examiners regulations define the terms of reference, constitution, membership and remit of the Programme Board of Examiners and the Faculty Board of Examiners.

## 13.1 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 Programme 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 Programme Boards of Examiners report.

## 13.2 Programme Boards of Examiners

### 13.2.1 Terms of Reference

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



### 13.2.2 Constitution and Membership

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

### 13.2.3 Quoracy

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

### 13.2.4 Candidate Anonymity

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

### 13.2.5 Confidentiality

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

### 13.2.6 Conflicts of Interest

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

5. Examiners *should* also declare any interest in the future research supervision of a student. Such an interest will not debar an examiner from the assessment of that student but *should* be declared when that student's results are being discussed at the Programme Board of Examiners meeting.

### 13.2.7 Information for Programme Boards of Examiners

1. Programme Boards of Examiners *should* receive the following information:
  - a) Results profiles for continuing and finalist students
  - b) The recommendations of the Faculty/Departmental Extenuating Circumstances Panel
  - c) The Programme Scheme of Award
  - 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.

### 13.2.8 Virtual Programme Boards of Examiners

1. A Virtual Programme Board of Examiners is an interim or final board meeting where External Examiners are required to be in attendance which is held simultaneously by electronic means.
2. Permission from the Faculty Tutor is required to run a Virtual Programme Board of Examiners is required and the Chair of UCL Education Committee, or their nominee, *should* be informed before the meeting is organised.
3. Further guidance is available in [Annex 4.3.10: Virtual Programme Boards of Examiners](#).

## 13.3 Faculty Boards of Examiners

### 13.3.1 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 Programme 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 Programme Board of Examiners under its responsibility:
    - i. To approve annually the constitution and membership for the coming academic session (by Chair's Action if necessary) ([see 13.7.2 for further details](#))
    - ii. To recommend to UCL Education Committee the External Examiners for each Board (by Chair's Action if necessary)
    - iii. To approve the Programme Scheme of Award
    - iv. 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 Programme Boards of Examiners to External Examiner reports.
  - f) To receive reports from each Programme 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 [Section 15.10 Material Irregularities](#)).
  - h) To receive any issues raised by Programme 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 Programme Board of Examiners, the Faculty Board of Examiners and the Programme Board of Examiners *may* be one and the same and will report to the UCL Quality Review Sub Committee (QRSC) of Education Committee.

### 13.3.2 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 Programme Boards of Examiners responsible for programmes/ modules in the Faculty.
3. Internal and External Examiners appointed to Programme 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 nominations as examiners are the subject of discussion.

### 13.3.3 Quoracy

1. The quorum of a Faculty Board of Examiners will be one-fifth of the membership including the Chair or Deputy Chair.

## 13.4 Special Case Panels

### 13.4.1 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 Programme Board of Examiners has remained unchanged; or
  - b) When there is an unresolved dispute between a Programme 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.

### 13.4.2 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 Academic Services 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.

### 13.4.3 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.

## 13.5 Chairs and Deputy Chairs

### 13.5.1 Conditions of Appointment

1. Each Programme Board of Examiners *must* have a Chair and a Deputy Chair.
2. Chairs and Deputy Chairs *must* be full-time 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.

### 13.5.2 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 Programme Board of Examiners for a minimum period of three calendar years.
4. The outgoing Chair *must* notify [UCL Academic Policy and Quality Assurance](#) of any change by returning the Change of Chair Form (see [Annex 4.3.2](#)) 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.

### 13.5.3 Entitlements

1. Chairs are entitled to act on behalf of the Programme Board of Examiners in respect of any matter delegated to them by the Programme 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 Programme 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 Programme Board of Examiners are discussed.

### 13.5.4 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 verify External Examiners' eligibility to work in the UK (see [Chapter 6, Section 4: External Examining](#)).
  - g) To ensure that External Examiners receive and scrutinise all summative assessment methods, 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 ensure that External Examiners receive the following in good time:
  - i. The dates of Board meetings
  - ii. The name and contact details of the Board contact (e.g. Examinations Liaison Officer)
  - 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 Specification and/ or syllabus information.
  - vi. The Programme Scheme of Award to be used in determining student Progression, awarding and Classification.
  - vii. The marking criteria for individual papers (when known).
  - viii. Links to relevant sections of this UCL Assessment Framework for Taught Programmes, including these Boards of Examiners regulations, and to the [Chapter 6: Quality Review Framework](#), including the duties and responsibilities of External Examiners.
- 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 comprehensively marked and moderated.
- l) To set a timescale by which marking, second-marking, moderation and external scrutiny *must* be completed.
- m) To determine the distribution of scripts between External Examiners.
- n) To ensure that the feedback loop is followed after receipt of an External Examiner's Annual Report (see [Chapter 6, 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 4.3.7: Protocols for the Release of Unconfirmed Provisional Marks](#)
  - ii. [Annex 4.3.7: Procedures when Marks are Missing](#)
  - iii. [Annex 4.3.8: Procedures when an External Examiner is unable to attend](#)
  - iv. [Annex 4.3.9: Procedures in the Event of an Emergency Affecting the Work of Programme Boards of Examiners](#)
- q) To attend, as a full member, the Faculty Board of Examiners.
- r) To prepare an annual report on the assessment process, in consultation with the Board, for submission to the Faculty Board of Examiners.

## 13.6 Faculty Representatives

1. A Programme 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 4.3.4 Guidelines on the Role of the Faculty Representative](#).

## 13.7 Internal Examiners

### 13.7.1 Conditions of Appointment

1. All members of academic staff involved in making assessment decisions affecting Progression, Award or Classification on a programme, and who are eligible under these regulations, *should* be appointed as Internal Examiners for that programme's Board of Examiners.
2. It is not necessary for every Internal Examiner to attend every meeting of the Programme Board of Examiners, provided that the requirements for minimum attendance are met.
3. An Internal Examiner *must* be:
  - a) A UCL member of academic staff, OR
  - b) A UCL teacher with appropriate experience and expertise, OR
  - c) A member of the academic staff of a College of the University of London involved in teaching the programme at UCL.
4. An Internal Examiner *must not* be appointed if they are registered as a student on the programme or modules under the responsibility of the Board.
5. If a member of staff is registered as a student on another programme, either at UCL or elsewhere, this *should not* in itself be a disqualification from nomination as an Internal Examiner.
6. Part-time members of academic teaching staff *may* be appointed as Internal Examiners.
7. Probationary members of academic teaching staff *may* be appointed as Internal Examiners.
8. Postgraduate research students *should not* be appointed as Internal Examiners, unless they have been appointed to the academic staff.
9. Exceptionally, individuals who are not UCL or University of London academic staff (e.g. members of NHS staff or external lecturers on short-term contracts) *may* be appointed as Internal Examiners if they have been involved regularly in teaching on the programme concerned.

### 13.7.2 Nomination and Appointment

1. All Internal and Assistant Internal Examiners *must* be reappointed annually.
2. There is no limit to the number of years that an Internal or Assistant Internal Examiner *may* serve.
3. Internal and Assistant Internal Examiners *should* be nominated by the Chair of the Programme Board of Examiners.
4. In the case of a newly-instituted Programme Board of Examiners, nominations *should* be made by the Department/Division.
5. Each year, the Chair of the Programme Board of Examiners *should* submit the Board's full internal constitution and membership for the forthcoming session to the Faculty Board of Examiners for approval. Nominations *may* be approved by the Faculty Board of Examiners via Chair's Action.
6. All nominations *should* be approved by the Faculty Board of Examiners by the end of the first term of the academic year in which the examiners will act.
7. Internal and Assistant Internal Examiners *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 (see [Section 13.2](#) above).

### 13.7.3 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 Programme 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.

### 13.7.4 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 programme 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 7: Marking and Moderation.
- f) To ensure that the decisions which they commend to the Programme 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.

## 13.8 Assistant Internal Examiners

### 13.8.1 Conditions of Appointment

1. The Chair of the Programme Board of Examiners *may* appoint Assistant Internal Examiners.
2. Assistant Internal Examiners are not members of the Programme Board of Examiners, but *may* attend meetings of the Board by invitation.
3. Assistant Internal Examiners *must* be suitably-qualified research students or staff registered at UCL who contribute to the teaching of the programme or modules concerned.
4. A newly appointed Assistant Internal Examiner *must* receive appropriate training and induction.
5. Assistant Internal Examiners *must* be reappointed annually.
6. There is no limit to the number of years that an Assistant Internal Examiner *may* serve.

### 13.8.2 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.

### 13.8.3 Nomination and Appointment

1. Assistant Internal Examiners *must* be nominated by the Chair of the Programme Board of Examiners following the same procedures required for the nomination and appointment of Internal Examiners (see Section 13.7 above).

### 13.8.4 Responsibilities

1. Assistant Internal Examiners *may* be required to assist Programme Boards of Examiners 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 permanent member of UCL academic staff.

# 14 Examination Irregularities & Plagiarism

The Examination Irregularities & Plagiarism regulations set how UCL will investigate and penalise any conduct which is likely to affect the standards of the qualifications awarded by UCL.

## 14.0 Overarching Principles

Principle 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.

## 14.1 Jurisdiction

1. This procedure sets out the arrangements for investigating any conduct which is considered to breach UCL's examination regulations and which is likely to give an unfair advantage to the candidate and/ or affect the security of examinations, whether written, oral, practical or coursework.
2. Any matter raised in the course of an enquiry into a breach of the examination regulations which is considered by Student & Registry Services<sup>1</sup>, the Examinations Irregularities Panel or Departmental/Divisional Panel to fall within the jurisdiction of the Vice-Provost (Education & Student Affairs), shall be referred to the Vice-Provost (Education & Student Affairs) after the investigation into the allegation (including any hearing by the Examination Irregularities Panel).
3. This procedure applies to all students and former students of UCL who have been assessed under regulations for UCL programmes. Allegations of a breach of the examination regulations involving students and former students of UCL who have been assessed under regulations for federal programmes will normally be referred to the University of London. Suspicions of a breach of the examination regulations involving staff of UCL will be referred to the Director of Human Resources.
4. Students may seek advice from the [UCL Union Rights and Advice Office](#).

## 14.2 Categories of Breaches of the Examination Regulations

1. For the purpose of this procedure, a breach of the examination regulations will include, but will not necessarily be restricted to:
  - i) The introduction into the examination room of any materials other than those permitted for that examination;
  - ii) The unauthorised removal of an examination script, any part of an examination script or blank examination stationery from the examination room except by a person with designated authority to do so;
  - iii) Any attempt to confer with or gain access to the script of any other candidate during the period of the examination; or to collaborate in or gain access to the assessed coursework of any other candidate, unless authorisation to do so has been given;
  - iv) Any attempt to tamper with examination scripts or coursework after they have been relinquished by candidates;
  - v) Any unauthorised study and/ or unsupervised absence of a candidate from the examination room during the period of an examination<sup>2</sup>;
  - vi) Impersonation or attempted impersonation of a candidate;
  - vii) Other conducts likely to give an unfair advantage to the candidate.

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<sup>1</sup> Wherever in this section a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

<sup>2</sup> Normally candidates will not be allowed back into the examination room after leaving it without permission and/or without supervision. Should they have been found to have re-entered after such an absence they will be in breach of the regulations.



2. **Plagiarism**, which is defined as the presentation of another person's thoughts or words or artefacts or software as though they were a student's own, and can include self-plagiarism (see also Section 13: Boards of Examiners).
3. **Collusion**, which is defined as collaboration by two or more candidates in the production of assessed coursework unless appropriate authorisation from the Course/Module Organiser (s) to do so has been given.
4. **Falsification**, which is defined for the purpose of this procedure as the fraudulent alteration or misrepresentation of data and/ or other information.
5. Arrangements for dealing with allegations of a breach of the examination regulations listed under paragraph 14.2.1 are set out at Section 14.5 of these procedures.
6. Arrangements for dealing with allegations of breaches of the examination regulations involving the categories listed at paragraphs 14.2.2 to 14.2.4 above are set out at Section 14.3 of these procedures.
7. For ease of reference Annex 4.4.1 Flow Chart of Departmental Actions in Plagiarism / Collusion / Falsification Procedure sets out the steps involved in considering an allegation made under these procedures.

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

### 14.3.1 Minor Cases

1. The following instances of plagiarism and/ or collusion<sup>3</sup> (but not including use of a fellow student's work without that student's knowledge and consent) and/ or falsification will normally be deemed to be of a minor nature and will be dealt with by the Course/Module Organiser:
  - i) A first offence in the first-year of a programme of two or more years' duration (or the first term of a programme of one year's or less duration) in which no more than one third (approximately) of the work can be demonstrated to have been plagiarised.
2. In such cases the Course/Module Organiser will, at his/her discretion, impose a penalty<sup>4</sup> and report the matter to the Departmental/Divisional Tutor<sup>5</sup> for noting on the student's file, but no further action or report will be made. Such records, will, however, be taken into account in the event of any subsequent allegations of a breach of the examination regulations being made against the student(s) concerned (see paragraph 14.3.3i below).
3. The student has the right of appeal against a decision of the Course/Module Organiser (see paragraph 14.4.3 below).

### 14.3.2 Major Cases

1. Any case of a breach of the examination regulations not covered by paragraph 14.3.1.i above shall be reported as soon as it is detected by the Course/Module Organiser to the Chair of the Programme Board of Examiners<sup>6</sup>. Any such referral must include the following:
  - a) A completed Report of a Breach of the Examination Regulations [hereafter referred to as the 'Report'] (see Annex 4.4.2).
  - b) A copy of the coursework involved.
  - c) A copy of the text(s) or part of the text(s) believed to have been plagiarised from with, if possible, the relevant passages highlighted.
2. The Course/Module Organiser shall at the same time inform the student concerned that the matter is being reported to the Chair(s) of the Board(s) of Examiners.

<sup>3</sup> Where collusion between two or more students is established, all students concerned will be penalised.

<sup>4</sup> The penalties open to the Course/Module Organiser are restricted to one or more of the following: an informal reprimand, a reduced or zero mark or a requirement for the student(s) to resubmit the assessment in question.

<sup>5</sup> For taught graduate students the Departmental Graduate Tutor fulfils the Departmental Tutor's role.

<sup>6</sup> Wherever in this document a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

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

1. In considering each referral, the Chair of the Programme Board of Examiners must decide whether the allegation(s) concern(s) prima facie evidence of:
  - a) A second or repeat offences occurring at separate examination periods or;
  - b) An attempt to gain access to or use of the assessed coursework of another candidate without that candidate's knowledge or;
  - c) An offence which, if proven, may result in the suspension or termination of a student's registration.

In such instances, the Chair of the Programme Board of Examiners will automatically refer the matter to the Registrar, Student & Registry Services, for subsequent consideration by UCL's Examination Irregularities Panel (see [Section 14.5](#) of these procedures).

2. For other instances of a breach of the examination regulations (as defined in [paragraphs 14.2.2 to 14.2.4](#)) and normally comprising no more than a single allegation involving an assessment totalling no more than one module) where the Chair of the Programme Board of Examiners deems on the evidence presented to him/her that prima facie evidence of a breach of the examination regulations has been provided, he/she shall arrange for the establishment of a Departmental/Divisional Panel to consider the case in accordance with the following procedure.

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

1. The Chair of the Programme Board of Examiners shall forward to the student(s) against whom the allegation is made a copy of Part I of the completed Report along with a copy of these regulations and copies of all documentary evidence relating to the allegation (as listed in the Report), normally within ten working days of receipt of the report from the Course/ Module Organiser.
2. The Report shall be accompanied by a letter inviting the student(s) to respond in writing to the allegation(s). At the same time, the student(s) will be invited to attend the DP and may choose to be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL. That person cannot be a member of the Departmental/Divisional Panel.
3. The sole purpose of the DP will be to investigate the grounds on which the allegation has been made and to determine, where appropriate, the penalty to be imposed.
4. The DP will normally comprise the Chair of the Programme Board of Examiners (acting as Chair) and at least two other members of staff from the Department/Division not directly involved in the teaching of the course/module(s) in question. It is recommended that, where practicable, the Faculty Tutor should also be invited to attend in the capacity of an observer. A Secretary will be appointed normally from the Department/Division concerned. A formal written record of the DP shall be made (see part III of [Annex 4.4.2 Report of a Breach of the Examination Regulations Form](#)).
5. The quorum for the DP shall be three including the Chair. In those instances where the course/module concerned involves a Department/Division other than the student's home Department/Division, the Chair of the DP will inform the Chair of the Programme Board of Examiners of the student's 'home' Department/Division that a DP will be held and invite him/her to be a member of the Panel. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
  - a) A formal written record of the DP shall be made (see part III of [Annex 4.4.2 Report of a Breach of the Examination Regulations Form](#)) detailing the seriousness of the offence;
  - b) At the conclusion of the DP hearing the Panel shall determine in private whether a breach of the examination regulations has occurred and shall consider what action to take in respect of the student or students involved.
6. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
  - a) The student's year of study and any particular circumstances;
  - b) The seriousness of the offence;
  - c) The relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;

- d) The effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment would have (e.g. whether it is a compulsory assessment, or could be discounted when the award of the qualification is made);
- e) The effect in regard to the student's academic progression/Scheme of Award that a simple failure of the assessment in question would have on a student in normal circumstances<sup>7</sup>;
- f) The arrangements for Resitting/retaking the assessment in question.

## 14.4 Departmental / Divisional Panels (DP)

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

1. The Departmental/Divisional Panel may decide on one or more of the following actions in respect of instances of a breach of the examination regulations:
  - i) That no breach of the examination regulations has been committed and no further action be taken (save as set out at paragraph 14.4.1.iii below);
  - ii) That no further action be taken;
  - iii) That the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations (Such an informal reprimand will be given by the student's Faculty Tutor but will not be entered on the student's record);
  - iv) That the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations. The Faculty Tutor shall inform the Registrar, Student & Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned (Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record, as shall all other actions taken except paragraphs 14.4.1.i, ii and iii above);
  - v) That a reduced mark be given for the performance of the student in the assessment in question;
  - vi) In such cases the student may, at the discretion of the Panel, be required to re-enter the assessment, or, if the assessment in question contains more than one element, all prescribed elements of the assessment(s)";
  - vii) That the maximum mark that the student be awarded on re-entering the assessment in question be no more than the minimum pass mark for that assessment [N.B. the decision of a Departmental/Divisional Panel that a breach of the examination regulations has occurred need not preclude the student in question from submitting subsequent coursework for assessment for the same course, where applicable];
  - viii) That in the light of the evidence presented at the DP no decision be made and the matter be referred to the Registrar, Student & Registry Services, (see paragraphs 14.3.3.i and 14.5).

### 14.4.2 Findings of a Departmental/ Divisional Panel

1. Findings and the decision of the Panel shall be set out at Part IV of the Report and forwarded to the student, together with these regulations, indicating the mechanisms for appeal.
2. The findings and decision shall not be published other than to the student until after the end of the period within which an appeal may be lodged (see paragraph 14.4.3), following which the matter will be formally reported to the next full meeting of the Programme Board of Examiners of the student's home Department/Division. A complete copy of the Report (i.e. Parts I–IV) shall also be forwarded to the Registrar, Student & Registry Services, and the relevant Faculty Tutor. The accompanying documentary evidence need not be submitted at this time.
3. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

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<sup>7</sup> This information should already be provided at Part II of the Report and is confidential to the Departmental/Divisional Panel only. It is expected that any penalty imposed on a student found guilty of a breach of the examination regulations under this procedure should have a greater effect in regard to the student's academic Progression/Scheme of Award than if the student had simply failed the course(s)/module(s) in question.

### 14.4.3 Notice of Intention to Appeal

1. If the student does not accept the decision of the Course/Module Organiser or Departmental/Divisional Panel, he/she may request that the matter be referred to UCL's Examination Irregularities Panel for review in accordance with the procedure as set out at [paragraph 14.5.2](#). The deadline for receipt of such a request will be ten working days from the date of formal notification of the Module Organiser's or Departmental/Divisional Panel's decision. In such cases referral to the Examinations Irregularities Panel shall be considered as an appeal and the decision of the Examination Irregularities Panel shall be final. Further recourse to the Appeal procedure as outlined at [paragraph 14.5.5](#) will not normally be permitted.

## 14.5 Examination Irregularities Panel

### 14.5.1 Proceedings of the Examination Irregularities Panel

1. All allegations of a breach of the examination regulations categorised under [paragraphs 14.2.1 or 14.3.3.i](#) shall be reported in the first instance to the Registrar, Student & Registry Services (normally either by the Chair of the Programme Board of Examiners or the Examination Supervisor as appropriate) as soon as possible after the matter has been detected.
2. Documentation to be provided to the Registrar, Student & Registry Services should include:
  - i) The examination script(s) or other work implicated in the suspicion of examination irregularity, and the question paper in the case of written examinations<sup>8</sup>;
  - ii) Where applicable, the report(s) of the supervisor(s) of the written examination(s) concerned;
  - iii) Any notes, or other items which may have conferred an unfair advantage, found in the possession of a student while in or around the examination room;
  - iv) Any record of any interview held with the student(s) concerned by the Head or other member(s) of the Department/Division involved<sup>9</sup>.
3. Where the Registrar, Student & Registry Services, deems on the evidence presented to him/her that the allegation of a breach of the examination regulations is of a minor or technical nature, he/she, after consultation with the Vice-Provost (Education & Student Affairs), and, where relevant, the Chair(s) of the Programme Board(s) of Examiners concerned, may decide either that the matter may be dealt with by the Programme Board(s) of Examiners concerned in whatever way is considered appropriate or that no further action shall be taken, or that an informal reprimand will be issued. The matter shall then be regarded as closed. Alternatively, a formal reprimand can be issued with the option for the student to go before an Examinations Irregularity Panel.
4. Where the Registrar, Student & Registry Services, deems that prima facie evidence of a breach of the examination regulations has been presented, he/she shall refer the matter either to the Examination Irregularities Panel or, in appropriate cases, to the University for investigation under its procedures<sup>10</sup>.
5. If the matter is to be referred to the Examination Irregularities Panel, the Registrar, Student & Registry Services, shall write, enclosing a copy of these regulations, to the student against whom the allegation is made. The letter shall inform him/her of the allegation(s), and the decision to refer the matter to the Panel and shall invite him/her to attend the Panel hearing. The Registrar, Student & Registry Services, will ask for written confirmation, within ten working

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

9 If the allegation is submitted by the Chair of the Programme Board of Examiners, a completed Report Form for an Allegation of a Breach of the Examination Regulations should also be completed (see Annex 4.4.2). If the report is submitted by the Examination Supervisor, a Suspected Examination Irregularity Statement form should normally be completed by both the Examination Supervisor and student concerned.

10 Where necessary, the Registrar will ask the Chair of the Programme Board of Examiners to complete a Report Form for an Allegation of a Breach of the Examination Regulations.

days of the receipt of the letter, of both the receipt of the letter and appropriate addresses for correspondence.

6. The Chair(s) of the Programme Board or Boards of Examiners concerned, the Head(s) of Department(s)/Division(s) concerned (or, where the Department/Division is also the Chair of the Programme Board of Examiners concerned, the Departmental/Divisional Tutor) and the Secretary of the Examinations Irregularities Panel shall also receive a copy of the Registrar, Student & Registry Services', letter.
7. All formal communications from UCL to the student concerned, following referral of the matter to the Registrar, Student & Registry Services, shall be in writing and delivered by hand or sent to his/her last known UK address or sent to the student's UCL email account, unless the student has notified UCL of an alternative address outside the UK. It is the responsibility of students to ensure that UCL's records of their addresses are up to date and that they can be contacted at these addresses, and that they check their UCL email accounts regularly. No provision can be made for an extension to the deadline at paragraph 14.5.1.5 above if a student has failed to communicate to UCL any change of address. Every student should be advised to ensure that he/she can be readily contacted during the six weeks following the last Programme Board of Examiners meeting in the Summer Term (or, in the case of September Resit examinations, the last meeting of the Programme Board of Examiners concerned). Failure to do so will mean that (unless, exceptionally, the allegation(s) is reported to the Registrar, Student & Registry Services, after the end of the Summer Term) any allegation(s) will be considered in the student's absence.
8. The Panel will normally meet once in the Autumn and Spring Terms and also prior to the main Programme Board of Examiners meetings in the summer. The dates when the Panel is to meet (if required) shall be set annually by the Registrar, Student & Registry Services, in consultation with the Vice-Provost (Education & Student Affairs). Students should be forewarned that decisions on any suspected breach of the regulations may be deferred until the next scheduled Examinations Irregularities Panel hearing is to be convened.

#### 14.5.2 Establishment and Procedure of Examination Irregularities Panel

1. The Examination Irregularities Panel shall be constituted as follows:
  - i) The Vice-Provost (Education & Student Affairs) (or his/her nominee if the Chair's own Department/Division/Faculty is involved), who shall be Chair of the Panel;
  - ii) A Faculty Tutor who shall be nominated by the Chair of the Panel and who shall neither be from any Department/Division involved nor Chair of any Programme Board of Examiners involved;
  - iii) A Sabbatical Officer of the UCL Union, normally the Education, Welfare or Medical and Postgraduate Officers, who shall not be from any Department/Division involved;
  - iv) The Director of Academic Services.
2. The Examination Irregularities Panel shall be serviced by a member of the Registry through whom all documentation will be passed. There shall be no communication, either written or oral, between the Examination Irregularities Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly with members of the Examinations Irregularities Panel will not be admitted as part of the case documentation.
3. The Secretary to the Examination Irregularities Panel shall provide the student with a copy of the Report and all other information available to the Panel, confirm the date and time of the Panel meeting which he/she is invited to attend (see paragraph 14.5.1.5 above), and invite the student to submit, no later than a week before the meeting of the Panel, a statement in response to the allegation(s) (in addition to any he or she may have previously submitted). The statement may include any statements from witnesses.
4. The student shall also be advised that he/she may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Examination Irregularities Panel or the Appeal Panel.
5. The student's statement, with any other information provided by the student, shall be copied to the Chair(s) of the Board(s) of Examiners concerned, who shall be invited to reply to any points raised in the statement(s) which have not been covered in the information so far received by the secretary of the Panel. Their replies should reach the secretary no later than two working

- days before the Examination Irregularities Panel in question and be circulated to all participants including the student(s) concerned.
6. The Panel shall have power to call further witnesses, as it sees fit, and will normally invite a representative from the Department/Division concerned, whose role will be to provide clarification on factual matters (e.g. departmental/divisional procedures, etc.), as necessary, in order to assist the Panel with its deliberations.
  7. The sole purpose of the Panel hearing shall be to investigate the grounds on which the allegations have been made and to determine, where appropriate, the penalty to be imposed.
  8. The Panel shall endeavour to reach a decision on all cases referred to it at the meeting on the agreed date(s) but may, if necessary, reconvene as required provided that it shall have reached a decision on all cases referred to it within ten working days of the date of its first meeting. The student against whom the allegation(s) is made shall be notified of the date of any reconvened meeting.
  9. The quorum for the Examination Irregularities Panel shall be three including the Chair.
  10. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
  11. For the purpose of the meeting, a decision by the Examination Irregularities Panel on any point of procedure will be binding. That decision may be the subject of appeal before the Appeals Panel.

### 14.5.3 Decisions of the Examination Irregularities Panel

1. The decision of the Examination Irregularities Panel shall be reached by the majority vote of the members of the Panel present at the meeting(s), but shall be, and shall be announced as, the decision of the Panel.
2. If the votes of the Panel are evenly divided on the question of the appropriate finding or action to be taken then its decision shall always be in favour of the less serious finding or action to be taken.
3. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.
4. At the conclusion of its consideration of the evidence the Panel shall determine whether a breach of the examination regulations has been committed and shall consider what action to take in respect of the student or students involved.
5. If the Panel finds that a breach of the examination regulations has been committed the Panel shall take the following into consideration in reaching its decision:
  - i) the seriousness of the offence;
  - ii) the relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;
  - iii) the effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment(s) in question would have (e.g. whether the assessment(s) in question is/are compulsory, or could be discounted when the award of the qualification is made);
  - iv) the arrangements for resitting/retaking the assessment(s) in question;
  - v) the effect in regard to the student's academic progression/Scheme of Award that failure of the assessment(s) in question would have on a student in normal circumstances.

### 14.5.4 Penalties Open to an Examination Irregularities Panel

1. The Examination Irregularities Panel may decide on one or more of the following actions:
  - i) that no irregularity has been committed and no further action be taken;
  - ii) that no further action be taken;
  - iii) that the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations. Such an informal reprimand shall not be entered on the student's record;
  - iv) that the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations; the Faculty Tutor shall inform the Registrar, Student & Registry Services, as soon as is practicable after the meeting of

- the Panel that such a formal reprimand has been given to the student concerned. Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record as shall all other actions taken except 14.5.4.1i, ii and iii above;
- v) that the performance of the student in part or in all of the assessments he/she sat in the year the breach of the regulations occurred be withheld;
  - vi) that the student not be permitted to re-enter for part or all of those assessments before the expiry of a stated period of time;
  - vii) that the student be permitted to re-enter for part or all of those assessments on the next normal occasion;
  - viii) that no degree/diploma/certificate be awarded to the candidate before the expiry of a stated period not exceeding three terms following satisfactory completion of the conditions for the award;
  - ix) that no degree/diploma/certificate be awarded to the candidate;
  - x) that the student be excluded from any future examinations of UCL for this programme or a different programme within UCL;
  - xi) that the penalty be a variation on any of the above to reflect more appropriately the seriousness of the offence and/or the effect that the decision may have on the student's future academic progression;
  - xii) that a degree, diploma or certificate already awarded to a student should be revoked.
2. The penalty set out at paragraph 14.5.4.1.iv above will normally be included in the Panel's decision where a penalty or penalties within the range at paragraph 14.5.4.1.v above have been imposed.
  3. Where the Panel orders that the performance of a candidate in part or in all of the assessments in question under paragraph 14.5.4.1.v above be withheld, and the candidate is permitted to enter for the assessment(s) in question on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the component.
  4. Where the Panel orders that the performance of a candidate in all of the assessments he/she sat in the year the breach of the regulations occurred, under paragraph 14.5.4.1.v above, be withheld and the candidate is permitted to enter for these assessments on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the assessments.
  5. Where the decision is that the student be permitted to re-enter for part or all of those assessments under paragraphs 14.5.4.1.vi and 14.5.4.1.vii above, it may, at its discretion, order that the maximum mark that the student can be awarded on re-entering the assessment(s) in question be no more than the minimum pass mark for that assessment.
  6. The Panel may refer any matter raised in the course of its enquiry which it considers to fall outside its jurisdiction to the appropriate officer or agency (see Section 14.1).
  7. Findings and decisions of the Panel shall be delivered in writing to the student concerned at his/her last known UK address (see paragraph 14.5.1.7 above) and reported to the Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 14.5.2.5 above normally within ten working days of the hearing being held.
  8. The findings and decisions shall not be published other than to the student and Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 14.5.2.5 above until after the end of the period within which an appeal may be lodged<sup>11</sup>.
  9. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

## 14.5.5 Notice of Intention to Appeal

1. Any appeal against the decision of the Examinations Irregularities Panel shall be made under the following procedure.
2. Notice of intention to appeal shall be made in writing to the Registrar, Student & Registry Services, within ten working days of the date of the notification to the student of the decision in

<sup>11</sup> Where successful completion of a programme of study will lead to part or full professional accreditation or membership of a professional body or the right to practice professionally, UCL withholds the rights to notify the relevant professional body of any particulars of a proven offence.

- respect of which appeal is made. Such notice shall include all documentation pertaining to the grounds on which the appeal is being made. No further communications of any sort will be accepted for consideration under an appeal after this time.
3. An appeal should normally be made only on one or more of the following grounds:
    - i) that the Panel hearing was not conducted according to the above procedures;
    - ii) that fresh evidence has become available which was not, and which could not reasonably have been, made available to the Panel;
    - iii) that the penalty agreed by the Panel was inappropriate in relation to the offence.
  4. As soon as is practicable after receipt of such notification the Registrar, Student & Registry Services, shall present the documentation relevant to the appeal to the Chair of the Appeals Panel who shall decide on the evidence available whether or not the appeal should be proceeded with in accordance with the grounds set out at paragraph 14.5.5.3 above, and notify the Registrar, Student & Registry Services, to that effect normally within ten working days of receipt of the documentation.
  5. If it is decided not to proceed with the appeal, the Registrar, Student & Registry Services, shall inform the appellant of the decision of the Chair of the Appeals Panel, giving reasons, normally within five working days of receiving it.
  6. Where it is decided that the appeal shall be proceeded with, the Registrar, Student & Registry Services, shall inform the appellant and will make the necessary arrangements for the appeal to be held as early as possible, and in any case within three calendar months of receipt of the notification of intention to appeal. The appellant will be notified of the date of the appeal and will be invited to attend, accompanied by a 'friend' (see paragraph 14.5.2.4 above).
  7. The constitution of an Appeals Panel shall be as follows:
    - i) the Chair of the UCL Education Committee, or their nominee, who shall be Chair of the Appeals Panel;
    - ii) two members of academic staff to be nominated by the Chair of Academic Board;
    - iii) a UCL Union Sabbatical Officer or nominee.
  8. None of the above shall have been a member of the Examination Irregularities Panel against whose decision the appeal is made, nor a member of any Department/Division involved, nor have assisted the appellant in any way with the presentation of his or her case for either the Examination Irregularities Panel or for the Appeals Panel.
  9. The Chair of the Appeals Panel must be different to the Chair of the original Examinations Irregularities Panel under consideration e.g. where the Vice-Provost (Education & Student Affairs) chaired the original panel, he/she must nominate a different chair for the Appeals Panel).
  10. The quorum for a Grievance Appeals Panel shall be three including the Chair.
  11. The Secretary of a Grievance Appeals Panel shall be appointed by the Registrar, Student & Registry Services. He or she shall not have acted as secretary to the Examination Irregularities Panel<sup>12</sup>.
  12. The Appeals Panel and all other parties shall be supplied with a statement of the grounds for appeal and a copy of the Report of the original proceedings and such other evidence as is considered appropriate.
  13. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
  14. An Appeals Panel shall have power to reverse or modify the decision appealed from in any way that it thinks fit.
  15. In reaching its decision an Appeals Panel shall take into consideration the evidence provided under paragraph 14.5.12 above.
  16. The decision of an Appeals Panel shall be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.
  17. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.

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<sup>12</sup> 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 appellant's academic position. The Chair of the original Panel or his/her nominee will also be invited to attend the Appeal hearing as a witness.



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

## 14.6 OIA Student Complaints Scheme

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

# 15 Award of Degrees

The degree awarding regulations cover the publication of results, the conferment of UCL qualifications and the issuing of transcripts and certificates.

## 15.1 Overarching Principles

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

## 15.2 Authority to Award a UCL Taught Degree

1. The Programme 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.

## 15.3 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.

## 15.3 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 Programme Board of Examiners *may* recommend a qualification with an alternate field of study under the regulations in Section 12.3.

## 15.4 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 Programme 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 Programme 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 Unconfirmed Provisional Marks

4. Programme 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 Programme Board of Examiners.
6. Any marks released before confirmation by the relevant Programme Board of Examiners are provisional and therefore subject to change.
7. Under the Data Protection Act 1998 tutors *should* ensure that, when returning coursework, 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 4.3.6: Protocol for the Release of Unconfirmed 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 Programme 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](mailto:records.office@ucl.ac.uk).

### **Release of Examination Scripts**

11. Examination scripts will not routinely be returned to students.
12. Under the Data Protection Act 1998, comments on examination scripts *must* be disclosed in a legible form to the student concerned, *should* that student request it, although the original scripts themselves do not have to be made available. Any queries *should* be made to UCL's Data Protection Officer.

## 15.5 Certificates and Transcripts

### **Contact Details**

1. Students *must* ensure that their contact details are kept up to date, via Portico, as this contact address will be used for the dispatch of transcripts and degree certificates.

### **Degree Certificates**

2. A degree certificate will be sent to each successful student awarded a UCL degree.

### **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](#), 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](#).

## 15.6 Academic Robes

1. All UCL graduands *must* wear academic robes, obtained from the appropriate UCL supplier, to the graduation ceremonies.

## 15.7 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.

## 15.8 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 Programme 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 Examination Irregularities or Plagiarism.

## 15.9 Requesting a Review of a Board of Examiners' Decision

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

## 15.10 Material Irregularities

1. A Material Irregularity is an administrative or procedural error which has a significant, negative impact on a student's performance at summative assessment. 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 Chapter 1, Section 12: Student Complaints 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 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 Policy and Quality Assurance. This can be done by Chair's Action if necessary.
5. 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) If the assessment has already taken place:
    - i. Offering a coursework extension, OR
    - ii. Condoning the late submission of coursework, OR
    - iii. Offering an alternative method of assessment (approved by the External Examiner), OR
    - iv. Offering the student another opportunity to take the assessment as if for the first time and without penalty (Deferral), OR
    - v. Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, OR
    - vi. A combination of the above mitigations.
  - c) Making a recommendation to UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) for a Suspension of Regulations.
  - d) Where the Programme Board of Examiners has already made a decision on Progression or Award, recommending to UCL Academic Policy and Quality Assurance on behalf of the Vice-Provost (Education & Student Affairs) that the decision is overturned and a new decision is put in its place, in consultation with the relevant External Examiner.
6. In no circumstances *should* a student be awarded additional marks to compensate for the irregularity.
7. All cases *must* be clearly recorded in the Faculty Board of Examiners minutes and any changes to student results recorded on Portico.

## 15.11 Suspension of the Regulations

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 to Student & Registry Services and formally approved by UCL Academic Policy and Quality Assurance on behalf of the Vice Provost (Education & Student Affairs).
2. Suspensions of regulations are reported to the next meeting of the Education Committee, and an annual analysis conducted to identify common issues that *should* be incorporated into the main regulations.