



# Regulations for Boards of Examiners for Taught Programmes in Respect of a Breach of Academic Assessment Regulations

## 2014-2015 Academic Session

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## General guidance

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.

Students may seek advice from the UCL Union Rights and Advice Office (tel: 020 7679 2533/2507).

Visit the [UCL Union Rights and Advice Office](#).

### 1 Jurisdiction

- 1.1 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.
- 1.2 Any matter raised in the course of an enquiry into a breach of the examination regulations which is considered by the Registrar, Student and Registry Services,<sup>1</sup> the Examinations Irregularities Panel or Departmental/Divisional Panel to fall within the jurisdiction of the Dean of Students (Academic) and shall be referred to the Dean of Students **after** the investigation into the allegation (including any hearing by the Examinations Irregularities Panel)<sup>2</sup>.

### 2 Categories of Breaches of the Examination Regulations

- 2.1 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;

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<sup>1</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.

<sup>2</sup> Where a matter is likely to be referred to the Dean of Students (Academic) following a hearing of the Examinations Irregularities Panel, the Dean may be invited to attend that hearing as an observer.

- 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>3</sup>;
  - vi) Impersonation or attempted impersonation of a candidate;
  - vii) Other conducts likely to give an unfair advantage to the candidate.
- 2.2 **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<sup>4</sup>;
- 2.3 **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;
- 2.4 **Falsification**, which is defined for the purpose of this procedure as the fraudulent alteration or misrepresentation of data and/or other information.
- 2.5 Arrangements for dealing with allegations of a breach of the examination regulations listed under 2.1 are set out at section 7 of this document.
- 2.6 Arrangements for dealing with allegations of breaches of the examination regulations involving the categories listed at 2.2 to 2.4 above are set out at section 3.
- 2.7 For ease of reference there is a flow chart (at the end of this document) setting out the steps involved in considering an allegation made under these procedures.

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<sup>3</sup>Normally candidates will not be allowed back into the examination room after leaving it without permission and/or without supervision. Should they have been found to have re-entered after such an absence they will be in breach of the regulations.

<sup>4</sup> See also the UCL's [Regulations for Boards of Examiners for Taught Programmes](#).

### **3 Initiation of proceedings in respect of allegations of a breach of the examination regulations involving plagiarism and/or collusion and/or falsification**

#### **3.1 Minor cases**

- i) The following instances of plagiarism and/or collusion<sup>5</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:

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.

- ii) In such cases the Course/Module Organiser will, at his/her discretion, impose a penalty<sup>6</sup> and report the matter to the Departmental/Divisional Tutor<sup>7</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 section 3.3i below).
- iii) The student has the right of appeal against a decision of the Course/Module Organiser (see section 6 below).

#### **3.2 Major Cases**

- viii) Any case of a breach of the examination regulations not covered by 3.1.i above shall be reported as soon as it is detected by the Course/Module Organiser to the Chair of the Board of Examiners<sup>8</sup>. Any such referral must include the following:
- a) A completed [hereafter referred to as the 'Report']. Find a link to download the form at the end of section 3.

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<sup>5</sup> Where collusion between two or more students is established, all students concerned will be penalised.

<sup>6</sup> The penalties open to the Course/Module Organiser are restricted to one of 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>7</sup> For taught graduate students the Departmental Graduate Tutor fulfills the Departmental Tutor's role.

<sup>8</sup> Wherever in this document a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

- b) 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.
- ii) 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.

### **3.3 Decision on referral to the Departmental/Divisional Panel or the Registrar, Student and Registry Services**

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

In such instances, the Chair of the Board of Examiners will automatically refer the matter to the Registrar, Student and Registry Services, for subsequent consideration by UCL's Examination Irregularities Panel (see section 7 below).

- ii) For other instances of a breach of the examination regulations (as defined at 2.2 to 2.4 above and normally comprising no more than a single allegation involving an assessment totalling no more than one course unit) where the Chair of the Board of Examiners deems on the evidence presented to him/her that prima facie evidence of a breach of the examination regulations has been provided, he/she shall arrange for the establishment of a Departmental/Divisional Panel to consider the case in accordance with the following procedure.

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

- i) The Chair of the Board of Examiners shall forward to the student(s) against whom the allegation is made a copy of Part I of the completed Report along with a copy of these regulations and copies of all documentary evidence relating to the allegation (as listed in the Report), normally within ten working days of receipt of the report from the Course/ Module Organiser.

**UCL Student and Registry Services Division**  
Academic Services Department

- ii) 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.
- iii) 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.
- iv) The DP will normally comprise the Chair of the Board of Examiners (acting as Chair) and at least two other members of staff from the department/division not directly involved in the teaching of the course/module(s) in question. It is recommended that, where practicable, the Faculty Tutor should also be invited to attend in the capacity of an observer. A Secretary will be appointed normally from the Department/Division concerned. A formal written record of the DP shall be made (see part III of the Report of a breach of the examination regulations form).
- v) The quorum for the DP shall be three including the Chair. In those instances where the course/module concerned involves a department/division other than the student's home department/division, the Chair of the DP will inform the Chair of the Board of Examiners of the student's 'home' department/division that a DP will be held and invite him/her to be a member of the Panel. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
  - a) A formal written record of the DP shall be made (see part III of the 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.
- vi) 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;

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- 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 *[N.B. 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.]*;
- f) The arrangements for resitting/retaking the assessment in question.

### **Link for section 3**

[Report Form for an Allegation of a Breach of the Examination Regulations \(PDF\)](#)

## **4 Penalties open to a Departmental / Divisional Panel**

- 4.1 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 item 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 and Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned (Such a formal reprimand shall be

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entered on the student's departmental/divisional and UCL record, as shall all other actions taken except i, ii and iii above);

- v) That a reduced mark be given for the performance of the student in the assessment in question;
- vi) In such cases the student may, at the discretion of the Panel, be required to re-enter the assessment, or, if the assessment in question contains more than one element, all prescribed elements of the assessment(s);”
- vii) That the maximum mark that the student be awarded on re-entering the assessment in question be no more than the minimum pass mark for that assessment [*N.B. the decision of a Departmental Panel that a breach of the examination regulations has occurred need not preclude the student in question from submitting subsequent coursework for assessment for the same course, where applicable.*];
- viii) That in the light of the evidence presented at the DP no decision be made and the matter be referred to the Registrar, Student and Registry Services, (see sections 3.3.i and 7).

## **5 Findings of a Departmental / Divisional Panel**

- 5.1 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.
- 5.2 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 section 6), following which the matter will be formally reported to the next full meeting of the Board of Examiners of the student's home department/division. A complete copy of the Report (i.e. Parts 1–IV) shall also be forwarded to the Registrar, Student and Registry Services, and the relevant Faculty Tutor. The accompanying documentary evidence need not be submitted at this time.
- 5.3 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.

## **6 Notice of Intention to Appeal**

- 6.1 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 section 8. The deadline for receipt of such

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a request will be ten working days from the date of formal notification of the Course/Module Organiser's or Departmental/Divisional Panel's decision. In such cases referral to the Examinations Irregularities Panel shall be considered as an appeal and the decision of the Examination Irregularities Panel shall be final. Further recourse to the Appeal procedure as outlined at section 11 below will not normally be permitted.

## **7 Proceedings of the Examination Irregularities Panel**

- 7.1 All allegations of a breach of the examinations regulations categorised under 2.1 above or 3.3.i shall be reported in the first instance to the Registrar, Student and Registry Services (normally either by the Chair of the Board of Examiners or the Examination Supervisor as appropriate) as soon as possible after the matter has been detected.
- 7.2 Documentation to be provided to the Registrar, Student and Registry Services should include:
- i) The examination script(s) or other work implicated in the suspicion of examination irregularity, and the question paper in the case of written examinations<sup>9</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.

[If the allegation is submitted by the Chair of the Board of Examiners, a completed Report Form for an Allegation of a Breach of the Examination Regulations should also be completed (see link at end of section 3). 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.]

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<sup>9</sup> Copies of the relevant documents may be passed to the Chair of the Board of Examiners concerned. Where the examination script is implicated in the suspicion of examination irregularity, the Chair of the Board of Examiners will be invited to award a mark for the script prior to the meeting of the Examination Irregularities Panel.

- 7.3 Where the Registrar, Student and Registry Services, deems on the evidence presented to him/her that the allegation of a breach of the examination regulations is of a minor or technical nature, he/she, after consultation with the Dean of Students (Academic), and, where relevant, the Chair(s) of the Board(s) of Examiners concerned, may decide either that the matter may be dealt with by the Board(s) of Examiners concerned in whatever way is considered appropriate or that no further action shall be taken, or that an informal reprimand will be issued. The matter shall then be regarded as closed. Alternatively, a formal reprimand can be issued with the option for the student to go before an Examinations Irregularity Panel.
- 7.4 Where the Registrar, Student and Registry Services, deems that prima facie evidence of a breach of the examination regulations has been presented, he/she shall refer the matter either to the Examinations Irregularities Panel or, in appropriate cases, to the University for investigation under its procedures<sup>10</sup>.
- 7.5 If the matter is to be referred to the Examinations Irregularities Panel, the Registrar, Student and Registry Services, shall write, enclosing a copy of these regulations, to the student against whom the allegation is made. The letter shall inform him/her of the allegation(s), and the decision to refer the matter to the Panel and shall invite him/her to attend the Panel hearing. The Registrar, Student and Registry Services, will ask for written confirmation, within ten working days of the receipt of the letter, of both the receipt of the letter and appropriate addresses for correspondence.
- 7.6 The Chair(s) of the Board or Boards of Examiners concerned, the Head(s) of Department(s)/Division(s) concerned (or, where the Head of Department/Division is also the Chair of the Board of Examiners concerned, the Departmental/Divisional Tutor) and the Secretary of the Examinations Irregularities Panel shall also receive a copy of the Registrar, Student and Registry Services', letter.
- 7.7 All formal communications from UCL to the student concerned, following referral of the matter to the Registrar, Student and Registry Services, shall be in writing and delivered by hand or sent to his/her last known UK address or sent to the student's UCL email account, unless the student has notified UCL of an alternative address outside the UK. It is the responsibility of students to ensure that UCL's records of their addresses are up to date and that they can be contacted at these addresses, and that they check

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

their UCL email accounts regularly. No provision can be made for an extension to the deadline at 7.5 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 Board of Examiners meeting in the Summer Term (or, in the case of September resit examinations, the last meeting of the Board of Examiners concerned). Failure to do so will mean that (unless, exceptionally, the allegation(s) is reported to the Registrar, Student and Registry Services, after the end of the Summer Term) any allegation(s) will be considered in the student's absence.

- 7.8 The Panel will normally meet once in the Autumn and Spring Terms and also prior to the main Board of Examiners meetings in the summer. The dates when the Panel is to meet (if required) shall be set annually by the Registrar, Student and Registry Services, in consultation with the Dean of Students (Academic). 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.

## **8 Establishment and Procedure of Examinations Irregularities Panel**

- 8.1 The Examinations Irregularities Panel shall be constituted as follows:

- i) The Dean of Students (Academic) (or his/her nominee if the Chair's own department/division/Faculty is involved), who shall be Chair of the Panel;
- ii) a Faculty Tutor who shall be nominated by the Chair of the Panel and who shall neither be from any department/division involved nor Chair of any Board of Examiners involved;
- iii) a Sabbatical Officer of the UCL Union, normally the Education, Welfare or Medical and Postgraduate Officers, who shall not be from any department/division involved;
- iv) the Director of Student Administration.

(The Dean of Students may be invited to attend as an observer - see footnote 2 above).

- 8.2 The Examinations Irregularities Panel shall be serviced by a member of the Registry through whom all documentation will be passed. There shall be no communication, either written or oral, between the Examination Irregularities Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly

with members of the Examinations Irregularities Panel will not be admitted as part of the case documentation.

- 8.3 The Secretary to the Examinations Irregularities Panel shall provide the student with a copy of the Report and all other information available to the Panel, confirm the date and time of the Panel meeting which he/she is invited to attend (see 7.5 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.
- 8.4 The student shall also be advised that he/she may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Examinations Irregularities Panel or the Appeal Panel.
- 8.5 The student's statement, with any other information provided by the student, shall be copied to the Chair(s) of the Board(s) of Examiners concerned, who shall be invited to reply to any points raised in the statement(s) which have not been covered in the information so far received by the secretary of the Panel. Their replies should reach the secretary no later than two working days before the Examinations Irregularities Panel in question and be circulated to all participants including the student(s) concerned.
- 8.6 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.
- 8.7 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.
- 8.8 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.
- 8.9 The quorum for the Examinations Irregularities Panel shall be three including the Chair.
- 8.10 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

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appeal. The recording will be destroyed following the final resolution of each case.

- 8.11 For the purpose of the meeting, a decision by the Examinations Irregularities Panel on any point of procedure will be binding. That decision may be the subject of appeal before the Appeals Panel.

## **9 Decisions of the Examinations Irregularities Panel**

- 9.1 The decision of the Examinations Irregularities Panel shall be reached by the majority vote of the members of the Panel present at the meeting(s), but shall be, and shall be announced as, the decision of the Panel.

- 9.2 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.

- 9.3 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.

- 9.4 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.

- 9.5 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.

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## 10 Penalties open to an Examinations Irregularities Panel

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

- 10.2 The penalty set out at 10.1.iv above will normally be included in the Panel's decision where a penalty or penalties within the range 10.1.v or above have been imposed.
- 10.3 Where the Panel orders that the performance of a candidate in part or in all of the assessments in question under 10.1.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.
- 10.4 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 10.1.5 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.
- 10.5 Where the decision is that the student be permitted to re-enter for part or all of those assessments under 10.1.vi and 10.1.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.
- 10.6 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 1 above).
- 10.7 Findings and decisions of the Panel shall be delivered in writing to the student concerned at his/her last known UK address (see 7.7 above) and reported to the Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 8.5 above normally within ten working days of the hearing being held.
- 10.8 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 8.5 above until after the end of the period within which an appeal may be lodged<sup>11</sup>.
- 10.9 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.

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<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.



## **11 Notice of Intention to Appeal**

- 11.1 Any appeal against the decision of the Examinations Irregularities Panel shall be made under the following procedure.
- 11.2 Notice of intention to appeal shall be made in writing to the Registrar, Student and Registry Services, within ten working days of the date of the notification to the student of the decision in respect of which appeal is made. Such notice shall include all documentation pertaining to the grounds on which the appeal is being made. No further communications of any sort will be accepted for consideration under an appeal after this time.
- 11.3 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.
- 11.4 As soon as is practicable after receipt of such notification the Registrar, Student and Registry Services, shall present the documentation relevant to the appeal to the Chair of the Appeals Panel who shall decide on the evidence available whether or not the appeal should be proceeded with in accordance with the grounds set out at 11.3 above, and notify the Registrar, Student and Registry Services, to that effect normally within ten working days of receipt of the documentation.
- 11.5 If it is decided not to proceed with the appeal, the Registrar, Student and Registry Services, shall inform the appellant of the decision of the Chair of the Appeals Panel, giving reasons, normally within five working days of receiving it.
- 11.6 Where it is decided that the appeal shall be proceeded with, the Registrar, Student and Registry Services, shall inform the appellant and will make the necessary arrangements for the appeal to be held as early as possible, and in any case within three calendar months of receipt of the notification of intention to appeal. The appellant will be notified of the date of the appeal and will be invited to attend, accompanied by a 'friend' (see 8.4 above).
- 11.7 The constitution of an Appeals Panel shall be as follows:
- i) the Chair of the UCL Board of Examiners, or his/her nominee, who shall be Chair of the Appeals Panel;

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**UCL Student and Registry Services Division**  
Academic Services Department

- ii) two members of academic staff to be nominated by the Chair of Academic Board;
  - iii) a UCL Union Sabbatical Officer or nominee.
- 11.8 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.
- 11.9 The quorum for a Grievance Appeals Panel shall be three including the Chair.
- 11.10 The Secretary of a Grievance Appeals Panel shall be appointed by the Registrar, Student and Registry Services,. He or she shall not have acted as secretary to the Examination Irregularities Panel. [Registrar, Student and Registry Services, may also appoint a representative to act as an observer during the proceedings of the Appeals Panel and to provide the Panel with all relevant information relating to the appellant's academic position. The Chair of the original Panel or his/her nominee will also be invited to attend the Appeal hearing as a witness.]
- 11.11 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.
- 11.12 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.
- 11.13 An Appeals Panel shall have power to reverse or modify the decision appealed from in any way that it thinks fit.
- 11.14 In reaching its decision an Appeals Panel shall take into consideration the evidence provided under 11.11 above.
- 11.15 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.
- 11.16 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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- 11.17 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.
- 11.18 Within ten working days of the conclusion of the hearing the Appeals Panel shall notify the Registrar, Student and Registry Services, in writing of the outcome of the appeal. The Registrar, Student and Registry Services, will in turn notify all parties of the decision of the Appeals Panel and a report on its proceedings shall be submitted to the next appropriate meeting of the UCL Board of Examiners.
- 11.19 A decision of an Appeals Panel shall be final as far as internal UCL procedures are concerned.

## **12 Office of the Independent Adjudicator [OIA]'s Student Complaints Scheme.**

- 12.1 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.
- 12.2 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.
- 12.3 Forms and further details on the operation of the OIA are available from the OIA website (see link below). Alternatively, the Student Conduct and Examinations Officer (Mr. Joe Shepherd: email [joe.shepherd@ucl.ac.uk](mailto:joe.shepherd@ucl.ac.uk); tel 020 3108 1192, UCL ext. 511923) and the [UCL Rights and Advice Office](#) (tel 020 7679 2998, UCL ext. 32998) can provide forms and/or further information.

## **Links for section 12**

[Office of the Independent Adjudicator for Higher Education \[OIA\]](#)

## Flow Chart Summarizing Departmental Actions in new Plagiarism / Collusion / Falsification Procedure

