

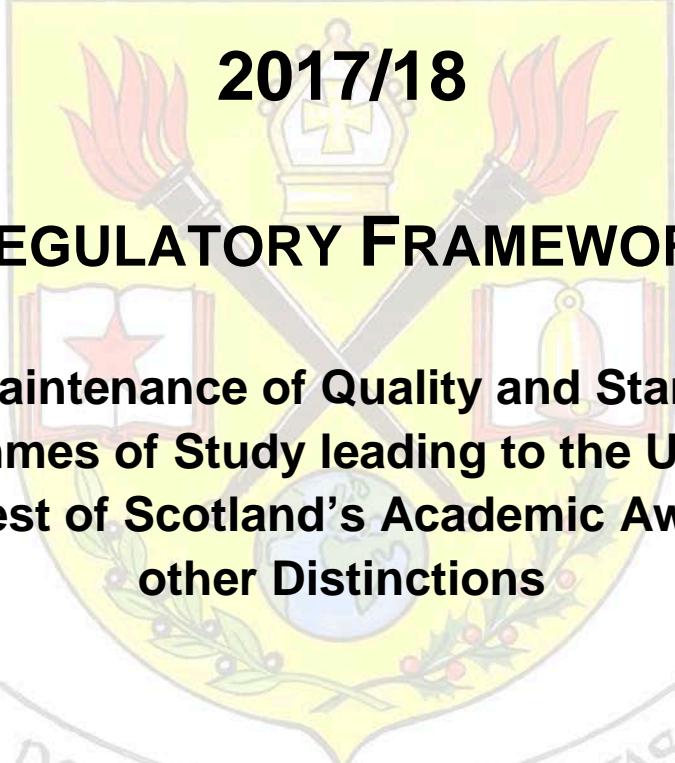


**UWS** UNIVERSITY OF THE  
WEST of SCOTLAND

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University Senate  
Regulatory Framework  
2017/2018

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**2017/18**

## **REGULATORY FRAMEWORK**

**for the Maintenance of Quality and Standards of  
Programmes of Study leading to the University  
of the West of Scotland's Academic Awards and  
other Distinctions**



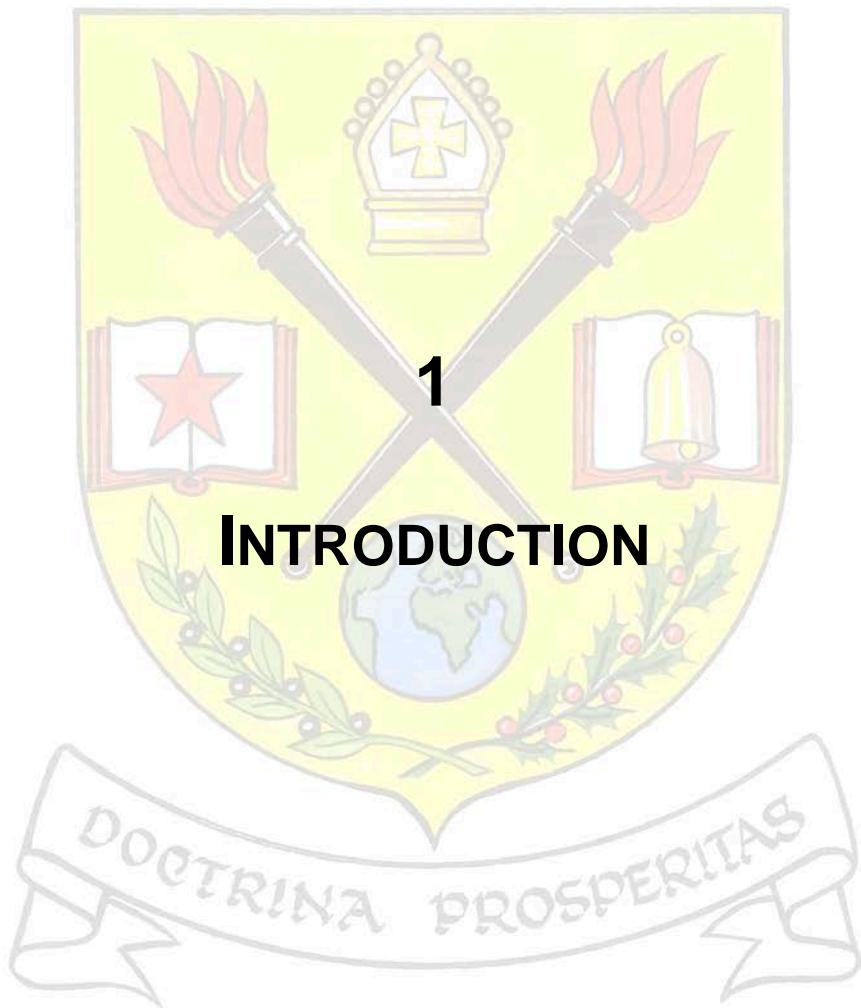
# 2017/18 Edition

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# INTRODUCTION

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## 1 Introduction

### 1.1 Regulatory Framework

- 1.1.1 The Regulatory Framework is intended to allow for the flexibility necessary to enable the University to respond to the changing demands of industry, commerce, the professions and society in general, and to the needs of students, whilst ensuring that appropriate criteria, requirements and procedures for the setting and maintenance of quality and academic standards are established.
- 1.1.2 The main elements of the Regulatory Framework are:
- (a) The Powers of the University which give authority for provision of educational opportunities and for the stipulation of the University's requirements;
  - (b) The Regulations set out the University's overall requirements for programmes of study leading to its academic awards and other distinctions.
- 1.1.3 The University's Regulatory Framework covers all aspects of the provision of programmes of study, including the admission, progression and assessment of students.

### 1.2 Impact Assessment

The Regulatory Framework has been found to pose a **low risk** of negative impact on the groups protected under equality legislation. The Regulatory Framework was reviewed in 2011 to reflect the requirements of the 2010 Equality Act and have been subject to Equality Impact Assessment in June 2012. A further Equality Impact Assessment on the changes to Regulation 7 was undertaken in 2015.

### 1.3 Implementation of Regulations

The University undertakes an annual review of the Regulatory Framework and approves any proposed changes at Senate. Careful consideration is given to the impact on students of changes to regulations. The drivers for changes are to improve clarity, new relevant legislation and where changes are made to University policies and structures.

Students will be bound by the regulations currently approved by Senate for implementation during the session in which the student is enrolled. The University publishes its Regulations with a summary of all changes each August. By enrolling on an annual basis, students confirm their acceptance of them. Programme handbooks are provided annually and will draw attention to any specific programme regulations.

**1.4 Use of “Normally” in the Regulatory Framework**

Where the word “normally” has been used, it is expected that the Regulation to which it pertains is followed unless a full and convincing case has been made, accepted by the relevant parent committee and discussed with the Secretary to Senate.

**1.5 Home Office**

The University reserves the right to decline, defer or withdraw enrolment where a candidate has not met the conditions of offer or where they cannot provide evidence that they have the appropriate immigration status to enable them to enrol as a student. Similarly, students may be withdrawn by the University where they are determined to be ineligible under Home Office regulations to remain in the UK.



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## 2 Powers

### 2.1 Introduction

- 2.1.1 The Powers are vested in the University's Court by the authority of the Statutory Instrument approved by the Scottish Parliament.
- 2.1.2 Any changes to the Powers shall be subject to the approval of the Scottish Ministers and/or the Privy Council, as required by Statute.

### 2.2 Academic Powers

- 2.2.1 The Powers described below relate specifically to the provision of programmes of study and do not include all the Powers which may relate to the University's academic work.
- 2.2.2 The University's Court has the power:
  - a) To admit students, and to prescribe the conditions for their admission, to all programmes and programme elements whether or not leading to the award of a degree or other academic distinction;
  - b) To grant all such degrees, diplomas, certificates and such other academic awards or distinctions as may be granted under the provisions of the University of the West of Scotland Order of Council 2015, Article 8, Schedule 1B (2);
  - c) Subject to consultation with the Senate, to award honorary degrees and such other honorary academic distinctions as it deems appropriate to such persons as fulfil the conditions which it may prescribe for the receipt of such awards;
  - d) Subject to consultation with the Senate, in exceptional circumstances to revoke a degree, diploma, or academic distinction, honorary award, honorary academic distinction or any other award previously conferred by the institution;
  - e) To frame such codes of discipline and regulations as are necessary or desirable for maintaining good order in the institution;
  - f) To frame such regulations as are necessary or desirable to maintain the academic freedom of staff and students in the institution;
  - g) To form relationships, associations or affiliations with other educational institutions, and such other bodies both public and private as may be for the benefit of the University or necessary or desirable to carry out the objects of the institution.

### 2.2.3 The Powers enable the University:

- a) To determine the requirements for the enrolment and admission of persons to the University or to any particular programme, module or programme component or programme of supervised research in the University or delivered in any affiliated or associated institution, and to establish Regulations relating thereto;
- b) To grant and confer degrees, diplomas, certificates and other academic awards and distinctions on persons who have pursued programmes or programmes of supervised research approved by the University and have passed such examinations and other assessments as the University stipulates;
- c) To provide lectures, tutorials and other forms of instruction in such branches of learning and scholarship as the Court, on the recommendation of the Senate, shall approve and to make provision for research, scholarship and the advancement and dissemination of knowledge in such manner as the University deems appropriate;
- d) To provide such lectures and other forms of instruction to any persons as the Court on the recommendation of the Senate shall approve and to grant degrees, diplomas, certificates and other academic distinctions to such persons;
- e) On the recommendation of the Senate, to validate, approve, monitor and review programmes, modules, programme components, programmes of study and programmes of supervised research, whether or not they lead to the conferment of the University's degrees, diplomas, certificates or other academic distinctions; and to stipulate any conditions pertaining thereto;
- f) On the recommendation of the Senate, to accept in partial fulfilment of the study and assessment requirements for awards of the University such periods of learning and such assessments as the University recognises and have been successfully completed by persons otherwise than on programmes validated, approved and reviewed in accordance with (e) above.

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# **REGULATIONS FOR THE AWARD OF CERTIFICATES, DIPLOMAS, DEGREES, POSTGRADUATE AWARDS AND OTHER ACADEMIC DISTINCTIONS**



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### **3 Regulations for the Award of Certificates, Diplomas, Degrees, Postgraduate Awards and other Academic Distinctions**

#### **3.1 General**

- 3.1.1 The power to award certificates, diplomas, degrees and other academic distinctions is vested in the University by the Privy Council under the provisions of the University of the West of Scotland Order of Council 2015, Article 8, Schedule 1B (2) [see Regulation 2.2.2(b)].
- 3.1.2 With the exception of the University's Honorary Degrees and Fellowships, Higher Doctorates and the Research Degrees, Certificates, Diplomas, Degrees and other academic distinctions shall be conferred with the authority of the Senate by the appropriate Progression & Awards Board (PAB)<sup>1</sup>, which has delegated authority to confer awards.
- 3.1.3 The University's Research Degrees shall be conferred with the authority of the Senate on the recommendation of the Graduate School. The University's Higher Doctorates shall be conferred by the Senate on the recommendation of the REAC (see Regulation 9).
- 3.1.4 The University's academic awards are defined in terms of standard, level and outcomes.
- 3.1.5 The standard of the Bachelor's Degree with Honours shall provide the yardstick against which the standards of all other academic awards and distinctions of the University are determined.
- 3.1.6 The University of the West of Scotland has taken cognisance of the Scottish Credit and Qualifications Framework (SCQF) in drafting its regulations. University awards will be designed and structured with regard to the expectations of the SCQF and the characteristic generic outcomes.

#### **3.2 Undergraduate Certificates and Diplomas**

##### **3.2.1 Certificate of Higher Education (Cert HE)**

SCQF level 7

Credit points: At least 120 credits are at least at SCQF level 7

The Certificate of Higher Education is typically offered as an exit award after successful completion of the equivalent of one year of full-time higher education in Scotland. The precise focus and outcomes will be identified in the relevant programme specifications.

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<sup>1</sup> For TNE and collaborative arrangements a Degree Assessment Board (DAB) will be established. Degree Assessment Boards fulfil the functions of Subject Panels (SPs) and Progression and Awards Boards (PABs) for collaborative and TNE provision. In such cases the DAB will have the same authority as a PAB for conferment of awards. Further guidance on the composition and operation of DABs is provided by QuEST.

**3.2.2 *Diploma of Higher Education (Dip HE)***

SCQF level 8

Credit points: At least 240 credits of which a minimum of 100 are at least at SCQF level 8

The Diploma of Higher Education is typically offered after successful completion of the equivalent of the first two years of full-time higher education in Scotland. The precise focus and outcomes will be identified in the relevant programme specifications.

**3.2.3 *International Certificate of Higher Education (Int Cert HE)***

SCQF level 7

Credit points: 140 credits are at least at SCQF level 7

The International Certificate of Higher Education is typically offered after successful completion of the equivalent of one year of full-time higher education in Scotland with additional English language support. The precise focus and outcomes will be identified in the relevant programme specifications.

**3.2.4 *International Diploma of Higher Education (Int Dip HE)***

SCQF level 8

Credit points: 120 credits at SCQF level 8

The International Diploma of Higher Education is typically offered after successful completion of the equivalent of one year of full-time higher education at SCQF level 8. The precise focus and outcomes will be identified in the relevant programme specifications.

**3.3 First Degrees/Undergraduate****3.3.1 *Bachelor Degrees with Honours***

SCQF level 10

Credit points: At least 480 credits of which a minimum of 200 are at least at SCQF level 9 and 10, including at least 100 at SCQF level 10

The standard of the Bachelor Degree with Honours shall be that expected of a person with prior knowledge and skills who has successfully completed a programme of study which is suitable for the fulfilment of the University's graduate skills and attributes and learning outcomes (see Quality Handbook) and, who has demonstrated the capacity for sustained independent and high-quality work; the normal length of the programme shall be four academic years of full-time Higher Education study or equivalent; or longer if the programme requires a significant element of professional practice or placement in business or industry. Where such practice or placement is an option, additions to the degree title such as "with Sandwich" may be approved.

**3.3.2 *Bachelor Degrees*****SCQF level 9****Credit points:** At least 360 credits of which a minimum of 100 are at least at SCQF level 9

The standard of the Bachelor's Degree shall be that expected of a person with prior knowledge and skills who has successfully completed a programme of study which is suitable for the fulfilment of the University's graduate skills and attributes and learning outcomes (see Quality Handbook); the normal length of the programme for the degree shall be three academic years of full-time study or equivalent or longer if the programme requires a significant element of professional practice or placement in business or industry. Where such practice or placement is an option, additions to the degree title such as "with Sandwich" may be approved.

The Ordinary Degree is recognised as the normal entry to a number of professions across the UK.

**3.3.3 *Graduate Certificate/Diploma/International Graduate Diploma*****SCQF level 9 and 10****Credit points:** At least 60 credits at the minimum of SCQF level 9 for a certificate and at least 120 credits at the minimum of SCQF level 9 for a diploma

Titles with the stream 'Graduate' may be used for qualifications from programmes of study that typically require graduate entry or its equivalent, and which meet the expectations of the SCQF, and in particular relevant parts of the descriptors for qualifications at SCQF level 9 or 10. These qualifications are typically for graduates or equivalent but are not of postgraduate level or outcome. The normal length of the programme of study for a Graduate Certificate shall be half of one year of full-time academic study or equivalent. The normal length of the programme of study for a Graduate Diploma shall be one year of full-time academic study or equivalent.

The International Graduate Diploma includes compulsory English language tuition and is designed to support entry to postgraduate study for applicants with a range of international qualifications, equivalent to bachelor's degrees at SCQF level 9.

**3.3.4 *Professional Graduate Diploma in Education (PGDE) SCQF level 10 and/or 11*****Credit points:** At least 120 credits at a minimum of SCQF level 10

The standard of the Professional Graduate Diploma in Education shall be that expected of a graduate who has completed a programme of professional skills and experience to qualify to teach in a primary or secondary school. The normal length of the programme is 36 weeks of full-time study or equivalent.

### **3.4 Postgraduate and Post Experience Awards**

#### **3.4.1 *Postgraduate Certificate (PgCert)***

SCQF level 11

Credit points: At least 60 credits of which a minimum of 40 are at least SCQF level 11 and none below SCQF level 10

The standard of the Postgraduate Certificate shall be that expected of graduate who has successfully completed a programme of study, either at a level demanding more advanced study than a first degree or at a level appropriate for a conversion programme, suitable for the fulfilment of the University's graduate skills and attributes and learning outcomes (see Quality Handbook); the normal length of the programme shall be half of one year of full-time study.

#### **3.4.2 *Postgraduate Diploma (PgD)***

SCQF level 11

Credit points: At least 120 credits of which a minimum of 100 are at least at SCQF level 11 and none below SCQF level 10

The standard of the Postgraduate Diploma shall be that expected of a graduate, who has successfully completed an appropriate programme of study in a field for which prior knowledge and skills have provided an appropriate foundation, either at a level demanding more advanced and intensive study than a first degree or at a level appropriate for a conversion programme, and which is suitable for the fulfilment of the University's learning outcomes (see Quality Handbook). The normal length of the programme will be the equivalent of one year of full-time academic study.

#### **3.4.3 *Master Degrees***

SCQF level 11

Credit points: At least 180 credits of which a minimum of 160 are at least at SCQF level 11 and none below SCQF level 10. For Integrated Masters, at least 600 credits, of which a minimum of 120 are at level 11.

The standard of the Master Degree shall be that expected of an Honours degree graduate who has successfully completed an appropriate programme of study in a field for which prior knowledge and skills have provided an appropriate foundation, at a level demanding more advanced and intensive study than a first degree, and which is suitable for the fulfilment of the University's learning outcomes (see Quality Handbook) and which includes a compulsory element of advanced independent work; the normal length of the programme shall be 12 months of full-time study or equivalent and will meet the expectations of the SCQF Master Degrees Framework. The normal period of study for Integrated Masters shall be five years of academic study or equivalent.

A programme of longer duration that includes a significant element of professional practice or placement in business or industry, may be approved, with an appropriate additional phrase in the title.

### 3.5 Research Degrees and Higher Doctorates

SCQF level 12

#### 3.5.1 *Degree of Master of Research (MRes)*

The standard of the Degree of Master of Research should be that expected of a graduate with a good honours degree (see Regulation 8.2.1 b) who has satisfactorily completed a programme of supervised research training and has submitted a thesis which should comprise a satisfactory record of research undertaken by the candidate and a satisfactory critical survey of knowledge and understanding in the field of study and is capable of independent research.

#### 3.5.2 *Degree of Master of Philosophy (MPhil)*

The standard of the Degree of Master of Philosophy shall be that expected of a graduate with a good Honours degree (see Regulation 6.5) who has satisfactorily completed a programme of supervised research training and has investigated and evaluated or critically studied an appropriate topic over the equivalent of not less than eighteen months of full-time study and has presented a satisfactory thesis.

#### 3.5.3 *Degree of Doctor of Philosophy (PhD) - by Thesis and by Published Work*

The standard of the Degree of Doctor of Philosophy shall be that expected of a graduate with a good Honours degree who has satisfactorily completed a programme of supervised research training and has investigated and evaluated or critically studied an appropriate topic over not less than the equivalent of thirty-three months of full-time study resulting in a significant contribution to knowledge. A candidate may proceed to the degree of Doctor of Philosophy (PhD) either by presenting a thesis or by submission of a portfolio of published work and critical review.

#### 3.5.4 *Degree of Doctor of Business Administration (DBA) - by thesis or portfolio*

The standard of the Degree of Doctor of Business Administration shall be that expected of a graduate with a Masters degree who has satisfactorily completed a programme of supervised research training and has investigated and evaluated or critically studied an appropriate topic over not less than the equivalent of thirty six months of full-time study resulting in a significant contribution to knowledge and professional practice. A candidate may proceed to the degree of Doctor of Business Administration (DBA) by presenting a thesis.

#### 3.5.5 *Degree of Professional Doctorate (DProf)/Engineering Doctorate (EngD) – by thesis or portfolio*

The standard of the Professional Doctorate shall be that expected of a graduate with a masters' degree who has satisfactorily completed a programme of supervised research training and has investigated and evaluated or critically studied an appropriate topic over the equivalent of 72 months of part time study resulting in a significant contribution to knowledge and professional practice.

3.5.6 *Higher Doctorates (Degrees of Doctor of Letters (DLitt), Doctor of Science (DSc) and Doctor of Technology (DTech))*

The standard of the Degree of a Higher Doctorate shall be that expected of a person who is the holder of at least seven years' standing of a first degree or the holder of at least four years' standing of a postgraduate degree, who is a leading authority in the field of study concerned and has made an original and significant contribution to the advancement or application of knowledge in that field.

4

# **REGULATIONS FOR PROGRAMME AND MODULE APPROVAL, MONITORING AND INTERNAL REVIEW**



## **Regulation 4 – Regulations for Programme and Module Approval, Monitoring and Internal Review**

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## **4 Regulations for Programme and Module Approval, Monitoring & Internal Review**

### **4.1 Framework for Approval of Programmes, Titles and Modules, Monitoring and Review, Collaborative Agreements and Professional Accreditation**

- 4.1.1 a) The University Senate, through its Education Advisory Committee (EAC) has established approval processes whereby a judgement is reached as to whether a particular programme or title or module designed to lead to, or contribute to, an academic award and collaborative programme, meets the University's requirements for the standard of that award.
- b) Processes are also in place for annual monitoring and enhancement and approval and review. These processes are described in detail in the Quality Handbook available from the Quality Enhancement Support Team (QuEST) or via the QuEST Intranet site.
- d) The processes of approving, monitoring and reviewing programmes and modules and Internal Review (IR) shall be undertaken in accordance with the University's Regulations and Quality Handbook and with such procedures and guidelines as the EAC, shall from time to time deem necessary.

#### **4.1.2 Aims**

- a) The overall aims of approval, monitoring and review shall be the enhancement of the programme and enhancement of overall student experience
- i) promote and maintain high academic standards;
  - ii) secure for each student a high-quality educational experience through the consideration of the quality and academic standard of each programme, title or module;
  - iii) stimulate curriculum development by requiring staff to evaluate existing and proposed programmes and modules and to expose them to the thinking and practices of external peers;
  - iv) facilitate the enhancement of learning, teaching and assessment;
  - v) facilitate the enhancement of inclusive learning and teaching practice;
- b) The specific aims of approval, monitoring and review shall be to:
- i) maintain the standards of the University's academic awards and to ensure that no programme, title or module, shall continue to be run without adequate human and other resources;

- ii) ensure that each programme, title or module is designed and operated in accordance with the University's requirements at levels in concordance with the Scottish Credit & Qualifications Framework (SCQF) the appropriate Subject Benchmark Statements, the QAA Quality Code for Higher Education and all relevant University procedures and policies;
- iii) appraise School processes for the regular monitoring of programmes, titles and modules with a view to the quality enhancement of the programme and enhancement of overall student experience;
- iv) ensure that once a programme has been approved, any conditions for approval are satisfied and that any recommendations made during the programme approval process are fully considered by the appropriate School(s) and that appropriate action is taken;
- v) ensure that all External Examiners' reports are received and formally considered, a formal response made and that where necessary appropriate action is taken.

## 4.2 Approval Process

- 4.2.1 The authority to approve new programmes and titles has been vested by Senate in the approval panel. Approval mechanisms are designed to incorporate the good practice of the QAA Quality Code for Higher Education.

### *Period of Approval*

- a) A programme/title leading to an award of the University shall normally be approved for a period not exceeding six years and shall be subject to University monitoring requirements, Internal Review (IR) or other requirements as may be recommended to EAC.
- b) In certain circumstances, initial approval shall be for a shorter period: for example, when the programme is in a new or rapidly developing field of study; in one that is new to the University; or where it is likely that major changes may prove necessary shortly after initial approval. Where a programme is approved jointly with a Professional, Statutory & Regulatory Body (PSRB) a limited period of approval may be recommended to match the re-approval cycle of the PSRB. At the end of any such specified period, approval must be renewed, with or without a further time-limit.
- c) Where a programme is validated as a collaborative award with an external partner the period of approval is normally not more than five years and subject to review of the collaborative agreement within this period.

#### 4.2.2 *Conditional Approval*

- a) Approval may be made conditional upon the fulfilment of specific requirements by a specified date.
- b) The responsibility for ensuring that conditional requirements have been fulfilled within the timescales specified and that progress has been properly monitored must be specified at the time of approval or re-approval.

#### 4.2.3 *Withdrawal of Approval*

In the event of conditions of approval not being met, approval of the programme may be withdrawn on the recommendation of EAC.

#### 4.2.4 *Advertisement of Programmes*

In the event of a programme or module, which is awaiting final approval of conditions, being advertised, this must be stated in all references to it in public advertisement(s) of any kind.

#### 4.2.5 *Amendment to Approved Programmes*

- a) When a School wishes to amend an approved programme including its title, campus, mode of delivery or schedule of delivery it must follow the procedures in the Quality Handbook. Guidance is available from QuEST. (See Regulation 5.1.3 on changes to programme title.)
- b) In order to safeguard the integrity of the level outcomes and associated awards of the University, no more than one core module at each level of the programme may be amended or replaced via the programme amendment process. The impact on programme specifications must be addressed when modules are amended or replaced. Any greater volume of change to modules, level outcomes or programmes will require a full re-approval event.

#### 4.2.6 *Appeals against Approval Decisions*

- a) Any appeal against a decision shall be referred to EAC. The decision of EAC shall be final.
- b) If a drafting team contests a decision made by an Approval Panel it should seek reasons for the decision and it should first seek to resolve the issue at the level at which the decision was originally made by contacting the Head of Quality Enhancement Support Team (QuEST). An appeal to EAC should be regarded as a last resort.

#### 4.2.7 *Programme Closure/Withdrawal from the Portfolio*

When a School wishes to close a programme for whatever reason the following procedure will normally apply:

- a) The School Board prepares a report outlining the following:
  - Rationale for closure;

- Proposed date for closure;
  - Arrangements for students currently on the programme – at all levels of the award and campuses/sites of delivery/students on suspension/students enrolled as resit only;
  - Consideration of part-time/direct entry students;
  - Impact of closure on other provision within the School/other Schools;
  - Any potential Equality Impact should be considered through the agreed procedures;
  - Implications on staffing resources;
  - Professional Body Associations that may need to be informed of the closure;
  - External examiner appointments which may need to be terminated early (or may need extended for resits of last cohort);
  - Explanation of transitional arrangements, particularly for part time students and proposals for ongoing resit/reassessment needs;
- b) The School will then seek approval from the University Leadership Team (ULT) which will report its recommendation to Senate.
- c) Once the University Leadership Team has approved the closure of the programme, the School should undertake a formal consultation with all affected applicants and current students highlighting the options they have in terms of completing the programme or transferring to other awards if they desire. Transitional arrangements for part-time students or students who receive a resit decision in the final year of operation should be discussed. The written agreement of students wishing to transfer to another programme should be obtained. All affected applicants students currently enrolled on the programme should have the opportunity to exit with the award. The School should inform the Admissions Office that the award is being withdrawn and they will inform UCAS. The Admissions Office will also provide guidance and UCAS form for affected applicants offering alternative programmes.
- d) The School should then inform Recruitment and Participation Services, Strategic Planning & Development, Information Technology & Digital Service, Student Administration, and QuEST that the programme is being withdrawn from the Portfolio and that there will be no new recruitment to the award. The School should outline when the programme will finally be withdrawn from the portfolio and programmes having taken into account part-time student completion times and any resit/reassessment issues.

#### **4.3 Quality Handbook**

- 4.3.1 The procedures, required documentation and timescales for the approval of new programmes, new and amended modules or changes to existing programmes are described in full in the Quality Handbook. These procedures are overseen by EAC and take full cognisance of the QAA Quality Code for Higher Education.

- 4.3.2 No new programme can be approved outwith the University's published procedures and the involvement of external peers.

#### **4.4 Approval Reports**

A report will be prepared following any new programme approved or review for confirmation by the panel and submission to the School Board.

#### **4.5 Annual Monitoring, Evaluation and Enhancement**

- 4.5.1 Module review will be undertaken annually for each module and considered by the Programme Board. The operation of each programme shall be monitored by the Programme Leader who shall provide information as requested to the designated person in the School for annual monitoring reports. Programme Boards have responsibilities for oversight of the quality of modules and programmes.
- 4.5.2 Schools will be responsible for overseeing annual monitoring and enhancement activities in accordance with the requirements of EAC.
- 4.5.3 Full information on the annual monitoring and enhancement requirements and documentation is available in the Quality Handbook.

#### **4.6 Internal Review**

##### **4.6.1 Cycle of Reviews**

All University credit bearing provision will be subject to periodic internal review in line with Scottish Funding Council (SFC) guidance and within a cycle of not more than six years.

##### **4.6.2 Themes for Review**

Internal Review shall consider and review the total taught and research activity of academic programmes in a subject across the following six themes:

Provision  
Teaching, Learning and Enhancement  
Research  
Student Support and Guidance  
Student Achievement and Assessment  
Strategic Development of the Subject

##### **4.6.3 Aims of Internal Review**

The aims of Internal Review are to provide an opportunity to review quality and enhancement, teaching and learning, the wider research and scholarship in the subject area and inter-relations between subjects together with their future development. The review takes place with the firm intention to enhance the student experience balanced with a review of quality and standards.

Full details can be found in the Quality Handbook.

#### **4.7 Student Involvement in Quality Enhancement**

The collection and use of the views of students shall be in accordance with the procedures and methods outlined in the Quality Handbook which details student engagement, feedback and representation opportunities.

#### **4.8 Collaborative Provision**

- 4.8.1 Where Schools are considering collaborative provision, either with another HEI or an appropriate organisation, they should consult the International Centre at an early stage to ensure the proposal is in line with the University's International Strategy. Collaborative arrangements should widen learning opportunities without prejudice to the standard of the award or the quality of what is offered to the students.
- 4.8.2 A visit will be made to all institutions where collaborative delivery of a UWS award is being considered in line with guidance in the Quality Handbook
- 4.8.3 Collaborative agreements are drafted by QuEST in consultation with the School. School staff are not authorised to draft or sign collaborative agreements. Collaborative agreements are normally signed by the Director of Corporate Support.
- 4.8.4 University requirements are set out in Regulation 11. Guidance is available from QuEST providing information to support Schools on collaborative provision.

#### **4.9 Professional Accreditation of University of Awards**

- 4.9.1 Professional accreditation is the official recognition awarded by a Professional, Statutory & Regulatory Body (PSRB) as a result of the University meeting specific standards or criteria. The development and drafting of documents for submission to PSRBs (both before and after accreditation visits) is the responsibility of the School. The School is responsible for maintaining a schedule of accreditation status for all relevant awards and for providing this information to EAC as required.

Where there is potential conflict between a PSRB's admission or other requirements and the University's Equality policy or legislation, this should be noted in the schedule.

5

# **REGULATIONS FOR PROGRAMMES OF STUDY LEADING TO THE UNIVERSITY'S TAUGHT ACADEMIC AWARDS**

## **Regulation 5 - Regulations for Programmes of Study Leading to the University's Taught Academic Awards**

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## 5 Regulations for Programmes of Study leading to the University's Taught Academic Awards

These regulations apply to all modules and programmes of study leading to the University's academic credit or awards.

### 5.1 Trimesters, Programmes and modules - Definitions

#### 5.1.1 *Teaching year*

- a) The teaching year used at the University's campuses at Ayr, Dumfries, Hamilton and Paisley is divided into three trimesters: The trimester dates are approved annually by Senate.
- b) Senate will also approve additional Trimester dates to support multiple intakes for non-Scottish campuses and TNE provision.
- c) The expectation is that UWS programmes should be delivered within the approved trimester dates to enable harmonisation of schedules for admission, enrolment, and assessment processing.
- d) Given the specific nature of an award which is validated by UWS but delivered by another institution, it is not expected that this type of 'validated' programme has to adhere to the agreed schedule, however the partner institution delivering the 'validated' programme is encouraged to comply with the agreed schedule dates.

#### 5.1.2 *Programme*

- a) A programme comprises a set of learning outcomes approved as leading to an award of the University (including any intermediate awards) together with details of the modules through which these outcomes may be achieved as a group of modules and a set of programme learning outcomes.
- b) A full-time programme will deliver a minimum of 120 Scottish Credit and Qualification Framework (SCQF) credit points per teaching year.
- c) Each programme will be assigned to an Academic School.
- d) Each programme will have an approved Programme Specification.
- e) Each programme will have a named Programme Leader(s).
- f) The module delivery pattern(s) for a programme will be approved at the validation/approval event. Any change to this delivery pattern(s) thereafter should be approved by the relevant School Board.

### 5.1.3 *Programme Title and Award*

- a) The title and award for a programme:
  - i Must be specified in the Programme Specification.
  - ii Should be straightforward, and accurately reflect the programme content so as to provide useful information to students, potential students, employers and other stakeholders about the level of knowledge and skill to be expected from a person holding such a qualification.
  - iii Should accord with the normal expectations of professional and statutory bodies (where appropriate), of students and of employers, as an indication of the level of knowledge and skills to be expected of a person holding such a qualification.
  - iv Should be approved at the time of the programme validation/approval event. Any related intermediate awards should also be approved at the time of the validation
- b) The title of a programme should not normally reflect more than two subject components.
- c) School Boards should annually approve an updated list of the programme titles available for awards.
- d) Senate will be responsible for giving approval for a change to the approved portfolio of available programme titles and to new titles. This will include the withdrawal of programme titles (see Regulation 4.2.7.)

### 5.1.4 *Programme Specification*

- a) All programmes leading to a University award must have a Programme Specification, set out on the approved University template.
- b) The Programme Specification is a concise description of a programme, including details of the programme structure, the entry requirements, learning outcomes, curriculum structure, the teaching & learning approaches, how the programme will be assessed at each level of the programme, progression requirements and the awards available.  
More information on the design of a programme can be found in the University's Quality Handbook.
- c) The Programme Specification should clearly specify the learning outcomes required at each programme level and for each qualification, including intermediate awards.  
More information on learning outcomes can be found in the University's Quality Handbook.
- d) The Programme Specification should specify the period within which a student should normally complete the programme and the associated assessments (including any resits).

- e) Where a programme is offered on more than one campus or through blended learning, the core modules as defined in the programme specification must be the same at the different locations.
- f) Where the objectives of the programme are such that attendance is compulsory for specific elements, the Programme Specification must give details of the attendance requirements to be met by students.
- g) Any elements that must be passed in order to qualify for professional accreditation must be identified in the programme specification.
- h) The Programme Specification must specify the core modules for a programme to enable the programme learning outcomes to be met.
- i) Any modifications to a programme specification must be approved by the relevant School Board.

#### 5.1.5 *General Requirements for Programme Regulations and Professional Requirements*

- a) University Regulations should apply to all programmes of study unless a condition of professional accreditation requires a deviation.
- b) In the case of any seeming conflict between the University Regulatory Framework and those of any external institution or body which accredits the programme, the School Board may seek approval from the Education Advisory Committee for the regulations of that institution or body to take precedence.
- c) Where there is a conflict between the programme assessment regulations noted in a Student Handbook or other published material and those of the University as defined in the Regulatory Framework, the University regulations should take precedence.
- d) When students enrol each year they will confirm that they accept the University's current Regulatory Framework. See Regulation 1.3.

#### 5.1.6 *Programme Leader*

- a) Each programme will have a named Programme Leader (see Regulation 5.1.2e).
- b) The Programme Leader will be appointed by, and responsible to, the appropriate Dean of School or nominee.
- c) The Programme Leader has responsibility for the management of the programme;

#### 5.1.7 *Module characteristics*

- a) A module is a formally structured learning experience with a coherent content and an explicit set of learning outcomes and assessment criteria. The credit value, content, learning outcomes and assessment details will be documented in an approved Module Descriptor.
- b) A module will have a specified SCQF level, at level 7, 8, 9, 10, 11 or 12. The level assigned to the module is an indicator of the relative

complexity, or depth, of learning required to achieve the stated learning outcomes in the module. In determining the level of a module the SCQF level descriptors will be used as reference points for the generic characteristics of learning at the specific SCQF levels. For reference:

- i. SCQF levels 7 to 10 are normally equivalent to the first, second, third (Degree) and fourth (Honours) years of full-time undergraduate study.
- ii. SCQF levels 11 and 12 indicates Postgraduate/Masters level. A level 11 or 12 module must reflect a distinctive postgraduate standard in terms of both depth and/or breadth of delivery and of assessment in taught or research modules, irrespective of the mode of study.
- c) A credit value, specified in terms of the number of SCQF credits and the level, should be ascribed to each module.  
The number of credits assigned to a module is based on the estimated student learning hours, i.e. the number of hours which it is expected that a learner will spend, on average, to achieve the specified learning outcomes at that level. Students are expected to undertake 10 hours of study for each SCQF point ascribed to a module.
- d) At UWS the credit framework recognises that a module can carry, 5, 10, 20, 30, 40, 60 or 120 credit points.
- e) Students are awarded academic credit in respect of their achievement as demonstrated through meeting the learning outcomes for a module.
- f) Each module is assigned to an academic School.

#### 5.1.8 *Module Prerequisite and Co-requisite*

- a) A prerequisite module (or modules or a subset of alternative named modules) is a module which provides specific preparation for another named module at a higher level. A prerequisite module is required to be passed before the other module at the higher level may be undertaken. A pass in one trimester should not be specified as a prerequisite for starting a module in the following trimester. (See Regulation 7.3.1)
- b) Co-requisite modules must be taken together, normally in the same programme level.

#### 5.1.9 *Module viability*

- a) A module may not run if not deemed viable in terms of the number of students registered on it. However this can only be sanctioned if the module is not core for a degree title for which a student has been previously enrolled.

#### 5.1.10 *Module Co-ordinator and Moderator*

- a) Each module will have a named Module Coordinator and Module Moderator.

- b) The Module Co-ordinator and Moderator will be approved by the appropriate Dean of School or nominee.

#### 5.1.11 *Responsibilities of a Module Coordinator*

The Module Co-ordinator's responsibilities will include the following:

- To review annually the module content and ensure that the module descriptor is kept up-to-date;
- To advise the Dean of School or nominee and School Timetabler on the delivery schedule for the module;
- To establish that appropriate timetabling and exam schedule arrangements have been made for the module;
- To co-ordinate and maintain the timeous production of the final and resit examination papers;
- To establish the continuous assessment structure and schedule for the module in consultation with the programme leader;
- To collect continuous assessment marks and to collate final assessment data;
- To ensure that marks for students taking the module are collated and recorded using the University's marks data entry system
- To monitor attendance and engagement requirements (see Regulations 5.3.6 - 5.3.8);
- To collect student feedback in line with University requirements;
- To attend the Subject Panel;
- To liaise with the Dean of School or nominee about any problems relating to the administration and delivery of the module which the Co-ordinator, having made all reasonable endeavours, is unable to resolve;
- To present proposed module changes to the Programme Board for approval and new modules for recommendation by the Programme Board to the School;
- The Module Co-ordinator is also responsible for advising appropriate Programme Leaders of amendments to the module where it is offered in more than one programme.
- Module Co-ordinators should communicate with Programme Boards on issues pertinent to the module.

## 5.2 UWS Awards and SCQF

### 5.2.1 UWS Awards and SCQF Credit rating

The table below notes the various awards available at the University. The awards are rated for general credit against the Scottish Credit and Qualification Framework (SCQF). The SCQF rating for each award is noted in the Table.

Award		SCQF Rating##
Certificate of Higher Education CertHE	Single	At least 120 credit points at SCQF level 7 or above  140 credits at SCQF level 7
Diploma of Higher Education DipHE	Single	At least 240 credit points of which a minimum of 100 are at SCQF level 8 or above
International Diploma of Higher Education Int DipHE	Joint	At least 240 credit points of which a minimum of 100 are at SCQF level 8 or above and of which a minimum of 60 are in each subject area  120 credits at SCQF level 8
Scottish Bachelor's Degree BA, BSc, BAcc, BDiv	Single	At least 360 credit points with 200 in the subject area of which a minimum of 100 are at SCQF level 9 or above
	Major	At least 360 credit points with 160 in the major subject area of which a minimum of 80 are at SCQF level 9 or above
	Joint	At least 360 credit points with a minimum of 120 in each subject area, including a minimum of 60 at SCQF level 9 or above in each subject area
	Minor	At least 360 credit points with a minimum of 40 in the minor subject area at SCQF level 9 or above
Scottish Bachelor's Degree with Honours BA, BSc, BAcc, BDiv	Single	At least 480 credit points of which a minimum of 200 in the subject area are at SCQF levels 9 and 10, including a minimum of 100 at SCQF level 10 or above #
Scottish Bachelor's Degree with Honours BA, BSc, BAcc,	Major	At least 480 credit points of which a minimum of 160 in the major subject area are at SCQF levels 9 and 10, including a minimum of 80 at SCQF level 10 or above #

BDiv	Joint	At least 480 credit points of which a minimum of 60 in each subject area are at SCQF 9 and with a total of 120 at SCQF level 10 of which a minimum of 40 are in each subject area
	Minor	At least 480 credit points of which a minimum of 80 in the minor subject area are at SCQF levels 9 and 10, including a minimum of 40 at SCQF level 10
Integrated Master's	Qualifications to be confirmed	At least 600 credit points of which a minimum of 120 are at SCQF level 11
Graduate Certificate/ Diploma/ International Graduate Diploma	Graduate Certificate	At least of 60 credit points at SCQF level 9 or above
	Graduate Diploma  International Graduate Diploma	At least 120 credit points at SCQF level 9 or above
	Professional Graduate Diploma	At least 120 credit points at SCQF level 10 or above
Postgraduate awards	Postgraduate Certificate (PgCert)	At least 60 credit points of which a minimum of 40 are at SCQF 11*
	Postgraduate Diploma (PgD)	At least 120 credit points of which a minimum of 100 are at SCQF 11*
	Masters MSc/MA/MEd/MBA	At least 180 credit points of which a minimum of 160 at SCQF 11*
Professional Doctorate/ Doctor of Business Administration/  Engineering Doctorate	DProf/DBA  EngD	Equivalent to at least 540 credit points of which a minimum of 420 credit points at SCQF level 12 with a maximum of 120 taught credit points at SCQF level 11 and nothing less than SCQF level 11

*## Where students have been admitted with prior learning Reg 6.8.1, minor differences in credit points will be tolerated (up to 5 credit points) and added to the transcript at the point of admission.*

*There are specific arrangements for the treatment of 96 credit HNCs Reg 6.8.1bii)*

*# Modules which contribute to the Honours classification must be no less than SCQF level 9*

*\* All modules in the programme must be at least SCQF level 10.*

## Award titles and credit requirements

### 5.2.2 *Certificate of Higher Education (CertHE)*

- a) CertHEs are normally only awarded in single subject titles; Joint or Major/Minor combinations are not normally permitted for CertHE awards.
- b) In order to achieve a CertHE, 120 credits must be achieved with at least 120 at SCQF Level 7.
- c) The title of the CertHE defines a single coherent programme in which the majority of credits are in a single subject area.
- d) A CertHE may also contain a broad range of subjects provided within a broader subject discipline consistent with a generic or common programme of study.

### 5.2.3 *Diploma of Higher Education (DipHE)*

- a) DipHEs may be awarded in Single subject titles or Joint subject titles. In order to achieve a DipHE 240 credits must be achieved with a minimum of 100 at least SCQF level 8.
- b) The title of a Single DipHE defines a single coherent programme in which the majority of credits are in a single subject area.
- c) The title of a Joint DipHE award defines a coherent programme of study which has modules from two single subject areas where there are equal credits from each of the two areas.
- d) For the Joint award the title A and B will be named in alphabetical order.

### 5.2.4 *Bachelor Degree (BA/BSc/BAcc/BDiv)*

- a) The Scottish Bachelor's Degree may be awarded in Single subject titles, Joint subject titles or Major/Minor titles as approved as being on the list of the University of the West of Scotland's portfolio of titles.
- b) In order to achieve a Bachelor Degree, 360 credits must be achieved with at least 100 at level SCQF level 9.
- c) For the Bachelor Degree award the title is determined by the credits taken at the highest level of study (SCQF level 9).

### 5.2.5 *Bachelor Degree (Single)*

- a) The title of a Single degree award defines a single coherent programme in which the majority of credits are in a single subject area. It should be expressed simply and in as few words as possible.
- b) The minimum number of credits in each subject required for a Single Degree title: 100 credits from the subject area as defined within the approved programme specification.

### 5.2.6 *Bachelor Degree (Joint)*

- a) The title of a Joint degree award defines a coherent programme of study which has modules from two single subject areas where there is an approximate balance between the two areas.
- b) The minimum number of credits in each subject required for a Joint ordinary degree is 60 credits from the subject as defined within the approved programme specification.
- c) For the Joint award the title A and B will be named in alphabetical order.

### 5.2.7 *Bachelor Degree (Major/Minor)*

- a) A Major/Minor degree may be awarded where the programme includes a major/minor combination and where the minor subject accounts for one third of the programme.
- b) The minimum number of credits in each subject required for a Major Degree title component is 80 credits from the subject area as defined within the approved programme specification.
- c) The minimum number of credits in each subject required for a Minor Degree title component is 40 credits in the subject as defined within the approved programme specification.
- d) Major/Minor Degree Awards will be titled as follows: BA or BSc A with B.

### 5.2.8 *Honours degree characteristics*

- a) Honours Degrees may be awarded in Single subject titles, Joint subject titles or Major/Minor titles as approved as being on the list of the University of the West of Scotland's portfolio of titles.
- b) Titles for Honours awards are determined by the modules taken at the top two levels of study (SCQF levels 9 & 10).
- c) The Validation or Approval Panel will confirm the appropriateness of the title of the award.
- d) In order to achieve an Honours Degree 480 credits must be achieved with at least 100 at SCQF level 10.
- e) Where there has been direct entry to Level 10 then the title should be that as described in the appropriate UWS programme specification. (See Regulation 6.7.4(b) (iv).)
- f) An approved Honours award should include a dissertation element (or equivalent evidence of substantial independent work) which should be equivalent to at least 40 credit points at SCQF level 10. For guidelines on Honours and Masters Dissertations see the UWS Assessment Handbook.
- g) Each copy of the Honours thesis should remain the property of the University, but the copyright of the thesis should be vested in the candidate.

### 5.2.9 Honours degree (Single)

- a) The title of a Single Honours award defines a single coherent programme in which the majority of modules are in a single subject area. It should be expressed simply and in as few words as possible.
- b) The minimum number of credits required for a single honours title is the equivalent of 200 credits from the subject area as defined within the approved programme specification; with at least 100 of these at SCQF level 10 and none less than SCQF level 9.

### 5.2.10 Honours degree (Joint)

- a) The title of a Joint Honours award defines a coherent programme of study which has modules from two single subject areas and where there is an approximate balance between the two areas.
- b) The minimum number of credits required for the joint award is 60 credits in each subject area at level SCQF 9, 40 credits from each subject area at SCQF level 10 plus one 40 credit project in either subject area.
- c) The first named title in the award will be determined by the dissertation/project.

### 5.2.11 Honours (Major/Minor)

- a) A Major/Minor Honours Degree may be awarded where the programme includes a major/minor combination where the minor subject accounts for one third of the programme at levels 9 and 10.
- b) The minimum number of credits required for a Major Honours title is 160 credits from the subject area as defined within the approved programme specification, with at least 80 of these at SCQF level 10.
- c) The minimum number of credits required for a Minor Honours title component is 80 credits from the subject as defined within the approved programme specification, with at least 40 of these at SCQF level 10.
- d) Major/Minor Honours Awards will be titled as follows: BA or BSc Honours A with B.

### 5.2.12 Integrated Master's\*

- a) An integrated master's is an undergraduate degree followed by an additional year of study at master's level, with a minimum of 120 credits at SCQF level 11.
- b) The award is conferred at the end of study as a full master's – an intermediate bachelor's degree is not normally awarded.
- c) The Integrated master's programme must include a dissertation (or equivalent evidence of sustained independent work) which should normally calibrate to at least 60 SCQF level 11 credit points.

\*note

The University does not have any Integrated Master's awards at present. As and when these are developed, admissions and progression regulations will be addressed.

### 5.2.13 *Master's*

- a) An approved taught Master's programme must include a substantial dissertation (or equivalent evidence of sustained independent work) which should normally calibrate to at least 60 SCQF level 11 credit points. Further guidance on what constitutes 'sustained independent work' can be found in the UWS Assessment Handbook.
- b) Each copy of the Master's thesis should remain the property of the University, but the copyright of the thesis should be vested in the candidate.

### 5.2.14 *Professional Doctorate/Doctor of Business Administration/Engineering Doctorate*

- a) An approved Professional Doctorate/DBA/EngD should include a substantial contribution to knowledge and professional practice, which typically combines taught components and a supervised research programme, normally equivalent to 540 credits with a minimum of 420 credit points at SCQF level 12, and a maximum of 120 credit points comprising the taught component with none less than SCQF level 11.
- b) On completion of the taught component of the award, candidates will be bound by the research degree regulations (Reg 8).

### 5.2.15 *Intermediate Awards*

- a) Where a student does not demonstrate the learning outcomes, as set out in a programme specification for the final award, an intermediate qualification may be awarded, provided the student has demonstrated the learning outcomes required for that qualification.
- b) Programme specifications should clearly specify the learning outcomes required for each qualification including intermediate awards.
- c) At undergraduate level the intermediate awards should be the Certificate of Higher Education, Diploma of Higher Education and the Bachelor's Degree. At Postgraduate Diploma level the intermediate award should be the Postgraduate Certificate while at MSc level the intermediate award should be the Postgraduate Diploma.
- d) A student who has accumulated the necessary number of credits and satisfied any other specific requirements has the right to claim any award intermediate to the final award for which he or she is registered, provided he/she has demonstrated the achievement of the learning outcomes specified for the intermediate award. (See Regulation 7.5.3.)
- e) Normally no intermediate award will be made to a student who has obtained a final award, or to a student who immediately proceeds to the next level of the award.
- f) The University may make an intermediate award to a student who has met the requirements for that award but is no longer registered on the programme of study leading to a higher level qualification.

### 5.2.16 Collaborative arrangement (*Joint award*)

- a) A joint award (collaborative arrangement) involves the granting of a single award by UWS with one or more collaborating awarding bodies for the successful completion of one programme of study. UWS is therefore responsible for the standard of the award as one of the conferring institutions.
- b) UWS will agree appropriate arrangements for the awarding of transcripts and certificates prior to commencement of the programme.
- c) Partner Institutions will be required to demonstrate that they have the legal capacity to make such an award.
- d) Any joint award proposals will be subject to risk assessment, initial scrutiny and approval by the University's Collaborative Forum.
- e) Consideration will be given to conditions of the award and quality assurance procedures prior to embarking on such an arrangement.

### 5.2.17 Collaborative arrangement (*Dual award*)

- a) A dual award (collaborative arrangement) involves the granting of separate awards by both UWS and a collaborative partner, for a single programme of study.

The two awards will be based on the same assessed student work and can only be granted when the objectives of the programme have been achieved at the same point in time. Responsibility for each award and its academic standard will remain with the body awarding it.
- b) The responsibility for the standard of the UWS award will remain with the UWS and cannot be shared with the partner.
- c) The partner institution will be required to demonstrate to UWS that it has the legal capacity to make such an award. Together with UWS, the partner institution will ensure that students may not double-count credit for successfully completing modules.
- d) Any dual award proposals will be subject to risk assessment, initial scrutiny and approval of the University's Collaborative Forum.

### 5.2.18 Collaborative arrangement (*Validated award*)

- a) A validated award (collaborative arrangement) involves the granting of an award by UWS to be delivered by non-degree awarding bodies. This can be undertaken in areas where the University is confident the partner has the resources and expertise to run its own UWS-validated award, and where the programme is not in direct competition with any award offered by the university on one of its own campuses.
- b) The responsibility for the standard of the UWS award will remain with the University. A Joint Programme Panel (JPP), with representation from both UWS and the partner institution, will be established to manage the collaborative arrangements and to provide a focus for operational issues to be discussed, with the Degree Assessment Board

(DAB) (remit for DAB is included in Collaborative section of Quality Handbook) managing the assessment processing.

For the particular collaborative arrangement with the Scottish Baptist College (SBC) it should be noted that SBC follows UWS arrangements for Subject Panels and Progression & Awards Boards

- c) Any validated award proposals will be subject to due diligence, initial scrutiny and approval of the University's Collaborative Forum.

### **5.3 Studying on a programme**

#### **5.3.1 Approval of a student's choice of modules in a programme**

- a) A student's programme of modules needs to be approved as educationally appropriate. Such approval will be effectively automatic where a student is following a defined Single programme within the general guidelines provided for that title in the programme specification. For students taking a Joint or Major/minor programme, educational guidance will be available.
- b) For all students, their programme of study and their module selection is only approved when it is signed off authorised by an appropriate academic as part of the enrolment process, either by signature or by electronic confirmation.
- c) A student's module selection in any given trimester can be constrained by timetable compatibility. It is essential that a student is available to attend all required classes for all modules on which they are enrolled, unless a student's individual circumstances in relation to an equality characteristic pertain.

#### **5.3.2 Study abroad**

- a) Students taking a period of study abroad, or at another UK institution, as part of an exchange programme will require to have the modules they are taking at the other institution, approved and signed off by the Programme Leader, Programme Assessment Board (PAB) Chair and School-based Erasmus or International Co-ordinator as meeting the required level and outcomes for the University's award (a form is available for this process from Registry).
- b) In addition, there needs to be a translation of the partner institution's grading system as part of the exchange agreement to enable candidates to have the exchange credit count towards any award with distinction. This should ideally be completed by the Programme Leader prior to the student attending the partner institution.

#### **5.3.3 A student wishing to change their module selection or programme of study**

- a) A student may seek approval for a change to their selection of modules. Any new module selection must be consistent with the programme specification for their programme of study and be approved by the relevant Programme Leader.

- b) A student may seek approval for a change to their programme of study. Any such change is subject to the approval of their existing Programme Leader and the Programme Leader for the programme they wish to transfer to.

#### 5.3.4 *Lack of academic progress on a programme*

A student should be required to reapply for a programme of study if the Programme Assessment Board (PAB) has not assigned credit to the student for a period of two calendar years. The student will be treated as a new applicant and will go through the University's Recognition of Prior Learning (RPL) process to check on the currency of their learning. They will then be offered the most appropriate level of entry based on that learning.

#### 5.3.5 *Authorised Interruption of study*

- a) A student registered for an award may be allowed a period of Authorised Interruption of Study, approved by the relevant Dean of School and may be re-admitted thereafter to complete the requirements for a degree.
- b) A period of Authorised Interruption of Study will not normally exceed one academic session, and the total period of Authorised Interruption of Study, which may be granted throughout the programme of study, will not normally exceed two academic sessions.

#### 5.3.6 *Attendance and Engagement Requirements*

- a) It is expected that students will attend all scheduled classes or participate with all delivered elements as part of their engagement with their programme of study. However, consideration must be given to students who have protection under Equality law.
- b) Module descriptors, programme specifications and supporting module and programme handbooks should make explicit where there are specific attendance/engagement requirements to be met.
- c) Attendance/engagement will be monitored and, if deemed unsatisfactory, may result in warning and/or withdrawal.
- d) Where appropriate, unsatisfactory attendance/engagement may have implications with respect to programmes accredited or approved by the relevant professional body and Home Office requirements (for international students).

#### 5.3.7 *Operating Attendance recording*

- a) Each student should be notified of the attendance/engagement requirements in respect of each element of the programme of study.
- b) Where there is a specified attendance/engagement requirement for modules and/or programmes, it is the responsibility of the Programme Leader to ensure appropriate records are maintained.

- c) Where a student is deemed to be at risk in terms of meeting any specified attendance requirements, it is the responsibility of the Programme Leader, or other person as identified by the School, to initiate appropriate action to inform the student and personal tutor and warn the student of the implications.
- d) Students should inform the Programme Leader, or other identified School contact, of any planned absence where this is known in advance.
- e) Where unforeseen absence occurs, students should inform the Programme Leader, or other identified School contact, as soon as is practicable and, other than in cases relating to confidential issues, if the absence is for longer than one week, provide supporting evidence of the reason(s) for non-attendance.
- f) The Dean of School should ensure that appropriate mechanisms are in place to monitor attendance and take any action required.

#### 5.3.8 *Withdrawal of a Student on grounds of non-engagement*

- a) Where a student has failed to engage in a programme, the Dean of School or nominee may convene a School Panel to consider withdrawal of the student on the grounds of non-attendance.
- b) A student may appeal against the decision of withdrawal on the basis of failing to meet engagement requirements. (Refer to Regulation 13.3.4.)

### 5.4 Work-Based Learning and Placement Learning

This section details the regulations which are concerned with the assessment of an award of academic credit for Work-based Learning and are informed by the QAA Quality Code for Higher Education.

There is a University Policy on WBL which includes guidance for staff and students on the procedures for Work-based Learning.

#### 5.4.1 *Definitions*

The University recognises a range of learning which may be derived from a work environment or work related activities that may be credit rated. Modules may be approved that are entirely work-based learning or placement learning or which include elements of these activities.

The University recognises **four** main types of work-based learning and placement learning which may contribute to a student's programme of study.

##### a) *Sandwich Placement or Recognised Sandwich Work Experience*

Sandwich learning takes place when a student is placed in (or secures for their self) a relevant job for a period of 36 weeks. This normally takes place between Levels 8 and 9 or Levels 9 and 10 of a programme of study. The credit awarded for this learning is additional to the 360/480 points needed for graduation with a degree/honours degree. All

three of the parties involved (employer, student and University) need to enter into a Sandwich Placement Agreement covering this learning arrangement.

*b) Placement Learning (PL)*

Placement Learning which takes place when a student is placed by the University (or secures an opportunity which is approved by the University) with a business or other organisation for a defined period of paid (or unpaid) work experience through which the student will have the opportunity to meet learning outcomes defined by the University as part of one of its Programmes. This learning arrangement needs all three of the parties involved (placement provider, student and University) to accept specific responsibilities during the placement period and so a Placement Learning Partnership Agreement is needed for each individual student placement.

The credit awarded for this type of placement learning contributes to the 360/480 points needed for a degree/honours degree.

*c) Work-Based Learning (WBL)*

Here the learner is already in full or part-time employment and undertakes study which involves them learning through their role within the workplace in a way which requires the support and certain concessions from their employer to meet the learning outcomes; and has been agreed between the University, the student and the employer.

In this model the student is not being placed in employment by the University but is using their own workplace to facilitate learning which the University assesses and awards credit for.

Such an arrangement will be possible where the University is satisfied that the current employer can provide sufficient opportunities for the student(s) to meet defined learning outcomes to the required level. The University will need to be satisfied that the employer can give the student sufficient time to do the type of work required to meet the learning outcomes by the end of the defined period. These matters would be covered by a WBL partnership agreement. However, as the learner is already an employee of the company this agreement only relates to learning and assessment. There is no need for it to cover other issues such as health and safety.

*(d) Recognition of Prior Learning (RPL) Through Work Experience*

This relates to cases where a student has acquired learning in a workplace prior to commencement of study with the University of the West of Scotland. This prior learning may be assessed and accredited through the University's RPL procedures.

#### 5.4.2 *Principles*

- a) All Work-based Learning and Placement Learning should be credit rated, whether as part of credit counting towards a University award or as placement credit in addition to the credit for the award.
- b) The University is responsible for the academic standards of its awards and the quality of the provision leading to them. The University will therefore put in place policies and procedures to ensure its responsibilities and those of providers of WBL opportunities are clearly identified and met.
- c) Where WBL/Placement Learning is part of a programme of study its learning outcomes will be clearly identified, contribute to the overall aims of the programme and will be assessed appropriately.
- d) University staff supporting students on WBL/PL must receive appropriate training and support in this role.

#### 5.4.3 *WBL in Programme Specifications & Module Descriptors and Learning Outcomes*

- a) Schools should confirm within individual programme specifications whether credit may be awarded for Work-Based or Placement Learning (WBL/PL) and if so include therein the detailed operation of the scheme. Such schemes must be approved as part of the approval process.
- b) For a WBL module a module descriptor is required. This should demonstrate the level and volume of credit for the module and confirm the learning outcomes for the module.
- c) WBL/PL may be derived from a placement in a work environment outside the University.
- d) Where a WBL/PL route and University route are available within the same programme, the programme learning outcomes for each route should be the same.
- e) Students who do not wish to take an optional Placement/WBL (or who fail to obtain a position with an employer) must have the opportunity to meet the learning outcomes of the programme via a programme of studies within the University. The same arrangements should be put in place for students who require to leave the WBL/PL setting before it is completed.
- f) Up to 120 points at any SCQF level may be available via WBL/PL. If the full 120 points are to be available this should normally only be for single degree programmes. However, if WBL/PL is in place for the full honours year, the normal University regulation for Honours dissertations should apply (5.2.8).
- g) Consideration must be given to the prerequisites for level 10 following a period of WBL/PL to ensure students returning from WBL/Placement are prepared to take the same level 10 programme as students progressing through the University delivered programme.

- h) It is acceptable where the professional body has mandatory practice learning requirements exceeding the normal module hours, to increase these in both practice and mixed theory: practice modules. Additionally, it is determined that credit for WBPL cannot be integrated into the credit required for the award, general placement credit will be awarded and recorded on the student's transcript.

#### 5.4.4 *WBL Assessment and Credit*

- a) All WBL/PL integrated into a university programme/award must be appropriately assessed and lead to academic credit.
- b) The design of the assessment of WBL/PL for the award of academic credit remains the responsibility of University staff and may not be devolved to partner employers. The employer may be involved in assessment of WBL/PL where appropriate and this should be specified in the module descriptor and learning agreement. However, the award of a grade (A - E) will be the responsibility of the academic member of staff of the University.
- c) There should be appropriate assessment of the learning from the WBL/PL experience using appropriate instruments of assessment approved by the external examiner. Assignments and assessments connected with WBL/PL will be properly considered by the academic programme team and there should be consideration of parity of assessment with the University based route where this exists.
- d) Where there is no professional body reason preventing it, there should be use of the full spectrum of assessment marks for the assessment of Work-based Learning (i.e. not pass/fail).
- e) The award of credit for WBL/PL will be confirmed by subject panels and will involve external examiners in the normal way who will comment on WBL/PL in their annual reports.
- f) The grades achieved for assessed WBL/PL will contribute to the award of distinction or honours classification in the normal way and as specified in University Regulation 7.5.
- g) Credit cannot be awarded unless a tripartite learning agreement has been agreed with the employer, University and student prior to the commencement of the WBL/PL experience that defines the intended learning outcomes, methods of assessment and arrangements for reassessment.
- h) The impact of failure or non-completion of any WBL/PL on student progression within the overall programme, and the provision of reassessment opportunities must be made clear in the assessment strategy and student handbook and approved at the approval event.
- i) Where, for professional body or other reasons accepted by the Education Advisory Committee, it is determined that credit for WBL/PL cannot be integrated into the credit required for the award, general placement credit will be awarded and recorded on the student's transcript.

- j) Student transcripts will make clear the route by which students have achieved the learning outcomes for the award.

5.4.5 *WBL Partnership Agreements*

- a) The University has established criteria for the selection and approval of WBL/PL settings/placements and ensures these arrangements are subject to quality assurance monitoring and evaluation reported on in the annual monitoring process. Schools will be responsible for assessing potential WBL/PL settings against these criteria.
- b) Schools must ensure that the partner can deliver appropriate learning opportunities and has the capacity and capability to assist students in meeting the agreed learning outcomes.
- c) A written WBL/PL agreement will be established between the School and the WBL/PL partner and this will be recorded on the WBL/PL Register maintained by the University's Careers and Employability Service, the Education Advisory Committee provides a template for Partnership agreements.
- d) Employers must receive appropriate briefing and support from the appropriate Placement Officer, Programme Leader, or Module Co-ordinator on the University's expectations and their responsibilities in assisting students to meet the intended learning outcomes.
- e) The University has a policy and procedure which applies should it be necessary to terminate a WBL/PL opportunity earlier than planned or to terminate the relationship with the WBL/PL provider.
- f) The responsibilities of the University, the employer and the student must be clearly defined for each partnership providing WBL/PL opportunities, particularly with regard to Health & Safety issues and equality and diversity policies.
- g) The University will provide employers with information on the University, WBL/PL and its expectations of employers participating in WBL/PL in terms of communication, assessment, student support etc.

5.4.6 *WBL - Learning Agreements*

- a) A written learning agreement must be drafted and confirmed between the University, the student and the WBL/PL partner/provider before the student commences the WBL/PL opportunity. This should make clear the learning outcomes, methods of assessment and responsibilities of the University, student and WBL/PL partner.
- b) Students should be partners in the preparation and conclusion of the Learning Agreement.

**5.4.7      *WBL - Student Guidance and Support***

- a) Students should be appropriately prepared for the WBL/PL experience by Schools and understand their rights and responsibilities. Induction arrangements will be put in place by Schools with professional input from relevant University support departments.
- b) Schools will ensure that students receive a WBL/PL handbook relevant to the School/programme before commencing any period of WBL/PL outside the University.
- c) Students will be visited by a University tutor at least twice during a sandwich placement (minimum 36 weeks) and according to the arrangements specified on learning agreements, programme specifications, module descriptors and students handbooks for shorter WBL/PL experiences.
- d) Additional arrangements will be put in place for on-going student guidance and support during the WBL/PL including the use of email, Virtual Learning Environment and telephone support. Students should expect to be contacted at least every six weeks by a member of University staff to maintain contact and offer support.

**5.4.8      *Sandwich Awards***

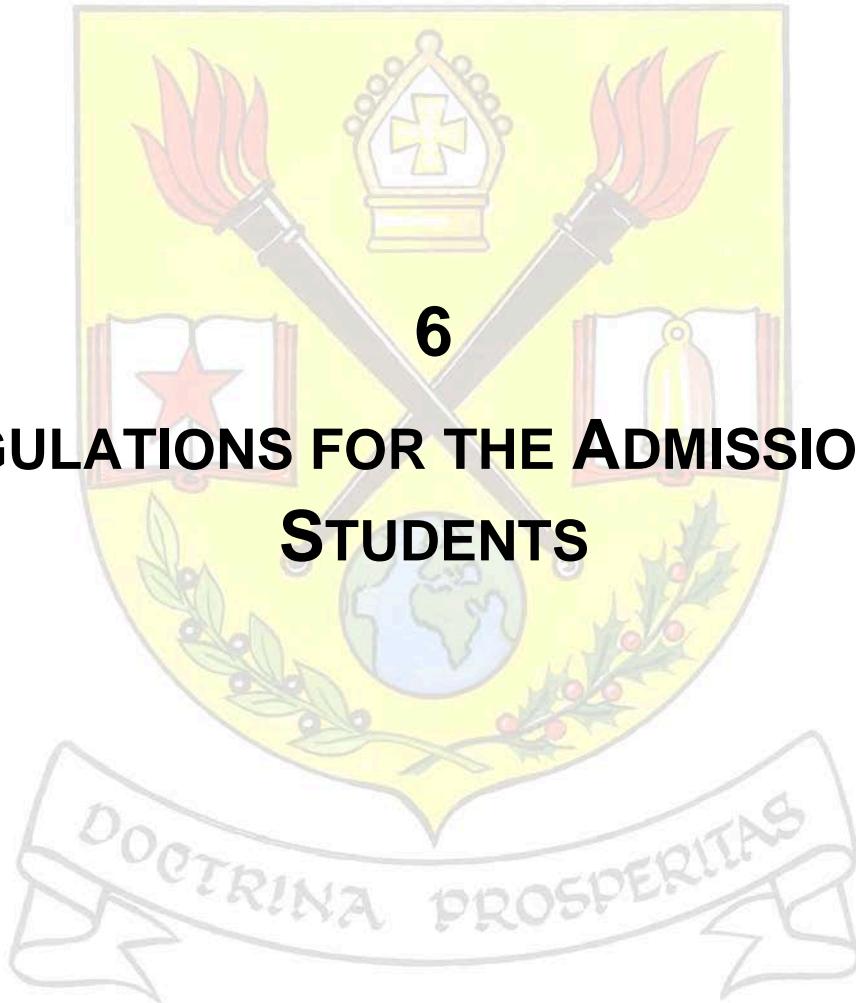
- a) A Degree or Honours Degree programme of study in the sandwich mode should include not less than thirty-six weeks of supervised work experience in addition to the period required for the requirements for full-time study leading to the award.
- b) The period of WBL/PL that constitutes the sandwich experience should form a compulsory element in the programme of study. Its learning outcomes should be specified and related to the objectives of the whole programme. The performance of each student should be appropriately assessed. Satisfactory completion of, and performance in, the period of supervised work experience should be a requirement for the University's award.
- c) Distinct learning outcomes are required for a sandwich award which distinguishes it from the full-time award.
- d) Students will be visited by a University tutor at least twice during a sandwich placement (minimum 36 weeks duration).

**5.4.9      *WBL Monitoring and Evaluation***

- a) Module evaluation will be used to obtain student feedback on WBL/PL and WBL/PL partners and their tutors will be formally asked for their feedback on the student experience during the WBL/PL opportunity and the implementation of the learning agreement. This will be used to inform monitoring and evaluation of WBL/PL within the programme and School.
- b) Schools will ensure that WBL/PL is fully evaluated within annual monitoring and Internal Review.

6

# REGULATIONS FOR THE ADMISSION OF STUDENTS



## Regulation 6 - Regulations for the Admission of Students

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## 6 Regulations for the Admission of Students

### 6.1 General Requirements for Admission

#### 6.1.1 *Principles of Admission*

- a) There shall be a reasonable expectation that any person admitted to a programme of study will be able to fulfil the educational aims and learning outcomes of the programme and achieve the standard required for the award.
- b) In considering each application for admission to a programme of study, evidence shall be sought of personal, professional and educational qualifications and/or experiences that provide indications of ability to meet the demands of the programme.
- c) Opportunities for study shall be provided without any form of discrimination on non-academic grounds and in accordance with appropriate University policies e.g. the current Equality and Diversity polices and guidance. In particular, no discriminatory test shall be imposed on any person as a condition of being admitted to any programme or programme element leading to any degree, diploma, certificate or other academic award or distinction of the University.
- d) Programmes which provide training for entry into specific professions may be obliged to meet particular requirements on admissions set by Professional, Statutory & Regulatory Bodies (PSRBs) for entry, for example, Protection of Vulnerable Groups where applicable. The University's Initial Teacher Education programmes are required to ensure that all entrants possess the entrance qualifications stipulated in Scottish Government memoranda and that admissions procedures incorporate interviewing of applicants, as requested by the General Teaching Council (Scotland).

Programmes which provide entry into professions which involve a duty of care such as education, nursing and social work may require, as a condition of entry, health checks if this is a stated criterion of the PSRB.

- e) It is essential that students enrol onto modules/programmes as required by the University to ensure access to learning resources, application of the Regulatory Framework, payment of fees and coverage by the University's insurance and health and safety provisions. Applicants holding an offer of a UWS place on a taught or research programme but who are unavoidably delayed in arriving at UWS, or have some other major impediment preventing their enrolment, will normally be allowed up to a maximum of two weeks after the start of trimester to complete enrolment. Thereafter the University will proactively seek to finalise the enrolment process or the student will be required to leave the University.

### 6.1.2 *Admission to Programmes of Study*

- a) The aim of the University in its admissions policy is the advancement of education and the widening of educational opportunities through the provision of a variety of modes of study and flexible provision.
- b) The range and levels of programmes and modules are such as to provide each student admitted to the University the opportunity to gain the highest level of award of which they are capable.
- c) The University may establish indicative educational criteria for its programmes of study or supervised research and, where competition for places is considered likely, may establish competitive entry requirements. General criteria are given in Regulation 6.2 (below), and Programme Regulations may set specific requirements on a programme by programme basis.
- d) Applicants will be informed of such indicative or competitive requirements, but the University reserves the right in considering individual applications to admit applicants not meeting those requirements, or limit admissions to the number of places available.

## **6.2 *Entry Qualifications for Admission to Programmes of Study at First Degree, Diploma of Higher Education, Certificate of Higher Education and Graduate Certificate and Diploma Levels***

### 6.2.1 *General Entrance Requirement for Admission at CertHE Level/International CertHE*

- a) The University's general requirement for entry to a programme of study leading to an award of a Certificate of HE shall be that an applicant who satisfies one of the following requirements shall be eligible for selection for admission. Competitive entry will stipulate grades for certain subject areas:
  - i) passes in the Scottish National Qualifications in five subjects including one at Higher Level;
  - ii) passes in the General Certificate of Secondary Education (GCSE) and General Certificate of Education (GCE) in four subjects normally including one at Advanced Level (A level);
  - iii) other academic, vocational or professional qualifications deemed to be equivalent.

### 6.2.2 *General Entrance Requirement for Admission at DipHE Level*

- a) The University's general requirement for entry to a programme of study leading to the award of a Diploma of HE shall be that an applicant who satisfies one of the following requirements shall be eligible for selection for admission. Competitive entry will stipulate grades for certain subject areas:

- i) passes in the Scottish National Qualifications in five subjects including two at H Level;
- ii) passes in the GCSE/GCE in four subjects including one at A Level;
- iii) other academic, vocational or professional qualifications deemed to be equivalent.
- iv) It may be possible for candidates with an appropriate volume of SCQF credit at level 7 or above or equivalent to be offered direct entry to Level 8.

*General Entrance Requirement for Admission to International DipHE*

- b) The University's general requirement for entry to a programme of study leading to the award of an International DipHE shall be that an applicant who satisfies the following requirements shall be eligible for selection for admission. Competitive entry will stipulate grades for certain subject areas:
  - i) A pass in the International CertHE or equivalent
  - ii) It may be possible for candidates with an appropriate volume of SCQF credit at level 7 or above or equivalent to be offered direct entry to Level 8.

**6.2.3 General Entrance Requirement for Admission at First Degree Level**

- a) The University's general requirement for entry to a programme of study leading to the award of a First Degree shall be that an applicant who satisfies one of the following requirements shall be eligible for selection for admission. Competitive entry will stipulate grades for certain subject areas:
  - i) passes in the Scottish National Qualifications in five subjects including three at H Level;
  - ii) passes in the GCSE/GCE in five subjects including two at 'A' Level or passes in the GCSE/GCE in four subjects including three at 'A' Level;
  - iii) other academic, vocational or professional qualifications deemed to be equivalent.
  - iv) it may be possible for candidates with an appropriate volume of SCQF credit at level 7 or above or equivalent to be offered direct entry at an advanced level through Recognition of Prior Learning (see 6.7).

**6.2.4 General Entrance Requirement for Admission at Graduate Certificate & Diplomas/*International Graduate Diploma***

- a) The University's general requirement for entry to a programme of study leading to the award of a graduate certificate or diploma shall be that an applicant who satisfies the following requirements shall be eligible for selection for admission. Competitive entry will stipulate grades for certain subject areas:
  - i) A first degree - graduate certificates and diplomas are typically programmes of study appropriate to graduates which provide specialist subject development at SCQF levels 9 and 10 and therefore assume an ability and aptitude for academic practice at these levels.
  - ii) Other academic, vocational or professional qualifications or experience deemed to be equivalent to the SCQF level of a first degree.
  - iii) In addition to the University's general entrance requirements for programmes of study at graduate certificate/diploma level, the requirements for entry into a particular programme may stipulate specific requirements.
- b) The entrance requirement for Admission to *International Graduate Diploma* shall be the equivalent of a prior programme of study equivalent to at least 240 credits at SCQF levels 7 & 8.

**6.2.5 Programme Requirements**

In addition to the University's general entrance requirements for programmes of study at First Degree, Diploma of Higher Education, Certificate of Higher Education and Graduate Certificate and Diploma Levels, the requirements for entry to a particular programme may stipulate that an interview or passes in certain subjects are essential and that passes in other subjects are recommended.

**6.2.6 Programme Requirements and Competitive Entry Standards**

- a) Details of specific subject requirement and competitive entry requirements for particular programmes are to be found in the University's undergraduate prospectus.
- b) The competition for entry is such that qualifications above the minimum pass requirements are usually necessary to gain admission to programmes of study.

### **6.3 Entry Qualifications for taught Programmes of Study leading to Postgraduate Awards**

#### **6.3.1 Taught Postgraduate Programmes**

- a) The University recognises the following set of criteria for admission to a taught postgraduate programme.
  - i) **Degree Entry Stream:** the standard entry requirement is a first degree. For a particular programme the subject range of acceptable degrees may be specified. Some programmes may specify higher entry requirements (for instance an Honours Degree in a named discipline). Direct entry to a Masters programme (as distinct from progression to a Masters on the basis of PgD performance) should require that the entrant holds an Honours Degree or an accepted equivalent.
  - ii) **Non-standard Entry:** entry to a postgraduate programme (other than Masters direct) may be open to holders of an HND or DipHE award in an appropriate discipline, or a professional qualification accepted as of equivalent status. Such candidates must in addition normally have at least two years of relevant professional experience.

Candidates without formal qualifications who possess substantial experience in an appropriate field, and/or who may be judged to have demonstrated exceptional abilities, may also be admitted to a postgraduate programme at the discretion of the Programme/School Admissions Officer.

#### **6.3.2 Taught Doctoral Programme**

See Regulation 8.2.1.

### **6.4 Other Entry Qualifications**

- a) All applicants shall be expected to provide evidence of proficiency in Mathematics and the English language, normally at least one of which subjects shall be at Higher Grade or equivalent.
- b) An applicant whose qualifications do not conform to the general entrance requirements but who presents other evidence which indicates an interest in personal educational advancement and an aptitude for academic study at the level concerned may be admitted to a programme of study at the discretion of the University. (Refer to RPL Guidelines.)

#### **6.4.1 Equivalent and other Entry Qualifications**

School Admissions Teams, Admissions Staff or Education Guidance Advisors will assess potential entry qualifications and their suitability for individual programmes of study. Guidance on qualifications can be found in UCAS publications on UK and International Qualifications. Students may be offered a programme of study that includes pre-sessional ESOL training in addition to their formal academic programme. The University also subscribes to the

National Academic Recognition Information Centre (NARIC) which provides definitive information on the equivalence of international qualifications in relation to those of the UK. (Refer to RPL Guidelines.)

## **6.5 Entry Qualifications: Higher Degrees by Research**

Applicants for a higher degree by research will normally be expected to hold a first or second class honours degree or equivalent.

## **6.6 Entry Qualifications: First Language**

For applicants where English is not the first language, the following regulations will apply.

6.6.1 For all programmes of the University, except a Foundation programme as detailed in 6.6.2, or for research degrees (see 6.6.3) applicants must be able to satisfy the University of their competence in English with an overall IELTS comparable score of 6.0 or above (with a minimum of 5.5 in each component).

6.6.2 Applicants to the Cert HE (Foundation programme) will be permitted entry to the programme with an IELTS comparable score of 5.0 and a requirement that they reach an IELTS comparable score of 6.0 before proceeding to SCQF level 8.

6.6.3 Applicants for research and doctoral programmes (See Regulation 8) must be able to satisfy the University of their competence in English with an overall IELTS comparable score of 6.5 or above (with a minimum of 6.0 in each component).

## **6.7 Recognition of Prior Learning (RPL)**

6.7.1 Appropriate learning, wherever acquired, provided that it has been subject to reliable and valid methods of assessment may be accepted for the purpose of gaining academic credit by a person towards an award of the University.

This may take the form of:

- i) Accreditation of Prior Learning (APL)

APL refers to certificated learning for which there is an agreed, general credit rating or recommendation and may also be given for parts of academic qualifications completed successfully.

- ii) Accreditation of Prior Experiential Learning (APEL)

APEL is defined as learning which has its source in experience, for example at work or in the community.

The assessment of APEL shall normally be undertaken by the academic staff of the University.

APEL assessments shall be open to external examination and confirmation by Subject Panels (see Regulation 7) on the same basis as the formal assessment and examination of students.

#### 6.7.2 Accreditation for Prior Learning (APL)

- a) Each person claiming APL is required to provide the University with relevant documentation, such as the originals of appropriate certificates, which may be accepted as evidence in support of the claim.
- b) Detailed information on the University's APL arrangements and procedures is available in the University's RPL Guidelines.

#### 6.7.3 Accreditation for Prior Experiential Learning (APEL)

- a) Responsibility for making a claim to have acquired knowledge and skills and for supporting that claim with appropriate evidence rests with the applicant concerned.
- b) To assist in achieving this, the applicant will be provided with guidelines outlining the principles of APEL and its assessment, guidance on levels and on constructing statements of learning through systematic reflection on experience and assessment. The applicant will be allocated an academic supervisor with specialist knowledge in the relevant subject area.

All claims for APEL shall be double marked.

- c) The APEL proposal for the award of credit shall be approved by the School Admissions Officer and Programme Leader. Where a claim for credit matches the learning outcomes of the module, the agreement of the Module Co-ordinator will also be sought.
- d) While the University may accept a portfolio of evidence supporting a claim submitted by an applicant in a variety of forms, that evidence shall normally include a written piece of work which provides a guide through the accompanying portfolio of evidence. In all cases the evidence shall demonstrate:
  - i) authenticity: the work shall be the applicant's own work;
  - ii) standard: the work shall be of the standard required for the SCQF level claimed;
  - iii) breadth: a balance between theoretical knowledge and practical application shall be evident;
  - iv) relevance: the learning shall be focused on subject areas offered by the University in programmes of study at degree or postgraduate level;

- v) currency: the learning shall have been kept up-to-date by the applicant;
- e) Detailed information on the University's APEL arrangements and procedures is available in the University's RPL guidelines.

#### 6.7.4 *Recognition for Credit*

- a) Recognition for credit is defined as the process whereby a judgement about the extent to which qualifications or experience may be accepted in partial fulfilment of the University's requirements for a given academic award; two categories of credit are recognised: general credit and specific credit. The distinction between general and specific credit shall be intended to ensure that the proposed programme of study is coherent and does not have any overlap of subject content within it.

Students are expected to build on or broaden prior learning. Recognition for credit up to the maxima stated in 6.7.4b can only be transferred into a programme where that programme broadens or develops the learning that the student has already acquired. This includes prior learning gained through successful completion of UWS programmes and modules. Students may not normally use the same prior credit towards more than one qualification as this would constitute double counting of credit.

The University has an agreed RPL process. This can be found in RPL Guidelines.

- i) *General credit*

General credit, for certificated learning, is arrived at through agreements between awarding bodies and Higher or Further Education Institutions. The amount of general credit is determined by the qualification held e.g. HNC, HND, RGN etc., not by the subject matter of the course of study to be pursued at UWS.

- ii) *Specific credit*

This is the credit given to an individual in the context of a particular programme of study; it may be equal to or less than the general credit to which it is related.

- a) *Undergraduate Awards*

Where credit has been achieved at UWS a current or former student may transfer credit into a programme greater than that allowed below, to allow completion, providing the learning is current, they are continuing on the programme previously studied or, where this is not possible, there is a direct 'fit' between prior and current study.

Where credit has been achieved external to UWS a maximum of half the credit points required at the level at which the applicant wishes to complete the programme of study with an academic award may be awarded through

RPL. Imported specific credit should be directly relevant to the student's proposed programme of study.

i) *Certificate of Higher Education*

60 points at level 7

ii) *Diploma of Higher Education*

120 points at level 7 plus  
60 points at level 8

iii) *Degree*

120 points at level 7 plus  
120 points at level 8 plus  
60 points at level 9

iv) *Honours Degree*

120 points at level 7 plus  
120 points at level 8 plus  
120 points at level 9

The full 120 points as described in UWS programme specification must be taken at Level 10 (Honours) to secure the award.

As RPL is not graded it cannot be imported into a programme at Honours level.

v) *Graduate Diploma*

60 points at level 9

vi) *Graduate Certificate*

50% of the exiting level or qualification as appropriate.

c) *Postgraduate Awards/Professional Doctorate/DBA*

Normally the following maxima for importing credit to postgraduate awards will apply:

Postgraduate Certificate 30 points at level 11

Postgraduate Diploma 60 points at level 11

Masters Award **120** points at level 11

Doctor of Business Administration **120** points at SCQF level 11

Professional Doctorate **120** points at SCQF level 12

Prior to an admission direct to the dissertation stage of a Masters or MBA programme, the relevant Admissions Officer must give consideration to the following:

- the appropriate research underpinning to undertake the dissertation;
- the equivalence of core modules or learning outcomes;

- the need to consult with relevant subject experts to establish if appropriate underpinning is in place and academic guidance on what additional modules might need to be taken;
- consideration of the title of the UWS award in relation to the prior study taken at another institution;
- the availability of resources for dissertation supervision;
- as prior credit is not graded the Admissions Officer must be satisfied the equivalent level of attainment is reached for progression between PgD and Masters [see Regulation 7.3.5 and 6.8.1(c)(iii)].

## 6.8 Admission with Prior Learning

- 6.8.1 a) Provided evidence can be submitted or assessed that an applicant has fulfilled some of the progression and assessment requirements of the programme of study for which admission is being sought by means other than registration on the planned programme, and that it is clear that the applicant will be able, by completing the remaining requirements, to fulfil the educational aims and learning outcomes of the programme and attain the standard required for the award, that applicant may be admitted to an appropriate point on the programme.
- b) An applicant who has successfully completed a programme of certificated learning at a recognised SCQF awarding institution shall be considered for admission with specific credit, at an appropriate point on the programme of study for which entry is being sought.
- i) An offer for direct entry to level 8 of a programme will normally be on condition that the applicant holds 120 credit points at Level 7. Applicants holding an HNC of 96 credit points will be admitted with advanced standing.
  - ii) Where there is an agreement to admit to level 8 of a programme (and all stipulated grading requirements have been met) an HNC, three Advanced Highers or A Levels will be deemed to be equivalent to level 7 of a programme and 120 points at level 7 will be entered as prior learning into the student's academic transcript.
  - iii) Scottish Baccalaureate; International Baccalaureate; European Baccalaureate; DUT or qualifications considered comparable.
- These qualifications vary in volume and level of credit and may fall short of the 120 credit points normally required for entry directly to level 8. Therefore, where there is an agreement to admit to level 8 of a programme, *Next Steps to University* (or equivalent module) may be recommended in order to prepare students for study at SCQF level 8.
- iv) Specific credit awarded for RPL towards a programme of study will be entered onto the student's record.

- v) An offer for direct entry to level 9 of a programme will normally be on condition that the applicant holds 240 points, at least 100 points of which are at level 8 or above.
- c) An applicant who has successfully completed the whole or part of a related degree or other programme of higher education at an institution of higher education in the United Kingdom shall normally be considered for admission with specific credit at an appropriate point on the programme of study for which entry is being sought.
  - i) The maximum specific credit awarded for a first degree towards a subsequent non related degree is 120 points at level 7 plus 60 points at level 8.
  - ii) It is not normally permitted to count credit from a first degree towards a lower level qualification, e.g. DipHE.
  - iii) Specific prior credit when incorporated into a programme of study does not carry a grade or mark. Therefore, award with distinction cannot be granted for awards where credit is transferred in at level 9 or level 11. This must be made clear to applicants by the School/Programme Admissions Officer or Education Guidance Advisors (see Regulation 7.5.2);
  - iv) Credit from a partially completed postgraduate programme of study may be imported in line with the maxima allowed (see Regulation 6.7.4 c). Imported credit should be directly relevant to the student's proposed undergraduate programme.
- d) A student shall be required to reapply for a programme of study if the Progression & Awards Board has not assigned credit to the student for a period of two calendar years. The student will be treated as a new applicant and will go through the University's RPL process to check on the currency of their learning. They will then be offered the most appropriate level of entry based on that learning. (See Regulations 5.3.4 – 5.3.5)

Where credit has been achieved at UWS, a current or former student may transfer credit into a programme, to allow completion, greater than that allowed under 6.7.4b) providing the learning is current, they are continuing on the programme previously studied or, where this is not possible, there is a direct 'fit' between prior and current study.

#### 6.8.2 *Recognition of Access Programmes*

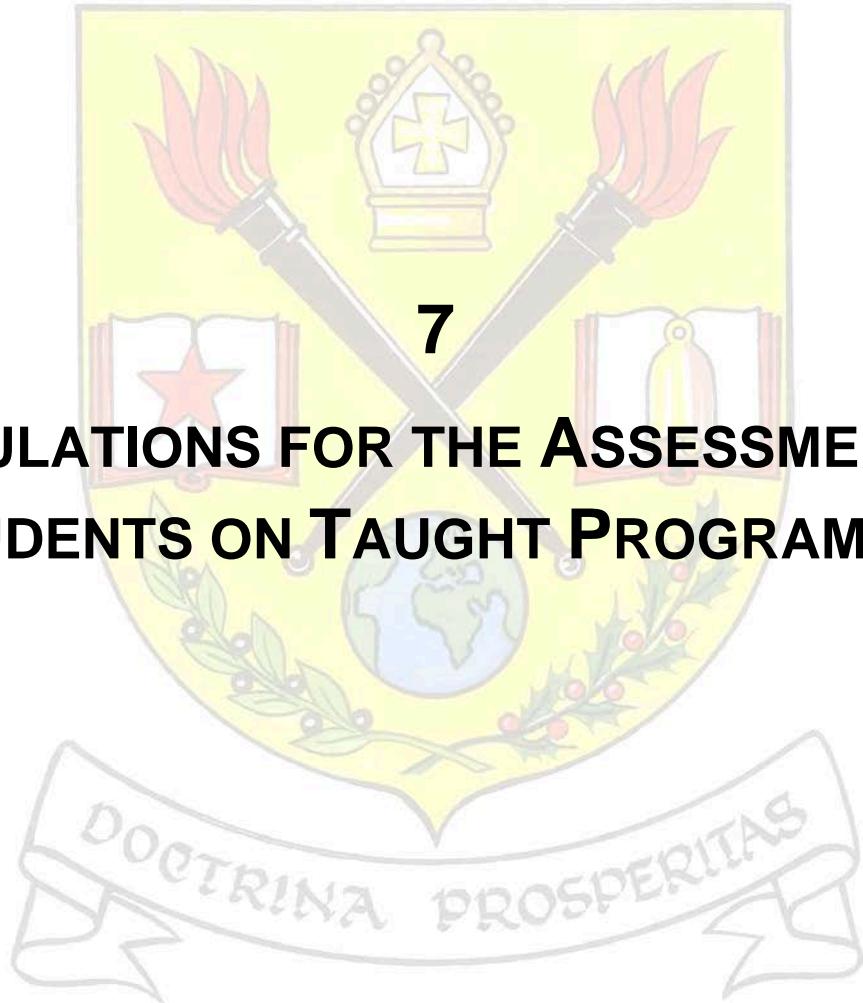
The recognition of Access programmes is the recognition of specified programmes for the purpose of entry into higher education, including the recognition of qualifications validated by other authorities, which is not based on the credit-rating of programmes in terms of comparability with the University's academic awards.

**6.9****Re-admission on Completion of Awards**

Students who have been deemed eligible for the award from the Progression & Awards Board will not be considered for re-admission to the same award at that level with a view to improving their marks, the eligibility for the award of distinction or the classification of honours.

7

# **REGULATIONS FOR THE ASSESSMENT OF STUDENTS ON TAUGHT PROGRAMMES**



## **Regulation 7 – Regulations for the Assessment of Students on Taught Programmes**

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## 7 Regulations for the Assessment of Students on Taught Programmes

Readers are expected to consult the University Assessment Handbook for operational guidance and policy which directly supports the implementation of Regulation 7.

### 7.1 General Requirements

#### 7.1.1 Academic Standards

Assessment that contributes to the award of academic credit and/or to the award of the degrees, diplomas, certificates and other academic distinctions of the University will relate the achievement of each candidate to the stated academic standards of the University.

The academic standards of the University will be as stated in the intended learning outcomes of modules and programmes of study, as set out in the relevant module descriptors and programme specifications.

#### 7.1.2 Equity of Assessment

All students registered for a module will be subject to the application of the same academic standards, rules and procedures with respect to assessment and re-assessment, irrespective of the programme of study or mode of delivery on which they are enrolled.

#### 7.1.3 Assessment of WBL/PL

In line with UWS Regulation 5.4.4(b), it is the responsibility of the academic member of staff to award final grades to the student on placement and may not be devolved to partner employers.

#### 7.1.4 Anonymous Marking

Procedures for anonymous marking as outlined in the Assessment Handbook, and approved by Senate will be used in all assessments that contribute to the award of academic credit and/or to the award of the degrees, diplomas, certificates and other academic distinctions of the University except where the nature of the assessment itself renders anonymity impossible to achieve, for example, possibly in placement observations or practical assessment.

The Assessment Handbook provides more detailed guidance on the operational aspects of submission and marking via Turnitin. (Assessment handbook sections 3.2 and 3.9)

## 7.2 Module Descriptors and Programme Specifications

### 7.2.1 *Module Descriptor*

The Module Descriptor for each module will:

- a) Specify the intended learning outcomes of the module and indicate how these relate to each main component of assessment.
- b) Indicate the range and type of the components of assessment and how these components will be assessed.
- c) Specify – but only in the case of professional requirements regarding the need to demonstrate specific competences – any assignment or group of assignments that must be passed in order to achieve an aggregate pass in the module.

### 7.2.2 *Programme Specification*

The Programme Specification for each programme will:

- a) Specify the aims of the programme and intended learning outcomes for each level of the programme and indicate how these relate to the constituent modules of the programme.
- b) Identify all of the elements (modules, supervised work experience, placements etc) for the award.
- c) Identify which elements are compulsory, optional or alternative.
- d) State the attendance requirements to be met by students, where the intended learning outcomes of a programme are such that attendance is compulsory for certain elements.
- e) State any specific assessment requirements that in addition to the requirements of the University Assessment Regulation must be met for progression towards or award of a professional qualification, provided that such requirements were approved through formal procedures for programme approval or for change to an existing programme.

## 7.3 Definitions

### 7.3.1 *Progression*

Progression is defined as meeting the requirements to proceed from a prerequisite module to a module for which it is a prerequisite or as meeting the requirements to proceed from one SCQF level of study to another. (See Regulation 5.1.8)

### 7.3.2 *Pass – Module (and components of modules)*

A module is regarded as having been passed for the purposes of progression and award of credit when a grade of C or above at SCQF levels 7-10, or a B2

or above at SCQF level 11 or 12, has been awarded and approved by the Subject Panel<sup>1</sup>. The award of a pass grade requires that:

- a) For SCQF level 7-10 modules, an aggregate mark of at least 40% has been achieved. For SCQF level 11 or level 12 modules an aggregate mark of at least 50% has been achieved.  
**and**
- b) For SCQF level 7-10 modules, a mean mark of not less than 30% has been attained in each main component of assessment where the number of components of assessment defined for each module will not normally exceed two or exceptionally three.
- c) For SCQF level 11 or 12 modules, a mean mark of not less than 40% has been attained in each main component of assessment where the number of components of assessment defined for each module will not normally exceed two or exceptionally three.  
**and**
- d) Any specific requirements set out in the module descriptor under Regulation 7.2.1(c) are met. See also 7.4.2.

#### 7.3.3 *Pass – Award*

- a) Students will be eligible to receive the University award for which they were registered when they have passed the core modules defined for that award in the programme specification and accumulated the amount of credit required for the award. Programme specifications may not stipulate additional requirements to achieve the award in terms of higher grades. Specific professional requirements for the award may be stipulated where required by the accrediting body, specifically agreed at programme approval and made clear in the programme specification.
- b) Awards can only be conferred where the programme of study undertaken is in accordance with an approved programme specification and where the student has met the requirements for the award as determined by a Progression & Awards Board<sup>1</sup>.
- c) An award will normally only be conferred within five years of the end of the academic session in which the programme of study was completed.

#### 7.3.4 *Progression with Credit Deficit*

The Progression & Awards Board (PAB) will permit a student to progress with credit deficit of up to 40 credits in order to enable progression to the next level of study, provided that:

- a) The student is required to be re-assessed in (or chooses to re-take) the module while studying at the next level.
- b) Progression with credit deficit from SCQF level 9 to level 10 is not normally permitted.

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<sup>1</sup> Or Degree Assessment Board if appropriate (see Reg 3.1.2)

- c) The student meets any mandatory pre-requisites prior to progressing to next level of study.

### 7.3.5 *Progression from the Diploma to the Masters Stage of a Postgraduate Programme*

Students are required to have successfully achieved the 120 credits associated with the Diploma prior to progressing to the Masters stage of a postgraduate programme. However *students may enrol on the module(s) associated with the Masters stage, subject to the decision of the Progression and Award Board, provided that it is made clear in the programme specification and programme handbook, that the student may be subsequently withdrawn from the module until the requirements for progression have been met.*

Progression from the Diploma to the Masters stage of a postgraduate programme may require measured attainment in excess of the minimum specified in Regulation 7.3.3 provided that such requirements are set out in the Programme Specification.

### 7.3.6 *Formal Examination*

Where a final summative examination is specified as an assessment for a module, this will take the form of a single paper of two hours duration. Exceptionally, at SCQF level 10, 11 or 12, an examination of three hours will be permitted where this is specified in the approved module descriptor.

## 7.4 **Marking and Grading**

### 7.4.1 *Marking and Aggregation*

Module marks and grades are arrived at where required by aggregation of numerical marks from a number of assessments into a single percentage mark to which the corresponding grade is then applied.

Where specifically validated, some modules may not have module marks or grades. In such cases the student's attainment will be recorded as 'pass' or 'fail', having met or not met the threshold standard in accordance with the assessment criteria within the approved module descriptor.

### 7.4.2 *Marking and Grading Scheme*

All student work that contributes to a module mark and grade is assessed according to the following standard marking and grading scheme:

<b>Grade</b>	<b>Numerical Range</b>	<b>Definition – SCQF 7-10</b>	<b>Definition – SCQF 11-12</b>
A1	90-100	Exceptional	Exceptional
A2	80-89	Outstanding Significantly exceeds threshold standard for a pass	Outstanding Significantly exceeds threshold standard for a pass
A3	70-79	Excellent Very much exceeds threshold standard for a pass	Excellent Very much exceeds threshold standard for a pass
B1	60-69	Very good Well above threshold standard for a pass	Very good Above threshold standard for a pass
B2	50-59	Good Above threshold standard for a pass	Good Meets threshold standard for a pass
C	40-49	Basic competence Meets threshold standard for a pass	Does not meet threshold standard for a pass
D	30-39	Does not meet threshold standard for a pass	Well below threshold standard for a pass
E	1-29	Well below threshold standard for a pass	Significantly below threshold standard for a pass
N	0 (at first diet) 0-100 at second or subsequent diet	No work to assess	No work to assess

*Grade Descriptors – Undergraduate and Graduate*

<b>Grade</b>	<b>Descriptor – SCQF – LEVELS 7 - 10</b>
A1	Student work is exemplary and exceeds the threshold standard for a pass by a significant margin. It displays exceptional knowledge and understanding; insight, originality and exceptional ability in analysis, evaluation, problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of almost complete autonomy and independent judgement relative to threshold expectations.
A2	Student work significantly exceeds the threshold standard for a pass. It displays a consistently thorough, deep and extensive knowledge and understanding; originality and/or very high ability in analysis, evaluation, problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of autonomy and independent judgement relative to threshold expectations.
A3	Student work very much exceeds the threshold standard for a pass. It displays a consistently thorough, deep and/or extensive knowledge and understanding; originality and/or very high ability in analysis, evaluation,

	problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of autonomy and independent judgement relative to threshold expectations.
B1	Student work is well above the threshold standard for a pass at levels 7-10. It displays a consistently very good level of knowledge and understanding; high ability in analysis, evaluation, problem solving or other process skills; high ability in professional practice skills (where relevant) including exercise of significant independent judgement relative to threshold expectations.
B2	Student work is clearly above the threshold standard for a pass at levels 7-10. It displays generally good knowledge and understanding; good ability in analysis, evaluation, problem solving or other process skills; evidences highly competent performance of professional practice skills (where relevant).
C	Student work is at the threshold standard for a pass at levels 7-10. It displays just satisfactory knowledge and understanding in most key respects; basic competence in analysis and most other process skills; evidences a basic level of competence in professional practice skills (where relevant).
D	Student work is marginally below the threshold standard for a pass at levels 7-10. It displays some knowledge and understanding but this is incomplete or partial; limited ability in analysis and other process skills; evidences lack of or partial competence in professional practice skills (where relevant).
E	Student work is well below the threshold standard for a pass at levels 7-10. It displays very limited knowledge and understanding; evidences very limited or no analytical or other process skills; very limited competence over the range of professional practice skills.
N	There is no work to be assessed at first diet, or there is incomplete or no engagement with re-assessment

#### *Grade Descriptors - Postgraduate*

Grade	<b>Descriptor – SCQF – LEVELS 11 - 12</b>
A1	Student work is exemplary and exceeds the threshold standard for a pass by a significant margin. It displays exceptional knowledge and understanding; insight, originality and exceptional ability in analysis, evaluation, problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of almost complete autonomy and independent judgement relative to threshold expectations.
A2	Student work significantly exceeds the threshold standard for a pass. It displays a consistently thorough, deep and extensive knowledge and understanding; originality and/or very high ability in analysis, evaluation, problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of autonomy and independent judgement relative to threshold expectations.
A3	Student work very much exceeds the threshold standard for a pass. It displays a consistently thorough, deep and/or extensive knowledge and understanding; originality and/or very high ability in analysis, evaluation, problem solving or other process skills; very high ability in professional practice skills (where relevant) including evidence of high degree of autonomy and independent judgement relative to threshold expectations.
B1	Student work is above the threshold standard for a pass at levels 11-12. It displays a consistently very good level of knowledge and understanding; high ability in analysis, evaluation, problem solving or other process skills; high

	ability in professional practice skills (where relevant) including exercise of significant independent judgement relative to threshold expectations.
B2	Student work meets the threshold standard for a pass at levels 11-12. It displays generally good knowledge and understanding; good ability in analysis, evaluation, problem solving or other process skills; evidences highly competent performance of professional practice skills (where relevant).
C	Student work fails to meet the threshold standard for a pass at levels 11-12. It displays just satisfactory knowledge and understanding in most key respects; basic competence in analysis and most other process skills; evidences a basic level of competence in professional practice skills (where relevant).
D	Student work is well below the threshold standard for a pass at levels 11-12. It displays some knowledge and understanding but this is incomplete or partial; limited ability in analysis and other process skills; evidences lack of or partial competence in professional practice skills (where relevant).
E	Student work is significantly below the threshold standard for a pass at levels 11-12. It displays very limited knowledge and understanding; evidences very limited or no analytical or other process skills; very limited competence over the range of professional practice skills.
N	There is no work to be assessed at first diet, or there is incomplete or no engagement with re-assessment

The following grades are used in exceptional circumstances where required by professional bodies:

Grade	Definition	Descriptor
Pass	Pass	Student has met the criteria for 'pass' as specifically defined in the module descriptor
Fail	Fail	Student has not met the criteria for 'pass' as specifically defined in the module descriptor

The exception to the grading scheme above is that Grade D may be assigned to a module at levels 7-10 where the numerical value is greater than 40% but where Regulation 7.3.2 has not been met; and Grade C may be awarded to a module at levels 11-12 where the numerical value is greater than 50% but where Regulation 7.3.2 has not been met.

## **UWS Grade Point Scale**

In session 2016/17 a grade point average was introduced for all modules at SCQF level 7. This will be extended to include L8 modules in session 2017-18. The scale is outlined below.

<b>UWS Grade</b>	<b>UWS Grade Point Scale</b>
A1	4.0
A2	3.5
A3	3.0
B1	2.5
B2	2.0
C	1.5
D	1.0
E	0.5
NS	0

A Grade Point will be automatically calculated for each module, based on the student's UWS grade for the module. A student's Grade Point Scale can then be calculated based on grade points achieved across multiple modules. This will apply to all modules following the UWS Grading Scale (excluding those graded as Pass/Fail modules).

### **7.4.3 Moderation of Marks for Assessed Work**

Moderation will take place in line with the procedures set out in the University's Assessment Handbook.

Deans are responsible for the appointment of Module Co-ordinators and Module Moderators (see Regulation 5.1.10 and UWS Assessment Handbook)

## **7.5 Classification of Honours Degrees, Distinctions, Intermediate, Posthumous and Aegrotat Awards**

### **7.5.1 Classification of Honours Degrees**

The minimum criterion for the award of Honours degrees is a grade of C or above in each of the modules studied at SCQF level 10 or in the final year stage of the programme (none less than SCQF Level 9). (See Regulations 5.2.1 and 5.2.9b.)

The following criteria will be applied by the PAB. Where modules whose intrinsic level is lower than SCQF level 10 are taken as part of the honours year stage, then grades for such modules will count towards the honours classification as if these modules were at SCQF level 10.

First class	Mean mark of 70% or above	OR Mean mark of at least 67% and a majority of the credits in the final year stage at grade A
Upper second class	Mean mark of 60% or above	OR Mean mark of at least 57% and a majority of the credits in the final year stage at grade B1 or better
Lower second class	Mean mark of 50% or above	OR Mean mark of at least 47% and a majority of the credits in the final year stage at grade B2 or better
Third class	Mean mark of 40% or above	

Where core modules in the Honours year of study are assessed using the Pass/Fail grades, then these modules will be excluded in the calculation of the Honours classification. Modules assessed using the Pass/Fail grades will not be permitted as optional modules within the Honours year of study.

Where a student has undertaken a resit in one or more modules at SCQF level 10 or in the final year stage of the programme, then the resit mark will stand on the student's academic record but a mark of 40% and grade C will be used in the classification of the Honours award.

#### 7.5.2 Award of Distinction

- a) PABs will award distinction to candidates for undergraduate awards other than Honours degrees (including Certificates of Higher Education and Diploma of Higher Education) and for taught postgraduate awards of Graduate Diplomas and Postgraduate Diplomas where the following criteria are met by candidates at their first attempt.

A mean mark of 70% or above. (The student must pass the modules at the first attempt and the mean mark to be used in determining distinction will also be taken from the module marks at the first attempt.)

*Special note for continuing students: Where a student has been previously enrolled (ie prior to 2015/16) on the programme at the level of study at which the distinction will be applied, the threshold for Distinction will be calculated at 65%. (This may also apply in cases of Authorised Interruption of Study (See Reg 5.3.5)*

**and**

none of the 120 credit points (see 7.5.2b) and c) for specific arrangements for Pass/Fail modules and Masters) taken in the award stage comprises prior credit imported from outside the University, unless

the prior credit derives from a student exchange or study abroad programme in which a translation of the relevant grading system into the University system has been approved by the Programme Leader as part of the exchange agreement.

*Modules will be weighted according to their credit value for the purpose of calculating distinction.*

- b) Where any of the modules at the award stage are assessed using the Pass/Fail grades, these will be excluded from the calculation of distinction.

No more than 40 credits may be excluded from the calculation of distinction where Pass/Fail grades form part of the programme.

Distinction will be based on the 80 remaining credits for Bachelor award or PgD and on 140 credits for Masters.

- c) Distinction at Masters level will be awarded where students have met the above criteria but will be calculated on the basis of 180 credit points (excluding pass/fail modules see b) above) within the programme and not solely on the taught modules or the Masters level dissertation component of the award. [See 6.8.1(c)(iii) re imported credit and distinction.

#### 7.5.3 *Intermediate Awards*

A student who has achieved the necessary volume and level of credit and who has satisfied any further requirements set out in the programme specification has the right to claim any award intermediate to the final award for which she or he is or was registered provided that:

- a) The student claims the award within five years of the end of the academic session in which he or she was last registered for the programme to which the intermediate award relates  
**and**
- b) No student who has obtained a final award is eligible to receive an intermediate award (Regulation 5.2.15e).

#### 7.5.4 *Aegrotat Awards*

- a) Where a PAB does not have sufficient evidence of the candidate's performance to be able to recommend the award for which a person is a candidate, but is satisfied that but for illness or other valid cause the person would have reached the standard required, the Board may, exceptionally, recommend the conferment of an Aegrotat award.
- b) An Aegrotat award may only be made where the candidate has demonstrated achievement in at least 50% of the credit from the final year stage of the award.

- c) An Aegrotat award may be made in relation to any award from a taught programme of the University save that an Aegrotat Honours degree will not be classified.
- d) No Aegrotat award may be made without confirmation in writing by the candidate of his or her agreement to accept the award.

#### 7.5.5 *Posthumous Awards for Taught Programmes*

- a) Any award associated with the taught programmes of the University may be awarded posthumously where the normal requirements for the award have been met. (See also Regulation 8.7.6 for Research Awards.)
- b) A posthumous Aegrotat award may be made where the normal requirements for an Aegrotat award have been met. (See Regulation 7.5.4 (a-c) Aegrotat Awards.)

#### 7.5.6 *Joint Award (collaboration)*

- a) The University of the West of Scotland will participate fully in the decision making process with regard to assessment arrangements.
- b) Subject Panels and PABs will take place at the University of the West of Scotland under normal University conditions.
- c) Students enrolled on the programme will be subject to the progression and award criteria that apply to the programme, and will be considered at PAB at the appropriate point in each academic session.
- d) The arrangement for distribution or classification of Honours or equivalent will be agreed at programme approval and in the drafting of the collaborative agreement. Any deviations from the University regulations must be endorsed subsequently at Senate.

#### 7.5.7 *Dual Award (collaboration)*

The two awards will be based on the same assessed student work and can only be granted when the outcomes of the programme have been achieved at the same point in time.

### 7.6 Compensation for Failure in Modules

Compensation for failure may not be applied by the PAB with respect to any student.

### 7.7 Fit to Sit

- 7.7.1 In submitting each piece of coursework or completing an examination or class-test, a student is confirming that they are ‘fit to sit’ the assessment and wish that any mark achieved for that coursework, examination or class-test should stand.
- 7.7.2 If a student feels that their academic performance has been affected by extenuating circumstances and they are not in a position to submit a piece of

coursework or attend an exam or class-test, they should complete an on-line Extenuating Circumstances (EC) Statement, stating which coursework they will not be submitting or which exam or class-test they will not be attending.

- 7.7.3 A student who decides that their extenuating circumstances have affected their performance, after they have submitted an assessment or attended an exam or class test, can submit an EC statement. This must be submitted within 48 hours of the submission of the assessment or attendance at the exam/class test.
- 7.7.4 Exceptionally a student who decides that their extenuating circumstances have affected their performance after they have submitted an assessment or attended an exam can submit a 'late EC statement' through the Appeals route (See Regulation 13).
- 7.7.5 In submitting an EC Statement related to particular coursework, examination or class test, a student is confirming that any mark achieved for that coursework, examination or class-test should not stand.
- 7.7.6 Information from the Extenuating Circumstances Statement will be forwarded to the Subject Panel who will take account of this declaration and the assessment affected in recording the student's module decision.

## **7.8 Extenuating Circumstance and Re-assessment**

### *7.8.1 General requirements*

- a) Re-assessment is defined as the right to submit failed assignments or attend for examination or other forms of assessment in those categories of assessment that have not achieved a mark of 40% (levels 7-10 or 50% (level 11-12) and where in consequence a grade of D or E (levels 7-10) or a grade of C, D or E (level 11-12) has been achieved in a module (see also Regulation 6.9).
- b) The forms of re-assessment should normally be the same as for the first attempt.
- c) Module marks at re-assessment will be calculated by carrying forward marks for assessments which the student has not been asked to resit and by aggregating these with marks for assignments which the student was asked to resit.
- d) The relative weightings of different assessments will remain the same in cases of re-assessment as in the assessment for the first time.
- e) Re-assessment shall not be permitted in modules or components of assessments which are identified in the module descriptor as excluded from the possibility of re-assessment where this is a requirement of a PSRB.
- f) Students who have passed a module (or component of a module) do not have the right to be re-assessed to improve their marks.

#### 7.8.2 *Module assessment attempts in Undergraduate/graduate programmes*

- a) For an undergraduate module, a student will get a maximum of **two years** with a maximum of **four attempts** to complete all the assessments associated with a module (two years from the date of commencement of the module).

The norm is that a student will get **three attempts** at the assessments associated with a module; however they will be allowed a 4<sup>th</sup> attempt if they have submitted an Extenuating Circumstances Statement within the two year period.

- b) A student who has had all assessment attempts within the two year period and has still not passed all the assessment in a module will be given an NA decision by the Subject Panel.
- c) A student who has NOT had all assessment attempts within the two year period and has still not passed all the assessment in the module will be given an RA.

#### 7.8.3 *Module Assessment attempts in Taught Masters Degrees, Postgraduate Certificates and Diplomas, the Professional Graduate Diploma in Education, Professional Doctorate and Doctor of Business Administration*

- a) A candidate for the award of a taught Masters' Degree, Postgraduate Diploma or Certificate, or the Professional Graduate Diploma in Education, or the Professional Doctorate, or Doctor of Business Administration or a candidate studying a module whose intrinsic level is SCQF level 11-12, will get a maximum of **two years** with a maximum of **three attempts** to complete all the assessments associated with a module (two years from the date of commencement of the module).

The norm is that a student will get two attempts at the assessments associated with a module; however they will be allowed a 3<sup>rd</sup> attempt if they have submitted an Extenuating Circumstances Statement within the two year period.

- b) A student who has had two assessment attempts within the two year period and has still not passed all the assessment in a module will be given an NA decision by the Subject Panel.
- c) A student who has NOT had two assessment attempts within the two year period and has still not passed all the assessment in the module will be given an RA.
- d) Regulation 7.8.3 a, b and c do not apply to a Diploma or Masters Project or dissertation module where there is no reassessment opportunity.

#### 7.8.4 *Non Submission of Assessment*

Where a student has not submitted an assessment(s) AND has not submitted an EC Statement then the following decisions will be made by the Subject Panel

Diet	Module has	Situation	Result
1 <sup>st</sup> diet	Single assessment	Non-submission of the assessment	RA
	Multiple assessments	Non-submission of ALL assessed work	RA
	Multiple assessments	Student has submitted at least one piece of assessed work	RC2, RE2, RB2 on the failed assessments.
2 <sup>nd</sup> or 3 <sup>rd</sup> diet	Single or multiple assessment	Non-submission of a piece of resit coursework OR non-attendance at a resit exam	RA

#### 7.8.5 Two Year Period for Completion of Assessment

If a student doesn't complete the assessments for a module within the two year period they get an RA (irrespective of any outstanding extenuating circumstances) - as they will have exhausted their resit opportunities within the permitted time period.

#### 7.8.6 Re-attend and Number of Attempts

Where a student is offered the opportunity to re-attend a module, the student will have entitlement to the same number of attempts as if taking the module for the first time. A student may only re-attend a module once.

#### 7.8.7 Powers to Limit the Number of Attempts at Assessment

Notwithstanding the above regulations (Regulation 7.8.1 to 7.8.6), the PAB will have the power to limit the number of opportunities for re-assessment and/or to withdraw a student from a programme in the case of failure in a module entailing placement or work-based learning or professional practice, provided that such decisions are taken in accordance with explicit criteria that are contained in the relevant programme specification.

### 7.9 Eligibility to Act as an Examiner or Moderator

- a) Any person who acts as examiner or moderator who has any relationship other than that of a teacher or supervisor with any candidate being assessed will notify the Head of Student Administration who will draw the circumstances to the attention of the relevant SP, and PAB.
- b) No student will be a member of a SP or PAB other than where a person who is otherwise qualified to be an examiner is at the same time

registered on a module or programme unrelated to the SP or PAB in question.

- c) A member of staff of an institution affiliated to or associated with the University which provides a programme leading to an award of the University may act as an examiner or moderator for the programme or module(s) concerned, as if a member of University staff.

## **7.10 Subject Panels and Progression & Awards Boards**

### **7.10.1 Memberships and Remits of Subject Panels and Progression & Awards Boards**

Subject Panels and Progression and Awards Boards will have the memberships, remits and powers set out in Regulation 14 as supplemented by the regulations below.

### **7.10.2 Subject Panels**

Subject Panels consider the performance of students registered for modules assigned to the Panel by the Dean of School, and decide upon the confirmed marks and grades for each student on each module.

### **7.10.3 Subject Panels and Standardisation of Marks**

- a) Standardisation is the process of making adjustments to the marks and grades attained by students in a given module in the event of exceptional circumstances. Standardisation is defined as taking account of circumstances which have affected students' performance, either incidents during the delivery of the module or during the assessment points within the module.
- b) Standardisation must not be applied in order to achieve a preconceived mean mark and may take the form of such adjustments to marks as are deemed appropriate in the specific circumstances.
- c) Standardisation may only be applied by the relevant Subject Panel and with the agreement of the relevant Subject External Examiner.
- d) The application of standardisation together with details of the adjustments made to marks and grades must be recorded by its Chair in the Minutes of the Subject Panel meeting.

### **7.10.4 Progression & Awards Boards**

- a) PABs decide the eligibility of each candidate for progression between levels of study, and for awards of the University.
- b) Each student on a named programme of study will be assigned to a specified PAB.
- c) A decision of the PAB that a candidate is eligible for an award of the University will require the written consent of relevant PAB External Examiners.

- d) The decisions from each assessment diet conducted in accordance with the University's regulations will be recorded by the PAB concerned and signed by the person appointed to chair that Board and where relevant by the PAB External Examiners.
- e) Unless otherwise provided for in the University's regulations, the decisions of each PAB will be final.

#### 7.10.5 *Review of a Decision of a Progression & Awards Board/Subject Panel*

In accordance with the requirements of Regulation 13 an Appeals Group may require an SP or PAB to amend its decision(s). Please refer to Regulation 13 for more information.

### 7.11 Cheating and Plagiarism

#### 7.11.1 *Cheating*

Cheating is defined by the University as the attempt to gain an unfair advantage in an assessment by gaining credit for work of another person or by accessing unauthorised material relating to assessment.

This includes the following:

- communication with or copying from another student during an examination or assessment (except in so far as assessment regulations specifically permit communication, for instance for group assessments);
- knowingly introducing any unauthorised materials (written, printed or blank) on or near an examination desk unless expressly permitted by the assessment regulations;
- knowingly introducing any electronically stored information into an examination hall unless expressly permitted by the assessment regulations;
- obtaining a copy of an 'unseen' written examination paper prior to the date and time of its authorised release;
- gaining access to unauthorised material relating to an assessment during or before the assessment;
- colluding with another person by submitting work done with another person as entirely one's own work;
- collaborating with another student in the completion of work which is intended to be submitted as that other student's own work;
- knowingly allowing another student to copy one's own work to be submitted as that student's own work;
- falsifying data by presenting data of laboratory reports, projects or other assessments as one's own when these data are based on experimental work conducted by another party or obtained by unfair means;
- assuming the identity of another person with intent to deceive or to gain unfair advantage;

- allowing another person to assume one's own identity with the intention of deceiving or gaining unfair advantage to oneself;
- the use of any other form of dishonest practice not identified above.

#### 7.11.2 *Procedures*

- a) Cheating may be regarded as a substantial academic irregularity under the University Code of Discipline for Students (Regulation 12) and all instances are liable to be investigated and to be given due consideration under the terms of that Code.
- b) Appendix 2 provides details on the discovery, suspicion of cheating, plagiarism or collusion during a formal examination.

#### 7.11.3 *Plagiarism*

As Plagiarism is a type of cheating it is also defined by the University as the attempt to gain an unfair advantage in an assessment by gaining credit for work of another person or by accessing unauthorised material relating to assessment.

For Plagiarism this includes the use of the work of other students, past or present, or substantial and unacknowledged use of published material presented as the student's own work. It includes the following:

- the extensive use of another person's material without reference or acknowledgement;
- the summarising of another person's material by changing a few words or altering the order of presentation without reference or acknowledgement;
- the substantial and unauthorised use of the ideas of another person without acknowledgement;
- copying the work of another student with or without the student's knowledge or agreement;
- deliberate use of commissioned material which is presented as one's own, including the use of essay writing services;
- the unacknowledged quotation of phrases from another's work.

#### 7.11.4 *Procedures*

- a) Plagiarism may be regarded as a substantial academic irregularity under the University Code of Discipline for Students (Regulation 12) and all instances are liable to be investigated and to be given due consideration under the terms of that Code.
- b) In terms of detecting Plagiarism:
  - All written coursework assignments must be submitted in electronic format.

- Turnitin software should be used in conjunction with other means of detection to analyse assessment submissions in all modules where text based plagiarism may be an issue.
- c) Any suspected case of plagiarism will be referred in the first instance by the member of academic staff concerned to the Chair of a Plagiarism Panel constituted in the relevant academic School.
- d) The Chair of the School Plagiarism Panel will be appointed by the Dean of School.
- e) The membership of the School Plagiarism Panel will be:
- the Chair
  - two members of academic staff from the School appointed by the Plagiarism Panel Chair
- f) The member of academic staff who refers a case of suspected plagiarism to the Panel must not serve as a member of that Panel for the purpose of giving consideration to this case, but, where required, will attend the Panel for the purpose of presenting evidence.
- g) The Plagiarism Panel Chair will inform the student in writing of the alleged offence and of the requirement to attend for interview.
- h) The Plagiarism Panel will determine whether an offence has been committed and, if so, whether the offence is minor, serious or major.

#### Plagiarism Penalties - Tariff

Class	Number of Offences	Category	Plagiarism Panel - Penalty	% of Plagiarism
1	1 <sup>st</sup> Offence	Minor	Resubmit <u>without</u> loss of attempt. Resubmission mark Capped* at the threshold pass mark for the module	Less than 40% [Note: the % plagiarism is based on an overall assessment of extent, not simply Turnitin similarity score]
2	2 <sup>nd</sup> Offence	Serious	Resubmit <u>with</u> loss of attempt. Resubmission mark Capped* at the threshold pass mark for the module	
3	3 <sup>rd</sup> and subsequent offences	Major	Invoke disciplinary process	
4	Any number of offences	Major	Invoke disciplinary process	More than 40%

\* Capped marks will be carried forward in subsequent attempts and will appear on the student transcript

- i) The outcomes will be communicated by university student email to the student's correspondence address.
- j) A student will have the right to appeal the MINOR and SERIOUS decisions of the Plagiarism Panel. Such appeals will be referred to the Senate Appeal Committee (see Regulation 13).

## 7.12 External Examiners

### 7.12.1 Principles

- a) The University operates a two-tier system of assessment panels: Subject Panels which confirm the mark, grade and decision for each student on each module and to which Subject External Examiners are appointed; and Progression & Awards Boards to which a Progression & Awards Board (PAB) External Examiner is appointed. The University also appoints Degree Assessment Board (DAB) External Examiners for validated collaborative provision. Degree Assessment boards confirm the mark, grade and decision for each student, consider the performance of students on a validated programme and take decisions on student progression and academic awards.
- b) New External Examiners should normally be nominated as a subject external examiner. PAB External Examiners should, where possible, be appointed from the pool of existing subject examiners. Furthermore, External Examiner responsibilities at a subject panel level are likely to be reduced or removed on appointment to PAB External Examiners. There will normally be a single PAB External Examiner associated with a group of programmes. The University therefore seeks to establish programme groupings where one External Examiner would normally be appointed per grouping. Schools must therefore take responsibility for designating these programme groupings and in doing so must ensure that all groupings have the necessary external input to support their function.
- c) There will be one and only one Subject External Examiner associated with each and every module. The same individual may be associated with a number of related modules. School Boards are responsible for ensuring that Schools have allocated modules to an appropriate SP and have assigned an External Examiner to each module.
- d) No recommendation for the conferment of an award of the University will be made without the approval of the PAB External Examiner for the programme.
- e) Each External Examiner will provide an annual report.
- f) External examining procedures for programmes offered by a Partner Organisation are required to be the same as, or demonstrably equivalent

to, those used within the University. The procedure should be clearly specified and rigorously and consistently applied. External Examiners for collaborative arrangements will be appointed by the University according to its normal procedures.

#### 7.12.2 *Attendance at Assessment Panels*

- a) Subject External Examiner(s) must be confident that module results have been approved appropriately. This can be achieved by either attending each meeting of the SP each Trimester approving the results for each module to which they have been appointed or by using other appropriate communication approaches and providing written confirmation of their approval of the results.
- b) Results are approved at this stage and will be released to students as final approved results.
- c) No confirmed result of the University may be communicated to students without the approval of the appointed Subject External Examiner.
- d) The PAB External Examiner(s) must be confident that all awards have been approved appropriately and that academic standards have been maintained. This can be achieved by either attending the PABs at an appropriate time or by using other appropriate communication approaches and providing written confirmation of their approval of the decisions.
- e) No award of the University (including intermediate exit awards) may be conferred without the approval of the appointed PAB External Examiner.
- f) All external examiners are expected to attend a panel at least once per academic session.

#### 7.12.3 *Appointment - Terms of Office*

- a) Each Subject External Examiner will normally be appointed for a period of up to four years, which exceptionally may be extended by up to one further year. The total period of appointment of the PAB External Examiners (including appointment as Subject External Examiner) should normally be four years and would not normally exceed five years of consecutive service as Subject and PAB External Examiner.
- b) An External Examiner (Subject or PAB) may be re-appointed provided that five years have elapsed since the end of the previous term of office and that the second appointment will not exceed four consecutive years.
- c) An External Examiner (Subject or PAB) will not normally hold more than two External Examiner appointments for taught programmes/modules at any point in time.

- d) PAB External Examiners must have prior experience as an External Examiner, preferably including at least one year's experience as a Subject External Examiner at the University of the West of Scotland.
- e) The nominations for the appointment of an External Examiner should be made at least six months before the first assessment or award with which the examiner is to be associated.
- f) The nomination must be endorsed by the School Board concerned prior to consideration for approval by the Education Advisory Committee. Following approval through the Education Advisory Committee, the appointment will be confirmed to the External Examiner concerned and the appropriate contacts in the School.
- g) Newly appointed External Examiners should take up their appointments on or before the retirement of their predecessors. They should remain available until after the last assessments with which they are to be involved to deal with any subsequent reviews of decisions that arise.
- h) Normally, appointments should run from the October before the first assessments to the October after the last assessments.

#### 7.12.4 Criteria for the Appointment of External Examiners

- a) The criteria for the appointment of External Examiners is intended to enhance the transparency and consistency of institutional practice in appointing competent staff as External Examiners who are free from potential conflicts of interest (7.12.4d) and are therefore sufficiently independent to fulfil the role.
- b) In line with indicator 5 of Chapter B7 : External Examining of the UK Quality Code for Higher Education, persons appointed to act as External Examiners for the University must show appropriate evidence of the following:
  - i) knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality;
  - ii) competence and experience in the fields covered by the programme of study, or parts thereof;
  - iii) relevant academic and/or professional qualifications to at least the level of the qualification being externally examined, and/or extensive practitioner experience where appropriate;
  - iv) competence and experience relating to designing and operating a variety of assessment tasks appropriate to the subject and operating assessment procedures;
  - v) sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers;
  - vi) familiarity with the standard to be expected of students to achieve the award that is to be assessed;

- vii) fluency in English, and where programmes are delivered and assessed in languages other than English, fluency in the relevant language(s) (unless other secure arrangements are in place to ensure that External Examiners are provided with the information to make their judgements);
  - viii) meeting applicable criteria set by professional, statutory or regulatory bodies;
  - ix) awareness of current developments in the design and delivery of relevant curricula;
  - x) competence and experience relating to the enhancement of the student learning experience;
- c) In any event, other than in exceptional cases External Examiners must **not** normally be:
- i) a member of a governing body or committee of the appointing institution or one of its collaborative partners, or a current employee of the appointing institution or one of its collaborative partners;
  - ii) anyone with a close professional, contractual or personal relationship with a member of staff or student involved with the programme of study;
  - iii) anyone required to assess colleagues who are recruited as students to the programme of study;
  - iv) anyone who is, or knows they will be, in a position to influence significantly the future of students on the programme of study;
  - v) anyone significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment of the programme(s) or modules in question
  - vi) former staff or students of the institution unless a period of five years has elapsed and all students taught by or with the External Examiner have completed their programme(s);
  - vii) involved in reciprocal arrangements involving cognate programmes at another institution;
  - viii) succeeded by a colleague from the examiner's home department and institution;
  - ix) appointed from the same department of the same institution as a current External Examiner.
- d) Bearing in mind that each External Examiner is required to be impartial, potential conflicts of interest need to be considered and particular attention paid to nominees who have been:
- i) involved in the development of the programme or its component parts, for example, as an external consultant, or who have acted as a member of the programme approval panel (or equivalent) which approved the programme;
- e) Where a nominee has no previous experience as an External Examiner for any institution, the nominee is expected to engage with the online External Examiner Induction guidance and the School must make arrangements for mentorship with a more experienced External Examiner.

- f) Nominations must comply with the requirements of the Home Office with regard to demonstrating eligibility to work in the UK.

#### 7.12.5 *Powers of External Examiners*

On any matter which an External Examiner has declared to be a matter of principle, the decision of the External Examiner concerned must either be accepted as final by the SP or PAB in question or be referred to the Senate.

#### 7.12.6 *Rights and Responsibilities of External Examiners*

- a) The overall responsibility of each PAB External Examiner is to ensure that each candidate for a particular award is considered impartially and fairly in accordance with University regulations and guidance and that the standards of the University's awards are maintained.
- b) The overall responsibility of each Subject External Examiner is to ensure that each module is assessed impartially and fairly and that the standards of the University's awards (or parts of awards) are maintained.
- c) Each Subject External Examiner will:
  - i) have the opportunity to review and approve the form, content and standard of the assessment instruments and, where appropriate, the distribution and balance of coursework and other assessments. These should be in accordance with published module descriptor;
  - ii) have the opportunity to attend meetings of the Subject Panel as appropriate [see 7.12.2(a)] and have the right of access to all candidates' work;
  - iii) confirm that the marks awarded by the internal examiner(s) have been appropriately moderated in line with expectations outlined in the assessment Handbook;
  - iv) have the right to inspect the work of all students and to call for such papers as he or she thinks necessary when sampling the work of students;
  - v) be entitled to modify the marks proposed by internal examiners provided that such modifications should be applied to all students undertaking the module unless all scripts have been reviewed by the Subject External Examiner.
- d) Each PAB External Examiner will:
  - i) have the opportunity to attend meetings of the PAB as appropriate and, in light of information received from Subject Panels, approve award decisions [see Regulations 7.12.2(c)];

- ii) be consulted about, and have the right to approve or prevent, any proposed changes in the assessment regulations which will directly affect students currently on a particular programme of study;
- iii) otherwise participate, as necessary, in reviews of progression and award decisions with respect to individual candidates;
- iv) comment as required on aspects of cohort performance, honours classification distribution and any other matters pertaining to the operation of the University's assessment panel processes.

#### 7.12.7 Reports

- a) Each External Examiner shall report annually to the University on the conduct of the assessments concluded during the year and on issues relating to those assessments, in a form determined by the Senate.
- b) Where there is concern about standards and performance, particularly if there is anxiety that assessments are being conducted in a way which jeopardises either the fair treatment of individual candidates or the standards of the University's awards, an External Examiner has the authority to submit a report directly to the Principal. The external examiner may also invoke the QAA's concerns scheme or inform the relevant professional, statutory or regulatory body. This will be communicated to the external examiner at the time of appointment.

#### 7.12.8 Termination of External Examiner Contract

- a) In exceptional circumstances the University of the West of Scotland or the External Examiner may wish to terminate the contract prior to its normal completion.
- b) The External Examiner may withdraw from the contract by advising the Head of QuEST in writing no later than the end of December of the year in progress.
- c) If the External Examiner resignation is over a matter of principle, academic standards or concerns over maladministration, then the Head of QuEST will report the matter to the relevant School Board, Education Advisory Committee and Senate.
- d) The University may only terminate the contract of an External Examiner through a decision of Senate *either* on the basis of demonstrable persistent failure to meet the requirements of the role, for example through repeated non-attendance at assessment panels, repeated lack of response to draft assessment instruments, or the provision of false information in annual reports *or* due to a significant change of circumstances of the External Examiner or of the module provision in the relevant subject area.
- e) It will be the responsibility of the Dean in the first instance to advise the Head of QuEST of any concerns under (d) above.

- f) Notwithstanding regulations (c) to (e) above, if an annual report that is due for submission on 30 September has not been received without due explanation by 20 November, or if the report has not been received after a comparable interval in the case of another due date, he or she may be deemed by the Chair of the Education Advisory Committee to have resigned their appointment, and will be advised accordingly.
- g) With respect to (d) and (f) above, where illness or other personal reasons have been notified by the external examiner to the Head of QuEST as preventing the External Examiner from meeting requirements of the role, the relevant School will in the first instance seek to agree appropriate revised arrangements such as a revised timescale for submission of an outstanding report.

**APPENDIX 1****STUDENT CONDUCT IN AN EXAMINATION**

Candidates who fail to abide by these instructions will be subject to disciplinary action as set out in the University Code of Discipline for Students (Regulation 12).

These instructions shall apply to all University examinations, including those for the purposes of continuous assessment and those held outwith a UWS campus.

- i) Candidates must act in accordance with any instruction issued by an Invigilator. Candidates who wish to attract the attention of an Invigilator should do so using the method prescribed by the Invigilator. Candidates should not leave their seats without permission.
- ii) Articles of clothing not being worn, bags etc. should be left in the area designated by the Invigilators. Candidates are not permitted to have any electronic devices, notebooks, textbooks, loose pages, tables or similar items on or near their desks unless specifically permitted in writing by the Examiner or as specified in instructions issued by the Invigilator. Any such items may be confiscated by an Invigilator. All rough workings must be made in Examination Answer booklets or electronic equivalent where provided.
- iii) Candidates sitting examinations should not have sight of the question paper until the time scheduled for the exams to commence. Candidates may not begin to provide their answers before the Invigilator announces the start of the examination and must cease writing when the Invigilator announces the end of the examination.
- iv) Mobile telephones and other electronic devices such as personal music players and wearable technology e.g smartwatches, should be switched off and left in candidates' bags in the area designated by the Invigilators.
- v) No leaves may be torn out of the Examination Answer books and no Examination Answer books may, under any circumstances whatever, be removed from an examination room - either before, during, after or between examinations.
- vi) When authorised by the Examiners candidates may introduce into an examination room and make use of electronic devices provided that they are portable, silent, battery operated, and not pre-programmed with any applications that would be considered to provide an unfair advantage (apart from the standard scientific functions built in to the calculator). An electronic device not meeting the specification set by the examiner may be deemed to be an unauthorised aid and may be confiscated by an Invigilator. A random check of electronic devices may be undertaken during the examination.
- vii) Candidates using electronic devices do so at their own risk, and are responsible for ensuring that they have spare batteries etc.
- viii) The use of print based English/first language dictionaries may be permitted in formal examinations for international candidates whose first

language is not English, except where the Module Co-ordinator for the module has previously indicated in writing that dictionaries will not be permitted. Dictionaries will not be permitted in language examinations. Where used, dictionaries may be scrutinised by Invigilators. Electronic dictionaries are not permitted in any examination.

- ix) Candidates are required to place their student cards on their examination desks in such a manner that Invigilators may verify each candidate's identity. Any student who is unable to display a valid student ID card is required to complete a "student identification form".
- x) In online examinations, candidates' online actions may be monitored for any activity not prescribed by the Module Co-ordinator. Accessing any resources outwith those prescribed may be considered as providing an unfair advantage and result in disciplinary action.
- xi) Candidates will not normally be allowed to enter the examination room after the first hour has expired or to leave within the first hour or last half hour. Candidates who wish to leave the room should attract the attention of an Invigilator and seek permission to leave. Any candidate leaving the examination before the last half hour is required to leave both examination paper and written scripts with the Invigilators.
- xii) No smoking, drinking or eating (with the exception of small sweets, small cartons of fruit juice or small bottles of water) will be allowed during an examination.
- xiii) A candidate whose conduct is in the view of the Senior Invigilator, disturbing to other candidates and who persists in this conduct after receiving a warning, shall be required to withdraw from the examination room.
- xiv) At the end of a paper based examination all candidates must remain seated until the examination scripts have been collected. Candidates are responsible for ensuring that scripts and other material which form part of the examination are appropriately secured together as per the instructions given by the Senior Invigilator.
- xv) Where the examination has been undertaken using a computer, candidates are responsible for ensuring that the answers are saved, printed and secured together as per the instructions given by the Senior Invigilator.
- xvi) At the end of an online examination all candidates must log out from the system as directed.
- xvii) Candidates must not hold any communication with each other in the examination room, even before or after the formal start or finish of the examination.
- xviii) A candidate who requires to be absent temporarily from the room will be accompanied by an Invigilator or member of Administrative staff.
- xix) Candidates who are in doubt as to the meaning of an examination question should write on their scripts their interpretation of the question or flag the question in an online system. Candidates who believe they have

- identified a possible error in the examination paper should raise the matter with an Invigilator, who will in turn seek clarification from the Examiner.
- xx) Any candidate who falls ill during an examination must inform the Invigilator.
  - xi) Any candidate whose performance may have been adversely affected by illness or other circumstances prior to or during the examination or who is prevented from attending an examination because of sickness or other valid circumstances should submit an Extenuating Circumstances Form together with any supporting evidence. The form must be submitted to Academic Services by the deadline specified on the Extenuating Circumstances form.
  - xxii) Candidates are bound by the University's Regulation concerning cheating and plagiarism (Regulation 7.11 and 8.9.2).

**APPENDIX 2****CHEATING AND PLAGIARISM****Discovery/Suspicion of Cheating, Plagiarism or Collusion****Formal Examinations**

If an examination invigilator discovers or suspects a case of cheating or plagiarism during a formal examination, he or she should note the name of the candidate and the candidate's desk number or computer name and report the circumstances to the Senior Invigilator.

The Senior Invigilator should note the point the situation arose and the candidate should be informed that the circumstances will be notified to the appropriate University Officer. Where appropriate the invigilator may confiscate items (see Appendix 1ii). The candidate should then be permitted to continue the examination.

Incidents of suspected cheating or plagiarism should be referred immediately after the examination by the Senior Invigilator to the Head of Student Administration. A full report of the circumstances will be provided in the Senior Invigilator's Report to the Head of Student Administration. The Module Co-ordinator and the Subject Panel Chair will be informed by the Head of Student Administration that the examination script should be marked but marks not confirmed pending the outcome of possible disciplinary procedures.

The Head of Student Administration will make a decision (on whether or not the matter referred to him or her is to be treated as a substantial academic irregularity) as soon as practicable. If the Head of Student Administration decides that the disciplinary procedure should be invoked, the matter will be referred to the Secretary to the Disciplinary Committee and thereafter it will be dealt with in accordance with the provisions of the Code of Discipline. If the Head of Student Administration decides that the disciplinary process should not be invoked, this decision will be communicated to the student.

**Research Programmes**

Plagiarism, as defined in Regulation 7.11, may be identified in Research Programmes. This may be prior to submission for examination in one of the assessed Progression Reports (including the Transfer report), or in the final thesis before, during or after examination. Where a circumstance of plagiarism is suspected, this will be dealt with under Regulation 8.9.2.

8

# REGULATIONS FOR RESEARCH DEGREES



## Regulation 8 – Regulations for Research Degrees

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## 8 Regulations for Research Degrees

### 8.1 General Requirements

#### 8.1.1 *Research Degrees*

The degrees of Master of Research (MRes), Master of Philosophy (MPhil), Doctor of Business Administration (DBA), Professional Doctorate (DProf), Engineering Doctorate (EngD) and Doctor of Philosophy (PhD) shall be awarded to registered research degree candidates who successfully complete an approved programme of supervised research and satisfy the University's requirements for the standard of the award (see Regulation 3.5.1-3.5.5).

#### 8.1.2 *The Graduate School*

- a) The Graduate School has been established by Senate to manage all matters relating to the registration, administration, direction, assessment and progression of research and professional doctorate degree candidates, except as where otherwise provided for in the University's Regulations.
- b) All matters relating to research degree and professional doctorate candidates shall be dealt with in accordance with the procedures and notes of guidance issued periodically by the Graduate School Board. The terms of reference and membership of the Graduate School Board is included in Regulation 14.

#### 8.1.3 *Programmes of Study*

- a) Programmes of supervised research may be proposed in any field of study subject to the requirement that the proposed programme is capable of leading to scholarly research and to its presentation for assessment by appropriate examiners.
- b) Each proposed programme of supervised research will be considered on its merits and without reference to the concerns or interests of any associated funding body [see Regulation 8.1.5(b)].
- c) In considering whether to approve an application for registration as a research degree or professional doctorate candidate, the Graduate School Board will require to be satisfied about the following:
  - i) the suitability of the applicant concerned to undertake research, including the applicant's qualifications;
  - ii) the viability of the proposed programme of research;
  - iii) the adequacy of the proposed supervision arrangements and their sustainability (see Regulation 8.3);
  - iv) the adequacy and appropriateness of the facilities and resources available to support the proposed research;

#### 8.1.4 *Creative Work*

Where an applicant for registration proposes to undertake a programme of work in which the person's own creative work will form, as a point of origin or reference, a significant part of the intellectual inquiry, the application for registration must set out the intended form of the final submission and of the final assessments. An applicant for registration may propose to undertake a programme of research leading to a research degree in which the principal focus will be the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefacts.

#### 8.1.5 *Group and Funded Projects*

- a) Where it is proposed that the work should form part of a larger group project, each application must clearly state how the proposed work shall in itself be distinguishable from the larger group project for the purposes of assessment and how it will be appropriate for the award being sought. The applicant must indicate clearly the specific contribution to be made and its relationship to the group project.
- b) Where a proposed programme of supervised research forms part of a funded project, the terms of the funding must not work against the fulfilment of the objectives of the programme or the University's requirements for the award concerned (MRes, MPhil, DBA, DProf, EngD or PhD).

#### 8.1.6 *Concurrent Studies*

A person registered for a research degree may be permitted to register for another programme of study concurrently, provided that either the research degree registration or the other programme of study is in the part-time mode and that the dual registration will not inhibit the student's undertaking the programme of supervised research.

#### 8.1.7 *University Code of Ethics and Guidelines for Ethical Practice in Research and Scholarship*

All staff and students involved in research are required to comply with the University's Code of Ethics and Guidelines for Ethical Practice in Research and Scholarship.

### **8.2 APPLICATION AND REGISTRATION**

#### 8.2.1 *Categories of Registration*

- a) A person may apply for one of the following categories of registration:
  - i) the degree of MRes only;
  - ii) the degree of MPhil only;
  - iii) the degree of MPhil with the intention of transfer to PhD (MPhil/PhD);

- iv)) exceptionally the degree of PhD direct where the candidate is considered to have appropriate research experience
  - v) the degree of PhD by publication
  - vi) the degree of DBA only
  - vii) the degree of DProf only
  - viii) the degree of EngD only
- b) The minimum requirements for an applicant for registration for the degree of MRes or MPhil or for the degree of MPhil with the intention of transfer to PhD shall be a first or second class honours degree of a university in the United Kingdom, or of an equivalent qualification.
- c) Applications for registration from persons holding qualifications other than those specified in Regulation 8.2.1(b) (above) shall be considered on their merits and in relation to the nature and scope of the programme of work proposed. Any person submitting an application in accordance with this regulation shall include in the application the names of two suitable persons whom the University may consult concerning the applicant's attainment and fitness to undertake research.
- d) An applicant who does not hold the normally expected qualifications [see Regulation 8.2.1b) must provide evidence of ability and background knowledge in relation to the proposed programme of supervised research. Details of professional experience, publications, written reports or other appropriate evidence of accomplishment should be submitted with the application.
- e) Direct registration for the degree of PhD may also be approved, at the discretion of the University of a person who holds an MRes/MPhil degree of a United Kingdom University, or an MPhil degree of equivalent standard of an international University, provided that the MPhil degree is in a subject area which is appropriate to the proposed programme of work.
- f) Exceptionally, direct registration for the degree of PhD may also be approved, at the discretion of the University of a person who, although not the holder of an MRes/MPhil degree, is the holder of a high quality honours degree or taught master's degree (or equivalent) in an appropriate discipline, AND who has appropriate research experience at postgraduate level which has resulted in significant publications, and where evidence of accomplishment is supplied.
- g) Direct registration for the degree of DBA, EngD or DProf shall normally be approved, at the discretion of the University of a person who holds an appropriate Master's degree of a UK University. It would normally be expected that candidates should be in appropriate professional employment or have access to an appropriate professional setting.

## 8.2.2 *Research Degrees by Publication*

### *Eligibility*

- a) The University provides two routes to the award of PhD by Research Publication; candidates may either submit a portfolio of **retrospective** work, or may work **prospectively** towards a PhD award by pursuing a publication strategy instead of a traditional thesis-based submission.
- b) Candidates for the retrospective award must be members of academic staff or alumni of the University of the West of Scotland. Staff from UWS partner organisations<sup>1</sup> at the date of application for registration are eligible to apply.
- c) For the retrospective route candidates should be active researchers in their field of expertise and they should not normally submit material published more than ten years prior to the date when they are given permission to register for the degree.
- d) For the prospective route candidates, are expected to follow the standard application process of identifying an area of research interest and submitting a research proposal. During their studies candidates are expected to publish several significant research papers along with the submission of an extended narrative which draws together the published work into a single thesis.
- e) Candidates will be allowed to register for the degree only with the approval of the Graduate School Board to which all applications must be made.
- f) Permission to register will not normally be granted to candidates who already possess a PhD.

### *Application procedure for PhD by Publication*

#### (Retrospective)

- g) The application should consist of a list of the public outputs (approximately 4-6) on which the proposal is based, a preliminary statement giving details of where and when the work was carried out together with an outline discussion (of not more than 3,000 words) of the contribution of the published output to the advancement of knowledge in the field of study. Where the application is based on jointly published work a statement should be included making clear the contribution of the candidate to the outputs included.

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<sup>1</sup> A partner organisation will be one which has a formal agreement with the University as recorded in the Register of Collaborative Activities and Stakeholder Agreements .

## (Prospective)

- h) The application should consist of an outline of the proposed schedule of research publications contextualised by a coherent narrative. Where the application is based on work that will be jointly published a statement should be included making clear the contribution of the candidate to the outputs included.

#### 8.2.3 *Language requirements*

- a) Where English is not the first language, applicants for a higher degree by research (all degrees listed in Reg 8.2.1) must be able to satisfy the University of their competence in English with an overall IELTS comparable score of 6.5 or above with a minimum of 6.0 in each component (see Regulation 6.6.3).
- b) All theses submitted in partial fulfilment of the University's requirements for the award of an MRes or MPhil or PhD, DBA, DProf, EngD and the oral examination, must be written, defended and conducted in English.
- c) Exceptionally, permission may be given for a thesis to be presented in a language other than English; normally only when the subject matter of the research involves languages and related studies. In such cases this will be made clear on the student's transcript. The abstract must be in English.
- d) Permission to present a thesis in a language other than English shall normally be sought at the same time as the application for registration.

#### 8.2.4 *Modes of Study*

- a) A research degree or Professional Doctorate candidate may be registered on a full-time or on a part-time basis.
- b) Students may apply to move between full-time and part-time modes of registration within the normal period of registration but may not be permitted to change status during the final year of the normal period of registration. Proposed changes will be implemented at the beginning of the next year of study. The expected end date will be calculated on a pro-rata basis.

#### 8.2.5 *Registration by Distance Mode*

- a) A person proposing to undertake a programme of supervised research outwith the University may be registered as a research degree student on a Distance mode if:
  - i) there is satisfactory evidence that the facilities available to the applicant within and outwith the University will meet the University's requirements; and

- ii) the arrangements for supervision enable frequent and substantial contact between the student and the supervisor(s) based in the University;
- b) By enrolment, the student or the student's sponsor or host institution accepts responsibility for:
  - i) the cost of any programme of related studies;
  - ii) the cost of any English language courses required;
  - iii) the cost of facilities such as email and computing;
  - iv) all costs associated with the visit/s to the University and of the Viva examination;
  - v) the cost of any visit approved as necessary by the University of the West of Scotland to the host institution or workplace by the Director of Studies;

#### 8.2.6 *Periods of Registration*

- a) The normal and maximum periods of registration of research degree students shall be:

<b>Degree</b>		<b>normal</b>	<b>maximum</b>
MRes	Full Time	12 months	24 months
	Part Time	24 months	36 months
MPhil	Full Time	24 months	36 months
	Part Time	48 months	60 months
MPhil/PhD inc PhD Direct and PhD by prospective publication	Full Time	36 months	48 months
	Part Time	72 months	84 months
PhD by retrospective publication	Full Time	12 months	24 months
	Part Time		
DBA	Full Time	36months	48 months
	Part Time	48 months	60 months
DProf/EngD	Part time	48 months	72 months

- b) It may be possible to complete a programme of study within a shorter time than the normal duration listed in 8.2.6a). The minimum duration of studies will be 2/3 of the normal period of registration, subject to the fees being paid to cover the normal duration.
- c) A student may apply for an extension to the normal duration, justifying their request on academic grounds, but may not be registered for longer than the maximum period of registration. Students will be able to apply for a single 12 month full-time or part-time extension.
- d) A student that exceeds the maximum period of registration and has their registration extended shall be subject to an annual Completion Fee, as set and published annually in the Fee Schedule.

- e) Periods of authorised interruption of studies will not be included in the period of registration (see Regulation 8.4.8).
- f) Where an applicant has previously undertaken research as a registered research degree student, a shorter period of registration than that normally required [see Regulation 8.2.1 (a) above], which takes account of all or part of the time already spent by the applicant on that research, may be approved.
- g) Where a student registered on a PhD or on an MPhil/PhD having completed a transfer to PhD, subsequently decides to submit their thesis to be examined for an MPhil qualification and has exceeded the maximum period of registration as listed in 8.2.1 (a), the Graduate School may approve on request an extension to the period of registration of six months.

#### 8.2.7 *Changes in Registration*

- a) Where there is evidence that a programme of supervised research is proceeding exceptionally well, the period of registration may be shortened from that normally required (see 8.2.1b).
- b) Where a research degree student is prevented, by ill-health or other good cause, from making progress with the programme of supervised research, the registration may be interrupted (See 8.4.8). The authorised interruption shall not exceed any single period exceeding one year.
- c) Any change in the programme of supervised research being undertaken by a registered research degree student must be notified to the Graduate School Board. Where any change is substantial, approval must be obtained before the change is implemented.
- d) Where a research degree student discontinues the programme of supervised research, the withdrawal of registration must be reported to the Graduate School Board.
- e) Where the Graduate School Board considers that progress has been inadequate and that the research programme is unlikely to lead to a successful outcome within a reasonable time, registration may be terminated. See 8.4.6b iv)

#### 8.2.8 *Confidentiality at application stage*

- a) Where, because of the nature of the programme of supervised research or for other good cause, there is a need for a programme of research or thesis to remain confidential, approval for confidentiality should normally be sought at same time as the submission of the application for registration.

- b) When the need for confidentiality emerges at a subsequent stage, a special application for the thesis to remain confidential after submission shall be made to the Graduate School Board immediately.
- c) The period for which a thesis may remain confidential shall be agreed at the time of application.

*Grounds for Confidentiality*

- d) An application for a thesis to remain confidential [see also Regulation 8.9.4(b)] should only be made when the confidential nature of the candidate's programme of supervised research is such as to preclude the thesis being made freely available in the libraries of the University and of any collaborating establishment(s) and, in the case of a DBA, EngD, DProf or PhD thesis, the British Library.
- e) Normally, the Graduate School Board, in consultation with Head of Enterprise Services will only approve an application for confidentiality in order to enable a patent application to be lodged or to protect material which is commercially, or for some other good reason, sensitive. The University will not approve confidentiality in order to protect research leads.
- f) Approval will normally be given for the thesis to remain confidential for a maximum of two years, but exceptionally, the Graduate School Board may approve a longer period of confidentiality. Conversely, where a shorter period would be adequate, Graduate School Board shall not automatically approve a two-year period.

**8.2.9 External Collaboration**

- a) A programme of supervised research leading to the award of a research degree of the University may be undertaken in collaboration with an appropriate external industrial, commercial, professional or research establishment.
- b) Formal collaboration shall normally involve the research degree student's use of facilities and other resources in the collaborating establishment, as well as the University.
- c) The name of any proposed collaborating establishment(s) accompanied by a letter of support shall be submitted with the application for registration, from each collaborating establishment, except where collaboration is to be an integral part of the project concerned.

**8.3 SUPERVISION**

**8.3.1 General requirements**

- a) Each registered research degree student shall normally have at least two, but not more than three, supervisors.

- b) One Supervisor shall be designated as the Director of Studies (first supervisor) with the responsibility for supervising the student on a regular and frequent basis. There will be a statement of an agreement at confirmation of registration between the Director of Studies and the student as to an appropriate specified frequency of contact.
- c) For students studying on a distance-learning basis one member of the supervisory team or a designated adviser will normally be based in the student's local area.

#### 8.3.2 *Composition of the Supervisory Team*<sup>2</sup>

- a) The supervisory team shall include members with:
  - (i) a research degree equivalent to, or exceeding, the degree being supervised.
  - (ii) experience of supervision of at least one postgraduate research student to successful completion at a UK University
  - (iii) experience of the Research Degree Regulations and procedures of the University of the West of Scotland
- b) At least one member of the supervisory team shall be experienced in research in the general area of the candidate's thesis and have experience as a specialist in the topic(s) to be investigated.
- c) For research degrees by publication (retrospective) an adviser (corresponding to the 'Director of Studies' in the conventional PhD programme) from within the University will be appointed at registration to advise the candidate on the selection, coherence and quality of the portfolio of research work to be submitted and on the nature of the accompanying abstract and critical review. The research adviser will be an active researcher with PhD examining experience.

#### 8.3.3 *Appointment and Eligibility of Supervisors*

- a) It is the responsibility of the Dean of School or nominee to allocate a Director of Studies and Supervisor and the proposed supervision arrangements must be submitted for approval with the application for registration See Reg 8.1.3 c) iii).
- b) Emeritus Professors who are still active in research in the field of study, recognised teachers of the University and appropriate staff in partner organisations (see 8.2.2 footnote) as outlined in the collaborative/supervision agreement may be appointed to the supervisory team in line with the criteria in (Regulation 8.3.2 above)
- c) For Professional Doctorate programmes, arrangements for supervision should be made in conjunction with the programme leader.

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<sup>2</sup> Not all supervisors have to meet all the criteria, but the team as a whole needs to cover the criteria in 8.3.2

**Advisers**

- d) In addition to the supervisors, an adviser or advisers may be appointed to contribute particular specialist knowledge or a link with an external organisation.

**8.3.4 Changes in Supervision Arrangements**

Approval must be obtained from the Graduate School Board for any changes in the supervision arrangements.

**8.4 PROGRESS and TRANSFER****8.4.1 General requirements**

All research degree students will be supported to achieve successful completion of their studies. This will be provided via engagement with the Doctoral Training Academy and through regular progress meetings overseen by an internal assessor. The Graduate School will monitor progress and applications for transfer of registration via regular progress reports.

**8.4.2 Engagement with Studies**

- a) A full-time research degree candidate shall normally be required to devote, on average, at least 35 hours per week to the programme of supervised research.
- b) A part-time research degree candidate shall normally be required to devote, on average, at least 20 hours per week to the programme of supervised research.
- c) Any person registered (distance mode) in accordance with this regulation shall be expected to engage in appropriate training, evaluation and progression events and to agree the frequency and mode of contact with their Director of Studies. This will normally equate to not less than six weeks contact per year at locations appropriate to the programme of study. As part of the delivery of the research programme, distance students are expected to visit the University at least once a year for a period of intensive supervision.

**8.4.3 Internal Assessor**

- a) Each research degree candidate shall be appointed an independent, Internal Assessor at the outset of the research component. The Internal Assessor will be appointed for the duration of the research programme and will assess student progress reports and the transfer of registration from MPhil to PhD at the review stage.
- b) The Internal Assessor shall not be any member of the candidate's approved supervisory team and shall not be the Internal Examiner for the candidate. Recognised Teachers of the University may be appointed as Internal Assessors.

- c) The Internal Assessor is responsible for considering the submitted progression reports and discussing the candidate's progress at an annual panel review arranged by the Director of Studies.
- d) The Internal Assessor will report to Graduate School Board on the candidate's progress and continued registration.

#### 8.4.4 *Progress Reports*

- a) Students are required to submit a number of progress reports in conjunction with their Director of Studies and to attend an annual progress panel interview which will be formally assessed.
- b) All progress reports shall include:
  - i) a review and discussion of the work already undertaken; and
  - ii) a statement of the intended further work, including details of the original contribution to knowledge which is likely to emerge.
  - iii) comment on issues of ethical approval, attendance monitoring, skills training and personal development plans.
  - iv) where the progress report includes an application for the transfer of registration by a student registered for MPhil only, the progress report shall be more substantial stating clearly the grounds for seeking the transfer of registration.

#### 8.4.5 *Assessment of Progress and Potential*

- a) Before approving the transfer of registration of a MPhil/PhD research degree student, or the progress of a DProf/DBAEngD student, the Graduate School Board will need to be satisfied that the student has made sufficient progress and that the proposed future programme of research will provide a suitable basis for work at doctoral level which the student is capable of pursuing to completion.
- b) In addition to considering the student's progress report (see Regulation 8.4.4), the Graduate School Board will normally arrange an oral assessment as part of its evaluation of the case for a transfer. This oral assessment will normally be made by an Internal Assessor appointed by the Graduate School Board. The Dean of School or delegate will normally also attend.
- c) Where a student fails to satisfy the Graduate School Board of either progression and/or potential of the project will have their registration confirmed to be MPhil or appropriate exit award. The student will receive detailed feedback relating to the performance of the Transfer or Progress Event and will be given the opportunity to represent at a second Event within a maximum of 3 months.

- d) A student who satisfies the Graduate School Board of progress and of the potential of the project at the Transfer Event will have their registration confirmed to be PhD.
- e) Where, the Graduate School Board is dissatisfied with student progress, it may take such action as it deems necessary including, after investigation and consultation, the withdrawal of the student's registration. The Chair of the Graduate School Board shall consult the supervisory team and the Dean of School.

#### 8.4.6 *Transfer Event*

- a) Students who are registered as MPhil/PhD normally transfer registration to PhD between 12 and 18 months for full time students and 24-36 months for part time students.

##### *Outcomes of transfer event*

- b) The transfer event will include consideration of the progress report and an oral examination. Following the transfer event the Internal Assessor's report shall recommend:
  - i) transfer of registration to PhD
  - ii) continued registration for MPhil with submission within 6 months
  - iii) a further and final transfer event within 3 months (this outcome will not be available after a second and final transfer event)
  - iv) termination of registration ( see Reg 8.2.7e)

See Reg 8.4.3 for role of Internal Assessor in relation to transfer events

#### 8.4.7 *Progression from Taught to Research Component (DProf)*

The Graduate School Board will approve progression of candidates from the taught to research component after consideration of module performance.

#### 8.4.8 *Authorised Interruption of Study*

A student registered for an award may be allowed a period of Authorised Interruption of Study, approved by the relevant Dean of School and may be re-admitted thereafter to complete the requirements for the award. (see 8.2.7b). A period of Authorised Interruption of Study will not normally exceed one academic session.

#### 8.4.9 *Home Office monitoring*

The University may be required to use data collected to report to the Home Office on international students' attendance.

## 8.5 SUBMISSION OF THE THESIS/PORTFOLIO

### 8.5.1 *The Candidate's Responsibilities*

- a) It is the responsibility of the candidate to ensure that the thesis/portfolio is submitted in accordance with the procedures established by the Senate before the expiry of the period of registration. See Regulation 8.2.6 a)
- b) The submission of the thesis/portfolio for examination shall be at the sole discretion of the research degree candidate concerned.
- c) Each candidate shall confirm, through a declaration incorporated in the thesis, that the thesis has not been submitted for a DBA, DProf, EngD or PhD or comparable academic award. Notwithstanding, a candidate shall not be precluded from incorporating in a thesis, covering a wider field, work which has already been submitted for a research degree, provided that it is clearly indicated, in the thesis, which work has been so incorporated and the extent of this work.
- d) In cases where creative work forms part of the submission, it shall be clearly presented in relation to the argument of the written thesis and set in its relevant theoretical, historical, critical or design context. The thesis itself shall conform to the University's normal scholarly and other requirements.
- e) The student's final submission shall be accompanied by some permanent record of the creative work incorporated, where practicable, with the thesis.

### 8.5.2 *The Thesis/Portfolio*

- a) The candidate should submit the thesis for examination via Turnitin along with two soft bound copies to the Graduate School. See Appendix 1 for further guidance on the format of the thesis.
- b) An abstract of approximately 300 words shall be included in the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and, in the case of a thesis submitted in partial fulfilment of the University's requirements for the degree of PhD, DBA or DProf or EngD of the original contribution to knowledge of the particular subject.
- c) The thesis shall include a statement of the candidate's objectives and shall acknowledge published and/or other sources of material consulted (including an appropriate bibliography) and any assistance received.
- d) The thesis shall include a declaration by the candidate that it has not been submitted for another comparable academic award 8.5.1c).
- e) Where the candidate's programme of supervised research has been part of a collaborative group project [see Regulation 8.1.5(a)], the thesis shall

indicate clearly the candidate's individual contribution and the extent of the collaboration.

- f) Any material published by the candidate in advance of the submission of the thesis must be referred to in the thesis and copies of all such published material must be included, either securely bound into the thesis or placed in a secure pocket at the end of the thesis.

#### 8.5.3 *Length of Thesis*

- a) The text of a thesis in Science, Technology, Engineering and Mathematics should, excluding any ancillary data, normally not exceed:
- |      |                         |              |
|------|-------------------------|--------------|
| i)   | for the degree of MRes  | 15,000 words |
| ii)  | for the degree of MPhil | 20,000 words |
| iii) | for the degree of PhD   | 40,000 words |
- b) The text of a thesis in the all other disciplines should, excluding any ancillary data, normally not exceed:
- |      |                         |              |
|------|-------------------------|--------------|
| i)   | for the degree of MRes  | 20,000 words |
| ii)  | for the degree of MPhil | 40,000 words |
| iii) | for the degree of PhD   | 80,000 words |
| iv)  | for the degree of DBA   | 60,000 words |
- c) Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition (see Regulations 8.1.4) the written thesis may be reduced by an appropriate proportion but should not, normally, be less than 40,000 words.
- d) The DProf and EngD shall comprise of a thesis not exceeding 50,000 words or a report and portfolio. The report will normally be between 10,000 and 20,000 words and will demonstrate advanced and systematic knowledge and skills in the candidate's chosen area. The report must show how the portfolio submitted forms a contribution to the creation and interpretation of new knowledge and must be set in the context of current understanding in the field.
- e) For the PhD by publication, the portfolio of published work should be no more than 100,000 words [see Regulation 8.5.4c) and d)]

#### 8.5.4 *Research degrees by publication*

- a) Candidates following the retrospective route must normally submit within twelve months of the date of registration.

- b) Candidates following the prospective publication route will adhere to the general requirements for registration as outlined in regulation 8.2.1.
- c) The submitted portfolio of published research must add up to a substantial and coherent body of work which would have taken a diligent student the equivalent of three years of full-time study to accomplish, which makes a significant and original contribution to knowledge in, or understanding of, the candidate's field of study, and which is of a scholarly standard normally expected of a candidate who submits and is awarded a PhD.
- d) The portfolio of published work must consist of:  
All items of public work on which the application is based, a critical review of 10,000 to 25,000 words (see e), f) and g) below below), where jointly authored works are included a declaration must be attached indicating the role of the candidate and where possible this statement should be endorsed by co-authors, an abstract of approximately 300 words. The total submission, including the critical review should not normally exceed 100,000 words.

*Guidance on the format of the Portfolio for PhD by publication*

- e) The portfolio should, for example, consist of four to six interconnected, peer-reviewed published works. Such publications may include research papers, chapters, monographs, books, scholarly editions of text, technical reports, creative work artefacts etc.
- f) Candidates must either be the sole author of the portfolio of published work or must be able to demonstrate in the critical review of the submitted work that they have made a major contribution to all of the work that has been produced by more than one author. In such cases a declaration must be appended as above and, where possible, endorsed by co-authors.
- g) The portfolio of published work must be accompanied by an abstract and also by a general critical review of all the submitted work. This critical review should summarise the aims, objectives, methodology, results and conclusions covered by all the work submitted in the portfolio. It should also indicate how the publications form a coherent body of work, what contribution the candidate has made to this work, and how the work contributes significantly to the expansion of knowledge. It should be at least 10,000 words, but not more than 25,000 words in length.
- h) All submissions must include a statement, signed by the candidate, confirming that the work has not been submitted in full or in part for the award of another degree.
- i) Submissions should, as far as is practicable, be presented in a way that confirms to the regulatory standards (see Appendix 1) for the format and submission of theses. Books may be submitted as published.

### 8.5.5 *Amendment of a Thesis/Portfolio*

- a) Following the submission of a thesis/portfolio for assessment and examination for the degree of MRes,DBA, DProf, EngD, MPhil or PhD, the thesis/portfolio shall only be amended as required or agreed by the examiners.
- b) Any candidate who makes any unauthorised amendment, addition or deletion in a thesis/portfolio either before or after the candidate's oral examination may, at the discretion of the University, be deemed to have rendered the assessment and examination null and void and, where applicable, shall not be awarded the degree recommended by the examiners.
- c) It shall be the responsibility of a candidate's Director of Studies to ensure that no unauthorised changes have been made in the thesis/portfolio following its final submission and before it is deposited in the University's permanent archive.

### 8.5.6 *Submission of thesis/portfolio against the advice of supervisors*

Whilst a candidate would be unwise to submit the thesis for examination against the advice of the supervisors, it is the candidate's right so to do. Conversely, a candidate should not assume that the supervisors' agreement to the submission of the thesis guarantees the award of the degree for which it is submitted [see Regulation 8.5.1b].

## 8.6 EXAMINATION PROCEDURES

### 8.6.1 *General Requirements*

- a) The examination of a candidate for the degree of MRes, MPhil, DProf, DBA, EngD or PhD shall normally be in two stages:
  - i) the examination of the thesis/portfolio;
  - ii) the candidate's defence of the thesis/portfolio by an oral or approved alternative examination.

For MRes only, exceptionally, examiners may recommend to the Graduate School Board that examination is by thesis only (see Reg 8.7.4).

- b) All candidates will be offered the opportunity to participate in a mock viva, in preparation for their formal examination.

### 8.6.2 *Examination Procedures*

- a) No examination of a research degree candidate shall be held until the arrangements, including the appointment of examiners and Chairperson, have been approved in accordance with these Regulations.

- b) Each candidate shall be informed of the procedure to be followed for the submission of the thesis and of any conditions to be satisfied before the candidate may be presented for examination.
- c) It is the responsibility of the Director of Studies to propose to the Dean of School the arrangements, including nominating the examiners, for the examination of a research degree candidate for recommendation to the Graduate School Board for approval at least three months before the expected date of the examination.
- d) The Graduate School Board shall confirm to the candidate and the examiners the date of the oral examination (see Regulation 8.6.3) and shall send to each examiner a copy of the thesis and of the University's Regulations and procedures, and shall ensure that all the examiners are fully briefed on their duties and responsibilities.

#### 8.6.3 *Oral Examination/Viva*

- a) The oral examination of a research degree candidate shall normally be held on campus (including those candidates registered on distance mode).
- b) Exceptionally, approval may be given for the oral examination to be held elsewhere. Approval may also be given for the use of technology during the oral examination to allow an appropriate examiner to access the event remotely provided the quality and rigour of the examination can be maintained.
- c) At the candidate's request one supervisor may attend the oral examination in the role of an observer and will withdraw prior to the deliberations of the examiners on the outcome of the examination and their recommendation to the University.
- d) Where for reasons of sickness, disability or comparable valid cause the University is satisfied that a candidate would be under serious disadvantage if required to undergo an oral examination, an alternative form of examination may be approved. Such approval shall not be given on the grounds that a candidate's knowledge of the language in which the thesis is presented is inadequate.
- e) By attending the oral examination/viva, the candidate is confirming that they are 'fit to sit' the examination, and that the outcome of the examination should stand.
- f) If a candidate feels that their academic performance has been affected by extenuating circumstances and they are not in a position to attend the oral examination they should complete an on-line extenuating circumstances statement prior to the start of the planned examination. An extenuating circumstances statement cannot be submitted after the examination.

- g) In any instance where the Graduate School Board becomes aware of a failure to comply with all the University's requirements relating to assessment and examination process, it may declare the examination null and void (see Regulation 8.7.7) and require that new examiners be proposed and that a new assessment and examination be held.
- h) A candidate for a research degree shall take no part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between their appointment and the holding of the oral examination.

#### 8.6.4 *Examiners*

- a) Each research degree or doctoral candidate shall be examined by at least two, but normally not more than three, examiners [subject to the requirements of Regulations 8.6.6 and 8.8.1b)] of whom at least one shall be an external examiner. Recognised Teachers of the University (RTUs) may not be appointed as external examiners.
- b) An internal examiner shall not be any member of the candidate's approved supervisory team and shall not be the candidate's Internal Assessor [see Regulation 8.4.3.b)]. The internal examiner should be a member of staff of the University and experienced in examination of research degrees. Recognised Teachers of the University are not eligible for appointment as internal examiners.
- c) Where the candidate to be examined and the internal examiner are members of the permanent staff of this University, a second external examiner should be appointed. Any person who is employed by the University on a short fixed term contract, such as a research assistant, shall be exempt from the requirement that a second external examiner be appointed.
- d) The examination team should be selected to ensure that the whole breadth of experience, knowledge and skills required is represented, in relation to practice-based studies, at least one of the examining team must have the capacity to examine creative outputs.

#### 8.6.5 *Chairperson*

- a) A non-examining Chairperson shall be appointed by the Graduate School Board in conjunction with the School to convene the oral examination and to report on the agreed recommendations of the examiners to Graduate School Board. The Chairperson will be responsible for the following:
  - Conducting the whole examination and ensuring that it is conducted in a fair manner and is of a reasonable duration;
  - Assisting the examiners to reach a consensus.

- Arranging for the joint examiner report stating the recommendation of the examiners and submitting this to Graduate School Board.
  - Submitting the Chair's report on the conduct of the viva to the Graduate School Board.
- b) The Chairperson will be an academic member of staff (including Emeritus Professors) of the University with knowledge of the University's Research Degree Regulations. The Chairperson shall:
- be an active researcher with experience of examining research students;
  - be independent of the student's work.

#### 8.6.6 *Eligibility and Criteria for Appointment for Examiners*

- a) The University's normal requirements for the appointment of examiners are as follows:-
- The examiner should be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined. Where the external examiner is inexperienced in the examination of postgraduate research students, an additional external examiner with knowledge of standards expected for a higher degree by research in the UK shall normally be appointed.
  - To ensure the independence of external examiners each external examiner shall:
    - i) be independent of the University and of any collaborating establishment(s) and shall not have acted previously as the candidate's supervisor or adviser;
    - ii) not normally be either a supervisor of another candidate or an external examiner on a taught programme in the same School of the University;
    - iii) not normally have been a member of staff of the University during the past five years;
    - iv) not have acted as an external examiner of research degree candidates in the School within the previous three years.

See Regulation 7.12.4 for further guidance on the independence of external examiners.

- b) Examiners and Chairperson will normally have experience of DBA, DProf or PhD study, including their own completion of a DBA, DProf, Eng D or PhD or supervision of PhD or doctoral students.

### 8.7 EXAMINATIONS AND RECOMMENDATIONS FOR AWARD

#### 8.7.1 *Examination of the Thesis*

- a) Each examiner shall assess the thesis in advance of the oral examination [see also Regulation 8.6.3(d)]. Each examiner shall submit an

independent report in the University's standard format to the Secretary of the Graduate School Board in advance of the oral examination and not less than one week before the date of the oral examination [see Regulation 8.6.3). The Graduate School will distribute the examiner reports to all examiners, and the Chair at least one week prior to the oral examination.

- b) Where the examiners are of the opinion that the thesis is so unsatisfactory that no useful purpose would be served by conducting an oral examination, they may recommend that the University dispense with the oral examination and refer the thesis for further work. In any such case, the examiners shall provide the University with written guidance for the candidate concerning the deficiencies of the thesis.
- c) This will be considered as a submission for examination and the examiners' report will make one of the recommendations under Regulation 8.7.2.

#### 8.7.2 *Recommendations following examination*

- a) Following the completion of the assessment and examination of a research degree or doctoral candidate, the examiners may recommend:
  - i) **Unconditional pass** - the candidate be awarded the degree for which examined;
  - ii) **Pass with minor corrections** - the candidate be awarded the degree for which examined, subject to minor amendments being made to the thesis or portfolio within 3 months (see Regulation 8.7.2(b) below);
  - iii) **Pass with major corrections** - the candidate be awarded the degree for which examined, subject to major amendments being made to the thesis or portfolio within 6 months (see Regulation 8.7.2(b) below)
  - iv) **Re-examination oral only** - the thesis is satisfactory but the candidate must undergo a further oral examination (see Regulation 8.8) within 2 months. This shall be deemed to be part of the first examination of the candidate;
  - v) **Re-submit thesis, no oral examination** - the candidate be permitted to re-submit for the degree and be re-examined, without an oral examination (see Regulation 8.8) within 12 months;
  - vi) **Re-submit thesis with oral examination** the candidate be permitted to be re-examined, with an oral examination (see Regulation 8.8) within 12 months;
  - vii) **Fail** - the candidate not be awarded the degree for which examined and be not permitted to be re-examined (see Regulations 8.7.2e) & f);
  - viii) **Change of award** in the case of an examination for the degree of PhD, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners. Minor corrections to be submitted within 3 months and major corrections within 6 months;

- b) The examiners should indicate informally to the candidate the recommendations they propose to make on the result of the examination (see above) but they shall make it clear to the candidate that the final decision rests with the University.
- c) Where the examiners are not unanimous in their recommendations, the University may:
  - i) accept a majority recommendation provided that the majority recommendation is made by at least one external examiner;
  - ii) accept the recommendation of the external examiner(s);
  - iii) appoint an additional external examiner;
- d) An additional external examiner appointed in accordance with Regulation 8.7.2(c)(iii) above shall prepare an independent report on the basis of the thesis and, if considered necessary, may conduct a further oral examination. That examiner shall not be informed of the recommendations of the other examiners.
- e) The examiners shall not recommend that a candidate fail outright at first attempt [see Regulation 8.7.2(a)(vii)] without holding an oral examination or other alternative examination.
- f) Where the University determines that the degree be not awarded and that no re-examination be permitted, the examiners shall prepare an agreed statement of the deficiencies of the thesis and the reason for their recommendation to be forwarded to the candidate in accordance with the procedures established by the Senate.

#### 8.7.3 *Examiners' Recommendations and Reports*

- a) Following the oral examination, the examiners shall submit a joint report and recommendation relating to the award of the degree;
- b) where they are not in agreement, submit separate reports and recommendations to the Chairperson for the attention of the Graduate School Board;
- c) The decision as to whether to accept the reports and recommendations of the examiners of a research degree candidate and to forward those recommendations concerning the award of the degree of MRes, MPhil, DProf, DBA, EngD or PhD, as appropriate, to the Senate shall rest with the Graduate School Board (see Regulation 8.7.2).
- d) All formal communications by the examiners at each stage of the assessment and examination process must be sent to the Graduate School.
- e) The joint recommendation made by the examiners submitted following the holding of the oral examination should provide sufficiently detailed comments on the scope and quality of the programme of supervised research undertaken by the candidate to enable the Graduate School

Board to satisfy itself of the basis of the recommendations (see Regulation 8.7.2).

#### 8.7.4 *Assessment for an MRes by thesis only*

Exceptionally examiners for the award of the degree of MRes may recommend that assessment is by thesis only.

The nominated internal examiner shall inform the University of the recommendation not to hold a viva and the reasons for this recommendation. Following approval of the recommendation by Graduate School Board, the procedures outlined in 8.7.1 and 8.7.2 shall apply.

#### 8.7.5 *Research degrees by publication*

- a) Each candidate will be examined by at least two examiners external to the University appointed according to the Regulations (8.6) pertaining to the conventional PhD route, an internal examiner may also be appointed. Co-authors, advisers or supervisors may not act as examiners.
- b) The grounds for the award of PhD by research publications are the submission of a portfolio of published work judged satisfactory by the examiners and a satisfactory performance at an oral examination.
- c) At the conclusion of the examination the examiners may recommend to Graduate School Board that:
  - i) the degree of PhD be awarded;
  - ii) the degree of PhD be awarded subject to amendments to the final report;
  - iii) the degree be not awarded;

#### 8.7.6 *Posthumous Awards*

The degree of MRes, MPhil, DBA, DProf, EngD or PhD may be awarded posthumously on the basis of a thesis completed by a candidate which is ready for submission and where there is evidence that the candidate would have been likely to have been successful had the oral examination been held.

#### 8.7.7 *Procedural and other Irregularities*

Where there is evidence of procedural or other irregularity in the conduct of the assessment, the examination may be declared null and void with the appointment of new examiners, if necessary.

## 8.8 RE-EXAMINATION

### 8.8.1 General Requirements

- a) One re-examination may be permitted, subject to the following requirements:
  - a candidate who fails to satisfy the examiners at the first examination including, as applicable, the oral or approved alternative examination [see Regulation 8.6.3(d)], or any further examination required under Regulation 8.7.2(e), shall be permitted to revise the thesis and be re-examined;
  - the examiners shall provide the candidate, in accordance with the procedures established by the Senate, with written guidance on the deficiencies of the first submission; and
  - the candidate shall submit for re-examination in accordance with the timescales established in reg 8.7.2.
- b) At its discretion, the University may appoint an additional external examiner for the re-examination.

### 8.8.2 Form of Re-examination and Recommendations

- a) The form of re-examination shall be that approved by the University on the recommendation of the examiners at the first examination (see Regulation 8.7.2).
- b) The examiners shall make one of the recommendations provided for under Regulation 8.7.2(a), save that Regulation 8.7.2a) iii, v, & vi) shall not apply.
- c) The form of re-examination shall be essentially that required for a first examination, with the proviso that the examiners may not recommend a further examination be held [see Regulation 8.8.2(b)]. It should be noted that the Graduate School Board may require an additional external examiner to be appointed [see Regulation 8.8.1(b)].
- d) The detailed requirements for the form of the re-examination of a candidate must, accord with Regulation 8.7.2.
- e) Following completion of the re-examination of the candidate, the examiners may recommend:
  - i) the candidate be awarded the degree for which examined;
  - ii) the candidate not be awarded the degree for which examined and be not permitted to be re-examined;
  - iii) In the case of an examination for the degree of PhD, the candidate be awarded the degree of MPhil subject to the presentation of the thesis being amended to the satisfaction of the examiners.
- g) The examiners may agree jointly, after examination of the resubmitted thesis, that the thesis is so deficient to render a second oral

examination redundant, and may advise the Graduate School Board that they do not wish to proceed with the oral component of the assessment. This will only occur when the thesis is so deficient that it cannot be corrected within the bounds of Regulation 8.7.2aii). The examiners shall detail the deficiencies in Joint Examiners' Final Report.

- h) No re-examination in whatever form, shall be held without the approval of the Graduate School Board.

## **8.9 APPEALS, PLAGIARISM, COMPLAINTS AND COPYRIGHT**

### **8.9.1 Academic Appeals**

- a) An academic appeal is defined as a request to review a decision of an academic body charged with decisions on student assessment, progression and awards.
- b) Refer to Regulation 13 for Grounds for an appeal and procedures.

### **8.9.2 Cheating and Plagiarism**

#### *Definitions*

- a) Cheating and plagiarism are defined by the University as the attempt to gain an unfair advantage in an assessment by gaining credit for work of another person or by accessing unauthorised material relating to assessment.
- b) Refer to Regulation 7.11 for further definitions and procedures.

### **8.9.3 Complaints Procedure**

All research students should consult the University's Complaints Handling procedure if they wish to raise a complaint regarding dissatisfaction within the standard of service, action or lack of action by or on behalf of the University. A copy of the University's Complaints Handling procedure can be accessed via the Academic Services website, Student Link on all campuses and the Students' Association.

### **8.9.4 Copies of the Thesis/Portfolio and Copyright**

- a) Following the award of the degree of MRes, DBA, DProf, EngD, MPhil or PhD:
  - i) one electronic copy of the thesis shall be submitted to the Graduate School and submitted in the University's online repository;
  - ii) in the case of a thesis submitted for the degree of DBA, DProf, EngD or PhD, an electronic copy shall be deposited in the British Library's Electronic Theses repository (EThOS).
- b) Where, because of the nature of the research, approval has been given for the thesis to be treated as confidential (see Regulation 8.2.8), the thesis shall be deposited only with the Graduate School with access

restricted to those directly involved in the research until the expiry of the period of confidentiality.

- c) Each copy of the thesis shall remain the property of the University, but the copyright of the thesis will remain with the candidate.

## Appendix 1

### Guidance on the Format of the Thesis

- a) The format of a thesis submitted in partial fulfilment of the University's requirements for the award of the degree of MRes, DBA, DProf, EngD, MPhil or PhD shall conform with the following, with reference to the British Standards Institution's Specification BS 4821 (1990):
  - i) the thesis shall normally be in A4 format; approval may be given for a thesis to be submitted in another format where it is established that the contents will be better accommodated in that format;
  - ii) the electronic copy of the thesis shall be submitted as one complete file, including any appendices and supplementary material in PDF format;
  - iii) all margins shall not be less than 15 mm;
  - iv) double or x 1½ spacing shall be used in the formatting except for indented quotations or footnotes where single spacing may be used;
  - vi) pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages;
  - vii) the title page shall give the following information, presented as specified by the University:
    - 1 the full title of the thesis;
    - 2 the full name of the author;
    - 3 the degree for which the thesis is submitted in partial fulfilment of its requirements;
    - 4 that the degree is awarded by the University;
    - 5 the name(s) of any collaborating establishment(s); and
    - 6 the month and year of first submission to the Graduate School, unless there is a substantial delay before the final submission (more than twelve months) when the date of the final submission shall be the accepted date.
- b) A specimen title page is appended to these Regulations.

[Specimen thesis title page]

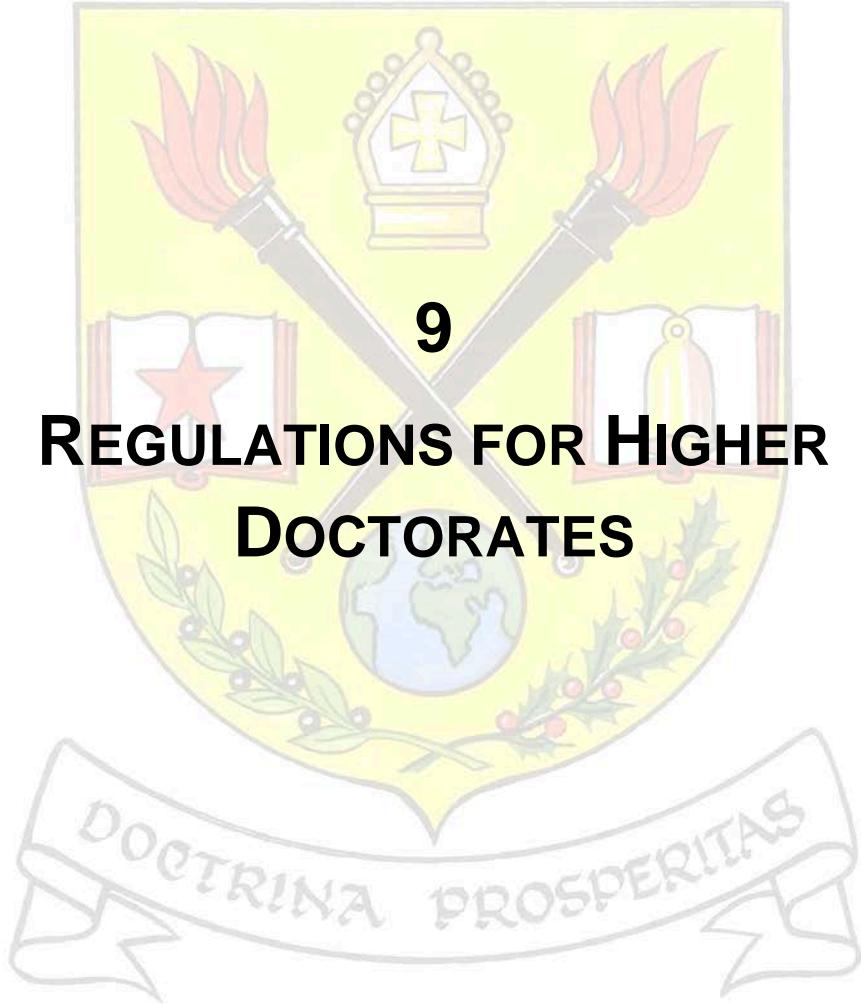
A POLITICAL-ECONOMY OF SAFETY AND HEALTH IN THE BRITISH  
CONSTRUCTION INDUSTRY WITH SPECIAL REFERENCE TO FATAL INJURIES  
IN THE WEST OF SCOTLAND

ERIK WILLIAM HUGH SUTHERLAND

Thesis submitted in partial fulfilment of the requirements  
of the University of the West of Scotland  
for the award of Doctor of Philosophy

9

# REGULATIONS FOR HIGHER DOCTORATES



## **Regulation 9 – Regulations for Higher Doctorates**

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## 9 Regulations for Higher Doctorates

### 9.1 Awards

The University may award the following Higher Doctorates:

- Doctor of Letters (DLitt)
- Doctor of Science (DSc)
- Doctor of Technology (DTech)

### 9.2 Applicants

#### 9.2.1 *Criteria*

- a) The applicant must have undertaken work of high distinction which constitutes an original and outstanding contribution to the advancement of knowledge or to the application of knowledge or to both.
- b) The work undertaken must establish that the applicant is a leading authority in the field(s) of study concerned.

#### 9.2.2 *Eligibility*

- a) An applicant for a Higher Doctorate awarded by the University must normally be:
  - i) the holder, of at least seven years' standing, of a first degree at Honours level awarded by an approved University or the holder of some other qualification specially recognised by the Senate as equivalent for that purpose, provided that the holder has held for a period or periods totalling at least three years such office or officers in the University of the West of Scotland or in an institution affiliated to, or in association with, the University as the Senate may approve; or
  - ii) the holder, of at least four years' standing, of a higher degree awarded by an approved University or the holder of some other qualification specially recognised by the Senate for that purpose, provided that the holder has held for a period or periods totalling at least three years such office or offices in the University of the West of Scotland or in an institution affiliated to, or in association with, the University as the Senate may approve.

### 9.3 Submission

#### 9.3.1 *General Requirements*

- a) The contents of the submission must be in the English language unless specific permission to the contrary has been given by the University.
- b) An applicant must state whether any part of the submission relates to work which has been submitted as part of the requirements for any other academic award. No work will normally be considered which has been presented for a first degree or a taught Master's degree programme.

- c) An applicant must submit three copies of the work on which the application is based.
- d) The submission may take the form of books, contributions to journals, patent specifications, reports, specifications and design studies. It may also include other relevant evidence of original work.
- e) All material, other than books, must be secured in the form prescribed from time to time by the University.

#### 9.3.2 Copies

- a) The applicant must submit three copies of each of the following in the form prescribed from time to time by the University:
  - i) a statement of not more than one thousand words setting out the applicant's view of the nature and significance of the work submitted;
  - ii) a signed full statement of the extent of the applicant's contribution to any of the work submitted which involves joint authorship or any other collaboration;  
and
  - iii) a list of all works published by the applicant whether included in the submission or not.
- b) Two copies of the submission shall remain the property of the University unless the application be unsuccessful in which case only one copy of the statement (see Regulation 9.3.2(a) (i) above) and a record of the items submitted shall be retained.
- c) One of the copies retained by the University shall be deposited in the Library.

### 9.4 Assessment

#### 9.4.1 Preliminary Consideration

On receipt of an application for a Higher Doctorate, the University will consider whether a *prima facie* case for proceeding to a formal examination of the submission has been established, taking whatever advice it shall deem to be appropriate.

#### 9.4.2 Examination and Examiners

- a) If satisfied that a *prima facie* case has been established, the University will submit the application to not less than three examiners, of whom at least two shall be external, and one shall be an internal. Each examiner will be required to make an independent report to the University. In the event of any disagreement between the External Examiners, the University may appoint an additional External Examiner.
- b) All External Examiners shall be wholly independent of the University.
- c) The decision of the examiners shall be final.

#### 9.4.3 Re-submission and Re-examination

No person may apply to the University to be a candidate for a Higher Degree awarded by the University on more than two occasions and no person may apply for re-examination until at least five years have elapsed from the date of the original submission to the University.

#### 9.5 Confidentiality

- a) All applications shall be treated in strict confidence.
- b) Any canvassing by, or on behalf of, an applicant shall automatically disqualify the applicant concerned.

#### 9.6 Honorary Doctorates

The conferment of Honorary Doctorates by the University shall not be subject to these regulations governing the requirements for the award of the University's Higher Doctorates. The University Court reserves the right to award and revoke Honorary Doctorates under Regulation 2.2.2c) and 2.2.2d) respectively.

## Procedures Relating to the Award of Higher Doctorates

### 1 Preamble

These procedures have been established in accordance with the University's Regulations for Higher Doctorates, to which they are subject (see Regulation 9 of the Regulatory Framework).

### 2 Application

- 2.1 An application for the award of a Higher Doctorate of the University shall be addressed to:

The Office of the Vice Principal & Pro-vice Chancellor (Academic)  
University of the West of Scotland  
Paisley  
PA1 2BE

- 2.2 Three copies of the full submission must accompany the application (see Regulation 9.3.2).

### 3 Submission

- 3.1 An application shall take the form of a submission which shall meet the following requirements:

- a) A statement naming the Higher Doctorate which is being sought [see Regulation 9.1.1] in the following manner:

An application submitted in partial fulfilment of the requirements of the University of the West of Scotland for the Degree of Doctor of .....

by

James Robert William Baxter PhD BSc etc  
(Full name and Degree Qualifications)

- b) A statement indicating the grounds of eligibility for the award of a Higher Doctorate of the University of the West of Scotland [see Regulation 9.2.2(a)];

- c) A statement indicating the nature and significance of the work on which the application is based [see Regulation 9.2.2(a) (i)];

- d) Where appropriate, a statement signed by the applicant on joint authorship [see Regulation 9.3.2(a) (ii)];

- e) A list of works published by the applicant [see Regulation 9.3.2(a) (iii)]; and

- f) A table of contents of the submission;

- 3.2 The submission consisting of (a) to (f) above, shall be permanently bound in accordance with the University's requirements for a thesis submitted in partial fulfilment of the University's Research Degrees [see Regulation 8.9.4].

- 3.3 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall formally acknowledge an application for the award of a Higher Doctorate within one week of its receipt.

#### **4 Preliminary Consideration**

- 4.1 The determination of whether a *prima facie* case for the award of a Higher Doctorate can be established shall be undertaken by the Research & Enterprise Advisory Committee as a matter of reserved business.
- 4.2 None of the persons (assessors) involved in the assessment to determine whether a *prima facie* case for the award of a Higher Doctorate can be established shall have been involved in any way with the work which forms the part of the submission.
- 4.3 REAC shall make a recommendation that may be either:
- a *prima facie* case has been established; or
  - b no *prima facie* case has been established.
- 4.4 The candidate shall be informed of the decision of REAC that either the next stage of the assessment of the submission shall be implemented, or that no *prima facie* case has been established, as appropriate. In the latter case, the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for re-submission, and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 4.5 The decision of REAC shall be final.

#### **5 Full Assessment**

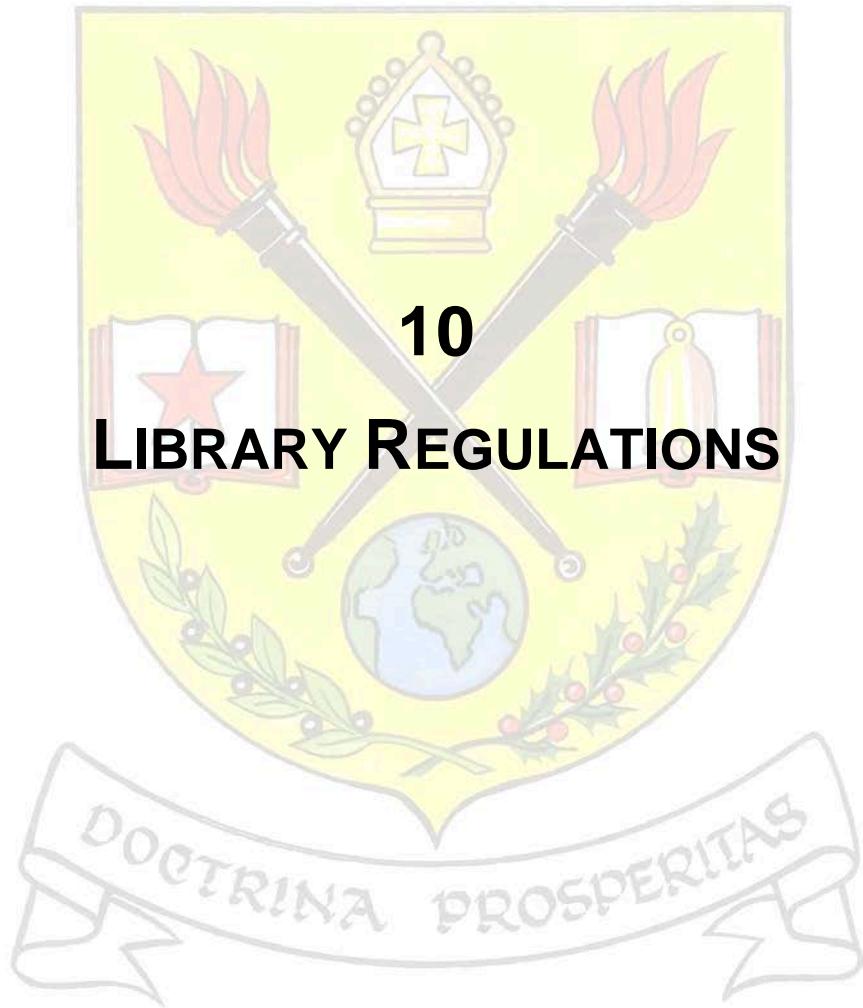
- 5.1 Where a *prima facie* case has been established for the award of a Higher Doctorate of the University, the submission shall be fully assessed.
- 5.2 The first step shall be the appointment of at least three examiners [see Regulation 9.4.2(a) and (b)]. The identification of appropriate examiners shall be undertaken by:
- a the Vice Principal and Pro-vice Chancellor (Academic);
  - b The Dean of the appropriate School;
  - c The Depute Principal;

provided that none has been involved in any way with the work which is the subject of the submission, or in any other way which might be deemed prejudicial to the interests of impartiality. Where there is any doubt, the Vice Principal & Pro-vice Chancellor (Academic) shall ask the Principal and Vice Chancellor to nominate an alternative appropriate senior member of the academic staff to undertake the responsibility of (a), (b) and/or (c) above, as necessary.

- 5.3 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall send one copy of the submission and of the University's Regulations and Procedures relating to the award of Higher Doctorates to each of the examiners.
- 5.4 Each examiner shall report independently to the University and shall send his/her report and recommendation to the Office of the Vice Principal (Academic). An examiner may recommend that:
  - a) the Higher Doctorate be awarded; or
  - b) the Higher Doctorate be not awarded.
- 5.5 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall forward the respective recommendation of the examiners to the Principal and Vice Chancellor (as the Chair of Senate and the Chief Executive of the University), and inform the initial assessors (see 4.1).
- 5.6 Where the recommendation of the examiners be unanimous, the Principal shall confirm the recommendation and the Office of the Vice Principal & Pro-vice Chancellor (Academic) shall inform the candidate of the outcome of the application. Where the decision is that the Higher Doctorate be not awarded, the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for re-submission, and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 5.7 Where the recommendations of the examiners be not unanimous and where the majority of the examiners recommend that the Higher Doctorate be awarded the Principal shall consult with the officers identified in 5.2 and take such further independent internal and/or external advice as necessary in order to arrive at a decision whether the award be confirmed or not. Where the decision is that the Higher Doctorate be not awarded the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting the conditions for resubmission and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 5.8 Where the recommendations of the External Examiners be not unanimous and the majority of the examiners recommend that the Higher Doctorate be not awarded the Principal shall confirm this recommendation. The attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for resubmission and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).

## 6 The Senate

The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall ensure that each confirmation of the recommendation to award a Higher Doctorate of the University shall be reported to the Senate.



**10**

## **LIBRARY REGULATIONS**

## **Regulation 10 – Library Regulations**

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<b>10.2 Membership</b>	<b>122</b>
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<b>10.8 Absence of Head of Student Development</b>	<b>123</b>

## 10 Library Regulations

In these Regulations the powers of the Head of Student Development in relation to students are to be interpreted as subject to the limitations imposed by the University Code of Discipline (Regulation 12). Otherwise these Regulations apply equally to all Library users.

### 10.1 Hours of Opening and Service

The hours of opening of the library facilities will be published on the University website by the Head of Student Development.

### 10.2 Membership

- 10.2.1 Membership of the Library is open to all members of staff, all students and alumni of the University. Members of the public may use the Library for reference purposes at the discretion of the Head of Student Development.
- 10.2.2 Members of the libraries of other universities are entitled to access under the terms of current reciprocal agreements.
- 10.2.3 Other persons or corporate bodies may be eligible for membership on application to the Head of Student Development and, potentially, on payment of a fee determined by the Library Development Group.
- 10.2.4 All persons joining the Library do so on the express understanding that they grant the University of the West of Scotland the right to store information relevant to their membership and use of the Library in an electronic, or other, database.
- 10.2.5 Loss of a Library card (student ID card in the case of student members) must be reported immediately to Library staff.

### 10.3 Borrowing

- 10.3.1 Only current members of the Library may obtain material on personal loan. Loan entitlements will be as determined from time to time by the Library Development Group.
- 10.3.2 When borrowing items all members must present their Library card. Responsibility for any transaction on a Library account remains with the account holder, unless or until loss of the card is reported to the Library.
- 10.3.3 Loan periods will be as determined from time to time by the Library Development Group.
- 10.3.4 The current fine will be imposed on any member who fails to return an item by the date due. Fines may be waived if failure to return was occasioned by illness or other unforeseen circumstances subject to the provision of appropriate evidence.
- 10.3.5 On failure to return Library materials, cost recovery procedures will be initiated and Library privileges withdrawn. Persistent offenders may be dealt with under the University Code of Discipline (Regulation 12).

- 10.3.6 Items obtained on inter-library loan are subject to these regulations and to the conditions imposed by the lending library.
- 10.3.7 It is an offence to remove any material from the Library without it being formally issued or to leave the Library except by an authorised exit, save in case of emergency. Breach of this regulation may be dealt with under the University Code of Discipline (Regulation 12).

#### **10.4 Loss and Damage**

Members may not write in or otherwise mark any Library item. If any such damage is discovered the member may be required to either pay for or replace the damaged item. Members borrowing items should report any apparent damage to the Library staff. Loss of items should be reported to Library staff immediately. In the case of loss the member will be required to pay for or replace the lost item.

#### **10.5 Conduct in the Library**

Users of the Library must not cause disturbance to other users or damage to stock, furnishings or equipment. Breach of this regulation may be dealt with under the University Code of Discipline (Regulation 12).

#### **10.6 Electronic Resources**

In using software and electronic services supplied through the Library, users must respect all licensing agreements and any regulations or codes of conduct agreed by the Library as part of the service or product.

#### **10.7 Copying**

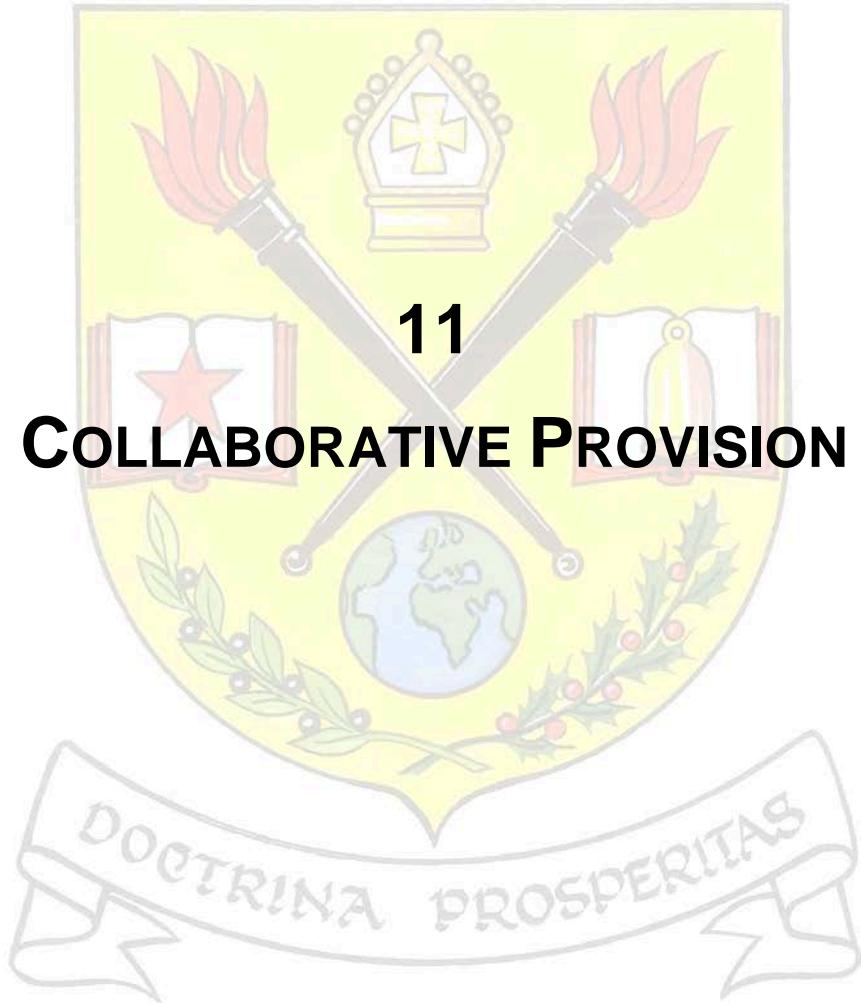
Copying will only be permitted to authorised users within the terms of licenses (CLA, NLA and other agencies or specific products) held by the Library on behalf of the University, or to all users in terms of the current copyright legislation regarding fair dealing and commercial research.

#### **10.8 Absence of Head of Student Development**

In the absence of the Head of Student Development such powers as he/she exercises under these regulations shall devolve upon the Library Transformation Manager. If the Library Transformation Manager is also absent the Lead Librarian (Liaison & User Services) and/or Lead Librarian (Resources) shall act to cover all the campus libraries.

11

## COLLABORATIVE PROVISION



## **Regulation 11 – Collaborative Provision**

<b>11.1 General Requirements</b>	<b>125</b>
<b>11.2 Selection of Collaborative Partner</b>	<b>125</b>
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## 11 Collaborative Provision

### 11.1 General Requirements

- a) The requirements of the University in respect of the management, programme approval/collaboration, monitoring and review of programmes shall apply to any programme or module, offered in partnership with the University by a collaborative partner leading to an award from the University of the West of Scotland. The approach of the University is informed by the QAA Quality Code for Higher Education: Chapter 10.
- b) University of the West of Scotland's Senate and the partner organisation's central authority must endorse any collaborative arrangement.
- c) In line with the collaborative approval process, Schools have authority, in principle, to develop proposals for collaborative provision or delivery at a new site and/or by on-line learning. International collaborative ventures should be aligned with the appropriate Senate approved plans prior to the detailed proposal being considered by the School Leadership Team and noted at School Board.
- d) The Quality Enhancement Support Team (QuEST) will draft a Collaborative Agreement which forms part of the submission documentation considered by the Collaborative Forum. Following approval, QuEST will then finalise the agreement and the Collaborative Forum will continue to monitor the effective implementation of all the University's Collaborative Agreements and arrangement.
- e) The University's QuEST will maintain a register of all approved collaborative arrangements.
- f) The issue of award certificates and transcripts will remain under the control of the University and in keeping with the requirements of the QAA Quality Code for Higher Education: Chapter 10.
- g) QuEST holds the University templates for Collaborative Agreements and Memorandums of Understanding and will scrutinise the documents prior to seeking endorsement.

### 11.2 Selection of Collaborative Partner

- a) The mission and objectives of a partner organisation should be compatible with those of the University.
- b) The legal status of the prospective partner organisation and its capacity to contract with the University should be appropriate.
- c) The ability of the prospective partner organisation to provide the infrastructure and the learning resources necessary to ensure that the required quality and standard of the planned provision will be achieved should be appropriate.

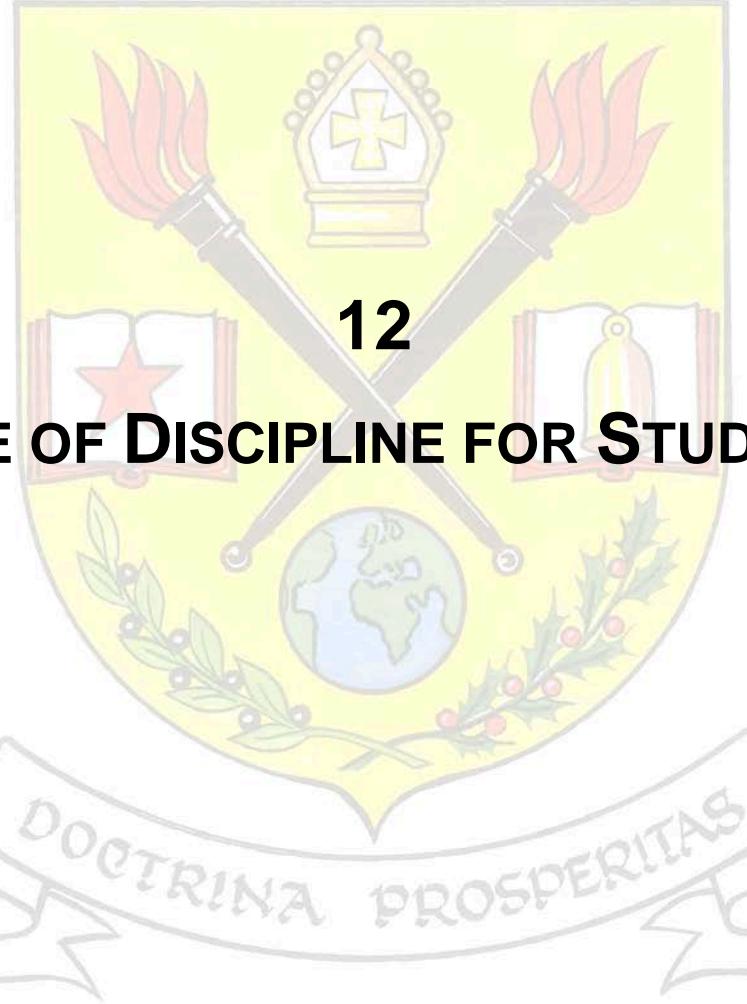
- d) The University's Due Diligence procedure must be followed in accordance with the guidance provided by the Court and Senate Office.
- e) Early discussions should ensure that the financial aspects of the proposed arrangement satisfy any statutory and funding body requirements. Policies and procedures must be adequate to safeguard against financial impropriety or conflicts of interest. QuEST will provide guidance on the issues to be addressed with regard to the QAA Quality Code for Higher Education: Chapter 10. All potential collaborations must use the currently approved financial viability model.
- f) Any new programme involving collaborative provision with another institution should be brought to the attention of the Collaborative Forum at an early stage of the proposal.
- g) Where a prospective partner organisation is known to have a current, or has had a previous relationship with another UK Awarding Institution, enquiries will be made of that Awarding Institution as to the standing and effectiveness of the proposed partner organisation. Enquiries will be made of that partner organisation as part of the due diligence process.
- h) The School will inform any professional or statutory body which has approved or recognised a programme which becomes the subject of a possible or actual collaborative arrangement of its proposals and of any final agreements which involve the programme.
- i) The Collaborative Agreement will state that in the event of the University withdrawing from a partnership arrangement and finding itself subject to enquiries from another UK Awarding Institution proposing to enter into a collaborative arrangement with the same partner institution it will, to the extent permitted by law and the contract(s) entered into with such a partner institution, make a frank disclosure to that UK Awarding Institution of any concerns that led to its withdrawal. The University would expect its partner institutions to do the same regarding any concerns about the University if approached by another partner institution considering collaborative activity with the University.

### **11.3 Collaborative Agreements**

- a) The collaborative arrangement must be set out in a formal Collaborative Agreement approved by the University and the collaborative partner confirming the respective responsibilities of both parties and in particular:
  - i) that the University retains ultimate responsibility for the maintenance of quality and academic standards of all awards granted in its name;
  - ii) that the academic standards of all awards made under a collaborative arrangement are equivalent to those of comparable awards delivered by the University and compatible with any relevant benchmark information recognised within the UK.

- iii) The quality of the programmes provided through the partnership is appropriate and comparable with similar programmes provided by the University itself;
- iv) the extent to which authority is delegated to the collaborative partner for modifying an approved programme and exercising discretion in the operation of the programme, including any changes in the programme specification;
- v) the ways in which academic standards are to be maintained;
- vi) the extent to which authority is delegated for the programme approval/collaboration and review of any programme offered in partnership with the University;
- vii) the procedures and responsibilities in connection with initial programme approval/collaboration, approval and subsequent monitoring and review of any programme, including providing for the implementation of changes required as a result of the programme approval/collaboration, review and monitoring of the programme concerned and the proficiency of staff engaged with the collaborative programme;
- viii) the University must determine the admission requirements for students admitted to the awards, the size of cohorts and it will monitor application of these requirements and information on student progression;
- ix) the procedures and responsibilities in respect of programme management, designated points of contact and communication channels and monitoring, including specifying the ways in which those are to be assigned between the University and the partner institution(s) or organisation(s).
- x) the arrangements for the teaching and assessment of students;
- xi) the procedures for determining the financial arrangements and the provision of physical and human resources and facilities;
- xii) the allocation between the University and the collaborative partner of responsibilities for the administrative arrangements, including student recruitment, registration and enrolment, the location and general welfare of students, decisions on student progression and assessment, the appointment, role, briefing and remuneration of external examiners, graduation, issue of certificates and transcripts, publicity material and intellectual property considerations;
- xiii) the procedures for resolving any differences which might arise between the University and the collaborative partner. Provision to enable the University to suspend or withdraw from the agreement if

- the partner organisation fails to fulfil its obligations. The residual obligations to students on termination of the agreement;
- xiv) the duration of the agreement and review arrangements.
  - xv) the information given to students or prospective students by the partner organisation should define clearly the relationship between the collaboration and outline their responsibilities.
  - xvi) the language of Teaching and Assessment.
- b) Where a programme leads to the conferment of an award by both institutions, whether the collaborative partner is in the United Kingdom or overseas, the relationship between the award conferred by the University and that conferred by the collaborative partner, shall be defined in the Collaborative Agreement (further details on Joint and Dual awards are detailed in Regulation 7).
  - c) Collaborative Agreements with other institutions/organisations must follow the University's template and can only be signed by the Director of Corporate Support.



12

# CODE OF DISCIPLINE FOR STUDENTS

## **Regulation 12 – Code of Discipline for Students**

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## 12 Code of Discipline for Students

### 12.1 General Introduction

This code applies to all enrolled students of the University and any student appealing a decision made under this code.

Where senior staff are identified as having authority and responsibilities under this code, it is expected that they will ensure a suitable deputy is nominated who can act on their behalf should the need arise.

#### 12.1.1 Students are expected:

- To maintain at all times a high standard of personal conduct in their relations with staff, other students and visitors to the University.
- To co-operate with all members of staff, including those responsible for the safety and security of the University and its community.
- To familiarise themselves with the provisions of all the University's regulations.

#### 12.1.2 International students should be aware that the outcome of disciplinary action could affect their existing permission to stay in the UK and, therefore, their ability to complete their programme of study under the terms of their current visa. The University is also required to report a change in a student's enrolment status to the UKVI where the student is subject to UK immigration legislation.

#### 12.1.3 Senate has adopted this Code of Discipline so that there is a proper mechanism, known to all students and accepted by them at enrolment each academic year, for dealing with cases of misconduct.

The essence of misconduct under this Code is, ~~improper interference~~, in the broadest sense, with;

- the proper functioning or activities of the University,
- those who work or study in the institution, or
- action which otherwise damages the University.

#### 12.1.4 In all proceedings under this Code, procedures will be conducted according to the principles of justice and fairness, but it will not be a requirement to follow procedural rules of evidence applicable in a court of law nor will any particular burden of proof be imposed.

#### 12.1.5 Where the University proposes to take action against a student under this Code the student is entitled to be treated fairly, in particular:

- To be given the opportunity, both orally and in writing, to respond to any charge or charges laid against him or her and to present evidence on his or her behalf.
- To have their case considered impartially by a member of staff or in

serious cases by a Disciplinary Committee, the members of which have no previous involvement in the matters forming the basis for the charge or charges.

- To appeal (within the limits set out in this Code) to the Senate Appeals Committee, via the appropriate appeals form, on grounds set out in Regulation 13.3.

12.1.6 In this Code the following will be the meanings of expressions used:

- Working Day - This will mean Monday to Friday inclusive, excluding public and University holidays.
- Secretary of the Senate Disciplinary Committee - This will be members of the senior administrative staff assigned this duty by the Director of Student Life.

## **12.2 Definitions of Misconduct**

12.2.1 The University recognises two categories of misconduct - Academic and Non-academic misconduct. Appendix A identifies what would constitute misconduct (the list is intended to provide examples only and will not prevent other acts or behaviour from being considered as misconduct).

12.2.2 Any student who assists a fellow student, or student(s), to commit misconduct shall be deemed to have committed misconduct and will be dealt with in accordance with this Code.

12.2.3 Students on certain professionally registered programmes are subject to the University's Fitness to Practice policy and procedures. A Dean of School may decide initially to consider any incident of alleged misconduct which may have a bearing on a student's fitness to practice, or which raise questions about their suitability to be placed on a professional register after qualification, under the University's Fitness to Practice policy.

The Regulations will take precedence over the Fitness to Practice Policy.

## **12.3 Student suspension**

12.3.1 A student who is the subject of an allegation of misconduct and/or against whom a criminal charge is pending and/or who is the subject of police investigation, may be suspended by the Secretary to Senate, their Dean of School (or named nominee) or the Chief Operating Officer pending the outcome of a disciplinary meeting, hearing or trial, or the outcome of the police investigation, as appropriate.

The University appreciates the significant impact this may have on a student's progression or, in the case of international students, on their visa status, but the protection of the University or individuals will take priority.

12.3.2 The suspension of a student may involve:

- A total prohibition on attendance at, or access to, the University and/or its resources and facilities, and on any participation in University or

- Students' Association activities; or
- A selective restriction on attendance at, or access to, the University and/or its resources and facilities, and on any participation in University or Students' Association activities; it may also be subject to qualification, such as permission to attend for the purpose of an examination.

The student will be notified in writing of the suspension. The notification will specify the activities from which the student is suspended.

- 12.3.3 An order of suspension or exclusion may include a requirement that the student should have no contact of any kind with a named person or persons.
- 12.3.4 In taking a decision to suspend a student's studies, it is important to note the requirement to report a change in a student's enrolment status to the UKVI where the student is subject to UK immigration legislation.
- 12.3.5 When a student is suspended, the Authorised Officer who suspended the student (see Reg 12.3.1) will convene and chair an initial 'Suspension Review Committee' to review the suspension. The membership of the committee will be determined by the Chair. Subsequent meetings of the Suspension Review Committee will be convened by the Authorised Officer.
- 12.3.6 The Authorised Officer who suspended the student will ensure that the Suspension Review Committee meets on a regular basis to review the suspension. The Committee will also meet on receipt of evidence from the student on altered circumstances
- 12.3.7 The student will have the right to provide written representation to this committee.

#### **12.4 Misconduct also constituting a criminal offence**

- 12.4.1 Where a matter reported for action under this Code may also constitute an offence under the criminal law, the Chief Operating Officer should immediately be notified.

The Chief Operating Officer will then determine how the case will be dealt with under this Code after taking advice from appropriate officers in the University. If the student has been suspended under Reg 12.3.1, this determination should be communicated to the Authorised Officer who suspended the student.

- 12.4.2 For a misconduct case which has also involved a criminal investigation by the police, once the due legal process has been completed, the Suspension Review Committee will decide whether disciplinary action under this Code should be taken in the interests of the well-being and discipline of the University community.

Where a finding of misconduct is made under this Code and the student has also been sentenced by a criminal court in respect of the same facts, the

court's penalty will be taken into consideration in determining the penalty under this Code.

## 12.5 Authorised Officers

- 12.5.1 Allegations of misconduct may be reported by a member of University staff, a student, an external examiner, a member of the public or, where a student is on placement or an exchange, by the host institution. The person in receipt of the report must pass on details to the appropriate Authorised Officer.
- 12.5.2 For alleged misconduct by a UWS Registered student occurring within any area of activity of a Partner Institution, this should be reported to the designated Authorised Officer who will act as the first point of contact for all Academic and non-Academic areas of misconduct.
- 12.5.3 The members of staff listed below are the Authorised Officers able to refer a case to the Senate Disciplinary Committee.

Area	Authorised Officer	Details
<b>Academic areas</b>	Dean of School	For alleged misconduct occurring within academic areas of activity within the precincts of all UWS campuses, the relevant Dean of School is the named Authorised Officer.

Area	Authorised Officer	Details
<b>Academic plagiarism</b>	Chair of a School Plagiarism Panel	In the case of alleged collusion or plagiarism in assessed coursework, the Chair of a School Plagiarism Panel is the named Authorised Officer.
<b>Professional fitness to practice</b>	See University Policy for addressing professional issues related to Conduct, Competence and Fitness to Practice	The University has a policy which determines the arrangements and sanctions in place in relation to Fitness to Practice for professional awards. The requirements in relation to Fitness to Practice must be made clear to students within programme handbooks. Where there is an alleged misconduct which is also a Fitness to Practice issue, then the Policy will be followed.
<b>Non Academic areas</b>	Chief Operating Officer	The Chief Operating Officer is the Authorised Officer for alleged misconduct occurring in, or relating to: <ul style="list-style-type: none"> <li>• The exams.</li> <li>• The Library.</li> <li>• The use of University IT laboratories, IT open Access Areas, the computer network (including breach of the Code of Conduct for the Use of Software and Datasets and the Acceptable Use Policy)</li> <li>• The residential accommodation.</li> <li>• Any activity elsewhere on University premises</li> </ul>

		not covered by this Code.
<b>Outwith the University</b>	Chief Operating Officer	For misconduct outwith university or partner premises which might bring the University into disrepute or for behaviour deemed unacceptable.
<b>Students' Union</b>	Chair of the Students' Association Disciplinary Committee	For alleged misconduct occurring in or relating to the use of Students' Union Premises or any other area under the general control or direction of the Students' Association, the relevant Chair of the Students' Association Disciplinary Committee or the Senior Student Representative, is the named Authorised Officer.
<b>Partner Institution</b>	Senior member of staff at the institution	For alleged misconduct of a UWS student studying at a Partner Institution, there will be a designated Authorised Officer (and deputy) who will act as the first point of contact for all Academic and non-Academic areas of misconduct.  They will liaise with the Appeals and Academic Conduct Office in terms of deciding how to deal with any alleged misconduct.

## 12.6 Disciplinary action by the Secretary to Senate, a Dean of School or the Chief Operating Officer

On receipt of a notification from a member of staff, student or member of the public of an alleged misconduct of a UWS student, the Authorised Officer will:

- a) Decide if the alleged misconduct is serious. If the misconduct is serious the Secretary to Senate, a Dean of School or the Chief Operating Officer may decide to suspend the student (see *Regulation 12.3*).
- b) The Secretary to Senate, Dean of School or Chief Operating Officer will select a School or Professional Support Department member of staff to act as an Investigating Officer for the alleged misconduct case. This investigator will prepare a report of the alleged misconduct and present the report to the Secretary to Senate, Dean or Chief Operating Officer.
- c) If the alleged student misconduct is also part of a criminal investigation the student may be suspended (*in line with Regulation 12.3*). The Authorised Officer will normally delay the decision on how to proceed with any disciplinary case until the criminal investigation is concluded.
- d) If the student is not suspended then on receiving the report from the Investigating Officer the Secretary to Senate, Dean or Chief Operating Officer will either:
  - Refer the case to the Senate Disciplinary Committee for action under Regulation 12.7;
  - Take no further action under this Code. Such a ruling however will not prevent informal action being taken if appropriate.

The student will be informed of the decision by the Authorised Officer.

## 12.7 The Senate Disciplinary Committee

- 12.7.1 The Senate Disciplinary Committee will have the constitution, terms of reference and standing orders prescribed in University Regulation 14.
- 12.7.2 Where a matter of alleged misconduct has been referred to the Senate Disciplinary Committee the procedures noted in Appendix B will be followed.
- 12.7.3 When determining a proportionate penalty, the Senate Disciplinary Committee will consider the scale and severity of the misconduct and any extenuating circumstances.
- 12.7.4 The following penalties may be imposed by the Senate Disciplinary Committee if misconduct is found to have taken place:

Penalty	Detail
<b>Reprimand</b>	<ul style="list-style-type: none"> <li>• The student can receive a reprimand in the form of an official letter, warning them of the consequences of similar future behaviour.</li> <li>• If applicable, a student can also be required to write a formal letter of apology for their behaviour. If the student refuses to apologise for their behaviour, the Senate Disciplinary Committee will have the power to determine an alternative appropriate penalty (see below).</li> </ul>
<b>Failure of component of assessment or whole module, without loss of attempt</b>	<ul style="list-style-type: none"> <li>• If academic misconduct is found, it is at the discretion of the Committee to decide whether a component(s) of a module or the whole module is failed, and whether there should be loss of attempt.</li> <li>• If this penalty were applied, the academic result for the individual component of assessment, or module, affected by the academic misconduct would be reduced to zero and the student would not lose an assessment attempt.</li> </ul>
<b>Failure of component of assessment or whole module, with loss of attempt</b>	<ul style="list-style-type: none"> <li>• If academic misconduct is found, it is at the discretion of the Committee to decide whether a component(s) of a module or the whole module is failed, and whether there should be loss of attempt.</li> <li>• If this penalty were applied, the academic result for the individual component of assessment, or module, affected by the academic misconduct would be reduced to zero and the student would lose an assessment attempt. The student may be permitted the remaining re-assessment opportunities which would normally apply to that component of assessment or module.</li> <li>• If the above results in a third and final attempt (Undergraduate) or second and final attempt (Postgraduate) failure of the module in question, the student will have no further attempts at the module and may not be permitted to repeat the module.</li> </ul>
<b>Suspension for a specified period</b>	<ul style="list-style-type: none"> <li>• The student can be suspended from attending the University or Partner Institution for a period not exceeding one academic session.</li> </ul>

<b>Expulsion</b>	<ul style="list-style-type: none"><li>• The student can be expelled from the University with immediate effect.</li><li>• It is expected that this penalty will be automatic in the case of a second proven case of misconduct, where both cases have been classified as academic misconduct, or both classified as non-academic misconduct.</li><li>• This penalty may include a request permanently to deny the student any future rights of application and enrolment to the University.</li><li>• Where expulsion is imposed on an international student, the University shall report this decision to the UKVI.</li></ul>
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12.7.5 In addition to the penalties noted above, a student can be requested to pay compensation for damage done to the University, Partner Institution or private property, within or out-with the University or Partner Institution premises, without financial limit, to be paid to the Chief Finance Officer.

#### **12.8   Appealing a decision from the Senate Disciplinary Committee**

A student can appeal the decision and/or penalty of the Senate Disciplinary Committee to the Senate Appeal Committee. Details on the appeals process are noted in Regulation 13.

#### **12.9   Records and Publication**

The Secretary to the Senate Disciplinary Committee will keep a record of disciplinary action taken. All correspondence and notes will be copied to the Appeals and Academic Conduct Office for information and may be disclosed if a reference is requested from the University.

## **Appendix A - Examples of misconduct**

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The University recognises two categories of misconduct - Academic and Non-academic misconduct. The list below illustrates what would constitute misconduct (the list is intended to be demonstrative only and will in no way limit or restrict the jurisdiction of the disciplinary process):

### A.1 Academic Misconduct

Academic misconduct is defined as any attempt by a student(s) to effect an unfair advantage in any assessment, and may include (though is not limited to):

- a) Plagiarism - Plagiarism is defined in Regulation 7.11.3
- b) Cheating - Cheating is defined in Regulation 7.11.1
- c) Falsification or fabrication of data - This is defined as the misrepresentation of the results of experimental work or the presentation of fictitious results.
- d) Collusion - This is defined as two or more students working together, without the prior authorisation of the Programme Leader, lecturer or supervisor, to produce the same piece of work, and then attempting to present this work as their own.
- e) Bribery - This is defined as the paying, offering or attempted exchange of an inducement for information or material intended to advantage the recipient in an assessment.
- f) Personation - This is defined as a substitute taking the place of a student in an examination, preparing coursework for assessment on behalf of another student, or submitting coursework for assessment that has been prepared by someone other than the student to whom the resulting grade would be attributed.

### A.2 Non-Academic Misconduct

An allegation of non-academic misconduct concerning a student's conduct as an enrolled student of the University, may refer to any actions or activities engaged in, or services and facilities enjoyed, as a student of the University, or in the vicinity of any premises owned, leased or managed by the University.

Non-academic misconduct may involve conduct relating to (though not limited to) the following:

- a) Breaches of stated instructions - Conduct involving breaches of stated instructions or regulations issued by the University, associated professional, statutory and/or regulatory bodies, or by authorised members of the University, that prejudice the orderly working of the University and/or contravene the requirements of associated professional, statutory and/or regulatory bodies.

This would also apply to the failure of a student to disclose their name and other relevant details to an officer or employee of the University in circumstances when it is reasonable to require that such information be given.

- c) Bringing the University into disrepute - Conduct that brings or could bring, the reputation of the University, or associated professional, statutory and/or regulatory bodies, into disrepute. Behaviour which brings the University into

disrepute, but not including any behaviour which constitutes the exercise within the law of free expression or academic freedom and is not otherwise included in Appendix A.

- d) **Damage to university property** - Damage to, or defacement of, University property or the property of other members of the University community, or property of third parties, when engaged in University activities, caused intentionally or recklessly, and misappropriation of such property. This will also include the unauthorised occupation of University land or premises.
- e) **Inappropriate Conduct** - Conduct including (though not limited to):
  - (i) Conduct that endangers the safety or well-being of others. This includes any action likely to cause injury or impair safety on University premises, or in the course of any University activity outwith University premises.
  - (ii) Assault of or threatening behaviour towards any student(s) or member(s) of staff of the University.
  - (iii) Violent, indecent, disorderly, threatening or offensive behaviour or language (whether expressed orally or in writing, including electronically) whilst on University premises or engaged in any University activity, including the use of University IT systems while off campus.
  - (iv) Discrimination against or harassment of any student, member of staff or other employee of the University or any authorised visitor to the University on grounds that are protected under current equality legislation and other laws.
  - (v) Obstruction of, or improper interference with, the functions, duties or activities of any student, member of staff or other employee of the University or any authorised visitor to the University.
  - (vi) Disruption of, or improper interference with, the academic, administrative, sporting, social or other activities of the University, whether on University premises or elsewhere.
  - (vii) Behaviour which interferes with the legitimate freedom of speech, ideas, actions or enquiry of a student(s) or member(s) of staff or which disrupts or interferes with University processes or procedures.
  - (viii) Misappropriation or misuse of University funds or assets. This includes fraud, deceit, deception or dishonesty in relation to the University or its staff or in connection with holding any office in the University or in relation to being a student of the University.

- (ix) Attempts to subvert University processes or procedures by means of false claims or fraudulent documents.
- (x) Any misconduct which falls within the 'Unacceptable Use of IT' as noted in the University's IT Acceptable Use Policy.
- (xi) Distributing or publishing material, electronically or otherwise, which is offensive, intimidating, threatening, indecent or illegal or makes them fearful, anxious or apprehensive.
- (xii) Failure to disclose any criminal charges or convictions.
- (xiii) Possession, use, abuse or touting of controlled substances.
- (xiv) Conduct which constitutes a criminal misconduct where that conduct:
  - took place on University premises, or
  - affected or concerned other members of the University community, or
  - damages the good name of the University, or
  - itself constitutes misconduct within the terms of this Code, or
  - is a misconduct of dishonesty, where the student holds an office of responsibility in the University, or
  - where that conduct brings into question issues of professional practice.
- (xv) Failure to comply with a previously-imposed penalty under this Code.

## Appendix B - Procedures for each stage of the Disciplinary process

<b>Procedure</b>	<b>Senate Disciplinary Committee</b>
<b>Informing the student(s)</b>	<ul style="list-style-type: none"> <li>In cases where the alleged misconduct involves more than one student, the Senate Disciplinary Committee may deal with all, or any, of the cases at the same time.</li> <li>The student will be given at least 10 working days' notice by e-mail (UWS student email account) of the date and time at which the matter will be dealt with by the Senate Disciplinary Committee and will be required to confirm attendance in writing a minimum of 5 Working Days before the date set for the meeting.</li> </ul>
<b>Location of the meeting</b>	<ul style="list-style-type: none"> <li>The meeting of the Senate Disciplinary Committee will usually be held at one of the University's Scottish campuses.</li> <li>Where a student is unable to attend a particular campus, a video link may be established to enable the student to discuss the case with the Committee.</li> </ul>
<b>Prior to the meeting</b>	<ul style="list-style-type: none"> <li>If a student has any additional support requirements, the student should arrange additional suitable representation at the meeting, e.g. arranging a Signer if they have hearing problems.</li> <li>The student should inform the Secretary to the Senate Disciplinary Committee at least 5 Working Days before the meeting of the name and status of any representative, or witnesses who will be present.</li> <li>If the matters giving rise to the alleged misconduct involves consideration of any document or documents, the student will have the opportunity to inspect the document prior to the meeting<sup>1</sup>.</li> <li>If a student wishes to present any documents at the meeting they should ensure that copies of the documents are sent to the Secretary to the Senate Disciplinary Committee at least 5 days prior to the hearing.</li> </ul>
<b>Notes of the meeting</b>	<ul style="list-style-type: none"> <li>The Secretary to the Senate Disciplinary Committee will produce a summary of the proceedings but not otherwise take part in the meeting.</li> </ul>
<b>Staff attending the meeting</b>	<ul style="list-style-type: none"> <li>The University's case against the student will be presented by the relevant Investigating Officer, or their nominee - hereafter referred to as the University's representative.</li> <li>The Senate Disciplinary Committee has the right to invite any relevant internal/external staff or witnesses to attend the meeting if it is believed their input could aid deliberations.</li> </ul>

<sup>1</sup> Personal information, including (for the avoidance of doubt) the names, addresses, and registration numbers of any other students mentioned in the document or documents will not be disclosed in compliance with provisions in current legislation.

<b>Procedure</b>	<b>Senate Disciplinary Committee</b>
<b>Student attending the meeting</b>	<ul style="list-style-type: none"> <li>A student will be entitled to be accompanied by one person: <ul style="list-style-type: none"> <li>a friend,</li> <li>a relative,</li> <li>a sabbatical officer or student representative or advice worker from the Students' Association.</li> </ul> </li> </ul> <p>This person should not be a legal representative.</p> <ul style="list-style-type: none"> <li>Failure by the student to attend at the time and place specified by the Senate Disciplinary Committee will not prevent the Committee from considering the matter and reaching a decision.</li> </ul>
<b>Hearing the case</b>	<ul style="list-style-type: none"> <li>The University's representative and the student may present such written or oral evidence in support of their case as they wish.</li> <li>The University's representative and the student may question any of the witnesses present at the hearing.</li> <li>Any member of the Senate Disciplinary Committee will have the right to question the student, the student representative, any witness called by the student or the University representative in order to seek clarification.</li> </ul>
<b>Reaching a decision</b>	<ul style="list-style-type: none"> <li>The Senate Disciplinary Committee will consider the case and the evidence presented and reach its decision in private.</li> <li>The Senate Disciplinary Committee will decide whether the misconduct is proven or not proven.</li> </ul>
<b>Penalty</b>	<ul style="list-style-type: none"> <li>If the misconduct is proven the Disciplinary Committee can impose a penalty on the student as detailed in 12.7.4</li> </ul>
<b>Communicating the decision</b>	<ul style="list-style-type: none"> <li>The decision of the Senate Disciplinary Committee and any imposed penalty: <ul style="list-style-type: none"> <li>May be communicated to the student by the Chair (or Vice Chair of the committee) at the meeting, giving reasons for the decision.</li> <li>Will be communicated to the student by the Secretary to the Senate Disciplinary Committee by e-mail within 5 Working Days after the meeting.</li> </ul> </li> <li>The notice communicating the decision and any imposed penalty will give reasons for the decision.</li> <li>The student will be advised of the right of appeal to the Senate Appeal Committee.</li> <li>The decision and any imposed penalty, will also be reported to the Subject Panel Chair and/or Progression and Award Board Chair.</li> <li>Student Administration may at the request of the Subject Panel/PAB Chair be required to alter the student's record to reflect the impact of the Senate Disciplinary Committee's decision on the academic decision made at the Subject Panel and/or Progression and Award Board.</li> </ul>



## **Regulation 13 – Student Appeals**

<b>13.1 Principles of Academic Appeals</b>	<b>143</b>
<b>13.2 Advice</b>	<b>143</b>
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## 13 Student Appeals

### 13.1 Principles of academic appeals

- 13.1.1 An academic appeal is defined as a request to review a decision of an academic body charged with decisions on student engagement, assessment, progression, awards and student disciplinary cases.
- 13.1.2 Regulation 13 covers the regulations related to an academic appeal made by a student against a decision of:
- The Senate Disciplinary Committee
  - A Fitness to Practice Committee
  - Research examiners
  - A Subject Panel (SP)
  - A Progression & Awards Board (PAB)
  - A School Panel (for engagement/attendance)
  - A Plagiarism Panel
- 13.1.3 An academic appeal may be made only by the individual directly affected; they may NOT be lodged by a third party such as a parent or other representative. The only exception to this would be a student with disabilities which prevents them from submitting the appeal independently.
- 13.1.4 The privacy and confidentiality of a student will be respected at all stages of the appeals process. The circulation of personal or medical evidence provided by a student submitting an appeal will be restricted to staff directly involved in the appeal decision process.
- 13.1.5 Where an academic appeal also contains within it a complaint and vice versa, it is possible for the appeal or complaint to be reclassified either by the student or the University (at whatever stage they may have reached) and processed under the most relevant regulation or procedure if this is likely to lead to a more appropriate outcome for the person(s) appealing or complaining.

### 13.2 Advice

Any student intending to lodge an appeal against a decision of one of the committees or panels noted in 13.1.2 in accordance with these regulations will, without prejudice, be able to obtain appropriate advice and counselling within the University. In particular, a student can seek information from Student Link / Hub or the Students' Association.

### 13.3 Grounds for an Appeal

13.3.1 A student can appeal a decision and/or penalty from:

- The Senate Disciplinary Committee
- A Fitness to Practice Committee
- A Plagiarism Panel

on the following grounds:

<b>Grounds for an appeal</b>	<b>Details</b>
<b>New evidence</b>	<ul style="list-style-type: none"> <li>• There is new substantial information directly relevant to the case, which was for good reason not available when the original decision was made.</li> </ul>
<b>Excess of jurisdiction</b>	<ul style="list-style-type: none"> <li>• The decision was made in excess of the jurisdiction conferred on one of the committees/panel noted in Reg. 13.3.1</li> </ul>
<b>Defect in procedures</b>	<ul style="list-style-type: none"> <li>• There was a defect in the procedures employed by one of the committees/panel noted in Reg. 13.3.1 such as to render the decision unfair.</li> </ul>
<b>Unreasonable decision</b>	<ul style="list-style-type: none"> <li>• The decision made by one of the committees/panel noted in Reg. 13.3.1 was unreasonable, in that the committee/panel in reaching a decision took into consideration something which they ought to have disregarded or disregarded something which they ought to have considered.</li> </ul>
<b>Excessive or unreasonable penalty</b>	<ul style="list-style-type: none"> <li>• The penalty levied by one of the committees/panel noted in Reg. 13.3.1 was excessive or unreasonable.</li> </ul>

13.3.2 A student can appeal a decision of a Subject Panel (SP) or Progression & Awards Board (PAB) on the following grounds:

<b>Grounds for an appeal</b>	<b>Details</b>
<b>Defect in procedures</b>	<ul style="list-style-type: none"> <li>• There is evidence that there has been a computational or administrative error in the recording or processing of their marks.</li> <li>• An examination or assessment related to the decision was not conducted in accordance with the University's recognised procedures.</li> </ul>
<b>New evidence</b>	<ul style="list-style-type: none"> <li>• In line with Regulation 7.7.4, a student can, exceptionally, submit a 'late Extenuating Circumstances Statement (ECS) claim' through the appeals route. However, the student must cite legitimate reason for not having submitted an ECS on time and provide new evidence to support the appeal.</li> </ul>

The following will NOT be considered grounds for an appeal against a decision of an SP or PAB:

- A student questions the academic or professional judgement of the examiners.

- A student is disappointed with a result where marks have been accurately recorded, assessment regulations correctly followed and there is no evidence of material irregularity

An academic appeal may NOT be lodged against a 'Defer' decision of an SP or a 'Defer Chair' decision of a PAB since this is not a final decision on progress or status.

**13.3.3 A student can appeal a decision from Research Degree Examiners on the following grounds:**

Grounds for an appeal	Details
<b>New evidence</b>	<ul style="list-style-type: none"> <li>• There were circumstances, such as illness or other factors, adversely affecting the candidate's performance of which the examiners were unaware at the oral examination and which the candidate was unable, or for valid reasons unwilling, to divulge before the examiners reached their decision. The candidate's appeal must be supported by relevant documentary evidence.</li> </ul>
<b>Defect in procedures</b>	<ul style="list-style-type: none"> <li>• There is evidence of administrative, procedural or other irregularity in the conduct of the examination of such a nature as to cause doubt as to whether the result might have been different had there not been such irregularity.</li> </ul>

The following will NOT be considered grounds for an appeal against a decision of research examiners:

- Any complaint or grievance made by the candidate for alleged inadequacy in the supervision or other arrangements during the period of registration shall not constitute grounds for appeal, since procedures exist for such complaints and grievances which should be instigated during the period of registration and before submission.
- Any disagreement with the academic judgement of the examiners in assessing the merits of the thesis and the programme of supervised research, or in reaching any assessment decision based on the candidate's performance in the oral or approved alternative form of examination.

**13.3.4 A student can appeal a decision of a School Panel to remove them from a module or programme for non-engagement on the following grounds:**

Grounds for an appeal	Details
<b>New evidence</b>	<ul style="list-style-type: none"> <li>• They can provide additional extenuating circumstance information which was not originally available to the School Panel.</li> </ul> <p>Where a student could have reported this additional information to the School Panel prior to its meeting, the mitigating circumstances cannot then be cited as grounds for appeal unless there is a compelling reason why these were not disclosed in the first instance.</p>
<b>Defect in procedures</b>	<ul style="list-style-type: none"> <li>• There is evidence of a procedural irregularity in relation to the implementation of the University's Student Engagement Policy.</li> </ul>

The following will NOT be considered grounds for appeal against a decision of a School Panel:

- A student has not achieved the minimum level of attendance and engagement set out in the University's Student Engagement Policy and the student cannot provide extenuating circumstances evidence.
- A student has not responded to any of the University's attempts to contact them regarding poor attendance, as set out in the University's Student Engagement Policy.

### **13.4 Submission of an Appeal**

13.4.1 A student must submit their academic appeal in writing on the relevant form within 10 working days from the notification date which informed them of the decision against which they are appealing. The form can be obtained on-line at <http://www.uws.ac.uk/current-students/rights-and-regulations/academic-appeals/> or from the Student Link / Hub on any campus.

The student should complete the Appeal Form. They should indicate on the form:

- If they will be attending the Appeal meeting.
- If they are attending the Appeal meeting they should also give details of the name and status of any representative, or witnesses who will also attend.

The student should then submit the form to the Appeals and Academic Conduct Office including any evidence or documents supporting their appeal. Only documents submitted at this point can be referred to the Senate Appeals Committee, unless the Chair agrees to allow additional documentation in exceptional circumstances.

If the student is posting their appeal, it is advisable to get a Certificate of Posting at the Post Office.

A student can submit their appeal electronically to [appeals@uws.ac.uk](mailto:appeals@uws.ac.uk), scanning any supporting documentation.

13.4.2 The operation of any penalty decided by one of the committees/panel noted in Reg. 13.1.2 may be suspended pending the determination of the appeal. The student will be notified in writing if the penalty is to be suspended.

13.4.3 An academic appeal submitted in one trimester must relate to a decision from one of the committees/panel noted in Reg. 13.1.2 from the same or the previous trimester.

13.4.4 If a student fails to submit an academic appeal within the timescales noted in 13.4.1 and 13.4.3, the appeal may exceptionally be considered at a later date provided there are compelling reasons why it could not be submitted on time and these are detailed in full with supporting evidence at the time of submission.

13.4.5 An academic appeal may not be lodged after the conferment/receipt of a University award.

### **13.5 The Senate Appeals Committee**

The Senate Appeals Committee will have the constitution, terms of reference and standing orders set out in University Regulation 14.

Where an appeal has been referred to the Senate Appeals Committee the procedures noted in Appendix A will be followed:

### **13.6 Status of a Student during an Academic Appeal**

13.6.1 If a student submits an academic appeal part way through the level or year, they may be permitted to continue provisionally until such time as a decision has been reached. This is to ensure that the student is not academically disadvantaged if the appeal is subsequently upheld. Continued attendance on placements will be at the discretion of the relevant School.

13.6.2 If a student submits an academic appeal at the end of a level or year of study:

- a) The student may be permitted to enrol on the next level but only on a conditional basis. If their appeal is subsequently upheld, the student's enrolment would be confirmed. If their academic appeal is not upheld the student's enrolment may be terminated immediately.
- b) The only exception to (a) is where a student is progressing from Level 9 to Level 10 (Honours) where progression with credit deficit is not normally permitted. In these cases, the assessment regulation specifying progression to Level 10 will take precedence over the appeal regulation.

If under these circumstances a student continues with their studies they will be informed that, pending the outcome of any appeal, they may be required to withdraw from their programme or from the University.

13.6.3 If a student is deemed to be eligible for an award and they subsequently submit an appeal they will be permitted to graduate and to receive the award agreed by the appropriate Progression & Awards Board. If the student's appeal is successful and results in achieving a different award, they will be required to return any degree parchment before the new award is sent to them.

13.6.4 Once an award is conferred, either in person or in absentia, the student may not appeal against the award.

### **13.7 Records and Publication**

The Secretary to the Senate Appeals Committee will keep a record of all appeals.

### **13.8 The Scottish Public Services Ombudsman**

All students of The University of the West of Scotland are entitled to pursue a complaint through the Scottish Public Services Ombudsman where the complainant has exhausted the University's internal appeals procedures.

## Appendix A - Procedures for each stage of the Appeal process

<b>Procedure</b>	<b>Senate Appeals Committee</b>
<b>Informing the student(s)</b>	<ul style="list-style-type: none"> <li>A student will be given at least 10 Working Days' notice by e-mail (normally UWS student email account) to the address held on UWS's records, of the date and time at which their appeal will be dealt with by the Senate Appeals Committee.</li> </ul>
<b>Location of the meeting</b>	<ul style="list-style-type: none"> <li>The meeting of the Senate Appeals Committee will usually be held at one of the University's Scottish campuses.</li> <li>Where a student is unable to attend a particular campus, a video link may be established to enable the student to discuss the appeal with the Committee.</li> </ul>
<b>Additional support requirements</b>	<ul style="list-style-type: none"> <li>If a student is attending the Appeal meeting and they have any additional support requirements, they should arrange additional suitable representation at the meeting, e.g. arranging a Signer if they have hearing problems.</li> </ul>
<b>Notes of the meeting</b>	<ul style="list-style-type: none"> <li>The Secretary to the Senate Appeals Committee will produce a summary of the proceedings but not otherwise take part in the meeting.</li> </ul>
<b>Staff attending the meeting</b>	<ul style="list-style-type: none"> <li>The University will be represented by the Chair (or nominee) from the committee/panel which made the original decision which the student is appealing – this person will hereafter be referred to as the University's representative.</li> <li>The Senate Appeals Committee has the right to invite any relevant member of staff to attend the meeting if it is believed their input could aid deliberations.</li> </ul>
<b>Student attending the meeting</b>	<ul style="list-style-type: none"> <li>A student will be entitled to be accompanied by one person: <ul style="list-style-type: none"> <li>a friend,</li> <li>a relative,</li> <li>a student representative or advice worker from the Students' Association.</li> </ul> <p>The person should not be a legal representative unless this is approved by the Chair in advance of the meeting. This approval will be at the Chair's discretion based on the circumstances of the appeal and will take into account matters such as the seriousness of the alleged offence and potential penalty, the ability of the student to present his or her case and the procedural complexity of the case.</p> </li> <li>Failure by a student to attend at the time and place specified by the Senate Appeals Committee will not prevent the committee from considering the appeal and reaching a decision</li> </ul>
<b>Hearing the case</b>	<ul style="list-style-type: none"> <li>The Senate Appeals Committee will consider the appeal together with any submitted evidence, provided by the student or the University.</li> <li>The student may present such written or oral evidence in support of their case as he or she wishes. Written evidence must be supplied in advance along with the Appeal form- see 13.4.1.</li> <li>The University's representative may question the student or any witness called by the student.</li> <li>The student and student representative may question the University's</li> </ul>

	<p>representative or any witness called by the University's representative.</p> <ul style="list-style-type: none"> <li>Any member of the Senate Appeals Committee will have the right to question the student, the student representative, any witness called by the student or the University representative in order to seek clarification.</li> <li>In its sole discretion and in the interests of justice and fairness, the Senate Appeals Committee may hear evidence on the part of the student not given at a previous panel or committee.</li> </ul>
<b>Reaching a decision</b>	<ul style="list-style-type: none"> <li>The Senate Appeals Committee will consider the matter and reach its decision in private.</li> <li>The Senate Appeals Committee will decide whether to reject or uphold the appeal.</li> </ul>
<b>Conclusion</b>	<ul style="list-style-type: none"> <li>The Senate Appeals Committee may decide as follows:</li> </ul> <p><b>Appeal is rejected</b></p> <p>If an appeal is rejected then the existing decision and any penalty will be confirmed by the committee</p> <p><b>Appeal is upheld (or partly upheld)</b></p> <p>If an appeal is upheld or partially upheld then depending on what decision is being appealed, the Senate Appeals Committee can decide to do one of the following:</p> <ol style="list-style-type: none"> <li>Reverse the original decision and rescind any penalty previously imposed.</li> <li>If the appeal on the decision is rejected but the appeal on any penalty is upheld, review the level of penalty imposed and choose to reduce or rescind it.</li> <li>Refer the case back to the original committee/panel with a judgement that the original committee/panel should review their decision and/or penalty. The Senate Appeals Committee can provide a recommended decision/penalty.</li> <li>In the case of an appeal against a decision from examiners related to a research qualification, require that the examiners reconsider their decisions or that new examiners be appointed to re-assess the thesis and re-examine the candidate.</li> </ol> <p>It should be noted that the Senate Appeals Committee is not an examination board and does not have the authority to alter the decision of a Subject Panel or Progression and Awards Board, nor to recommend an academic award.</p>
<b>Communicate the decision</b>	<ul style="list-style-type: none"> <li>The decision of the Senate Appeals Committee and any effect on an existing decision and penalty: <ul style="list-style-type: none"> <li>May be communicated to the student by the Chair of the committee at the meeting, giving reasons for the committee's decision.</li> <li>Will be communicated to the student by the Secretary to the Senate Appeals Committee by e-mail within 5 Working Days of the meeting.</li> </ul> </li> <li>The notice communicating the decision and any effect on an existing penalty will give reasons for the decision.</li> <li>The decision of the Senate Appeals Committee will be final and will</li> </ul>

	<p>indicate the end of UWS processes.</p> <ul style="list-style-type: none"><li>• The student will be advised of the right of appeal to the Scottish Public Services Ombudsman.</li><li>• The decision and any effect on an existing penalty or award will also be reported to the Chair of the committee/panel which the appeal was against.</li><li>• Depending on the decision and any change to a penalty or award, Student Administration may be required to alter the student's record.</li><li>• All correspondence should be copied to the Appeals and Academic Conduct Office.</li></ul>
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**2017/18 Regulatory Framework - proposed changes from 2016/17 Edition**

<b>Regulation 1 – Introduction – No change</b>	
<b>Regulation 2 – Powers</b>	
2.2.2c	Delete fellowships
2.2.2d	Minor revision in relation to revocation of academic and honorary awards and distinctions.
<b>Regulation 3 – Regulations for the Award of Certificates, Diplomas, Degrees, Postgraduate Awards and other Academic Distinctions</b>	
3.1.2	Addition of text for Degree Assessment Boards (DABs)
3.3.1 – 3.3.2, 3.4.3-3.4.6	Streamlining of qualification award titles for Bachelor and Master awards. Addition of reference to professional practice or placement in relation to normal length of study. Addition of credit and level for Integrated Masters. MBA and MEd no longer described separately.
<b>Regulation 4 – Regulations for Programme and Module Approval, Monitoring, &amp; Subject Health Review</b>	
4.2.7b) &c)	Academic Planning Group/VCEG references replaced by University Leadership Team
4.2.7c)	Minor amendments to titles and procedures
<b>Regulation 5 - Regulations for Programmes of Study leading to the University's Taught Academic Awards</b>	
5.1.7g)	Deleted – duplicates 5.1.10
5.2.1 ADDED	UWS awards and SCQF credit rating <i>## Where students have been admitted with prior learning (Reg 6.8.1), minor differences in credit points (up to 5 credits) will be tolerated. There are specific arrangements for the treatment of 96 credit HNCs – see Reg 6.8.1b ii)</i>
5.2.16d) 5.2.17d) 5.2.18c)	Academic Planning Group changed to Collaborative Forum for scrutiny and approval.
5.3.8	School Panel on Engagement – added 'or nominee' in relation to Dean
<b>Regulation 6 - Regulations for the Admission of Students</b>	
6.6.1d)	Delete reference to BEd and PGDE
6.6.1	<u>Entry Qualifications: First Language</u> Delete International Pathway Centre programmes Add reference to research degree applicants – see 6.6.3
6.6.2	Delete reference to International Pathway Centre programmes
6.6.3 NEW	Applicants for research and doctoral programmes must have IELTS

	comparable score of 6.5 or above (minimum of 6.0 in each component). To be implemented for new applicants from 230317.
6.7.1	<u>Recognition of Prior Learning (RPL)</u> Minor amendment to wording
6.7.4	<u>Recognition for Credit</u> New paragraph which includes reference to double counting of credit.
6.8.1b)	<u>Admission with Prior Learning</u> Amendment in relation to 96 credit HNC. Further clarification on transition support module and recording of credit.

**Regulation 7 - Regulations for the Assessment of Students on Taught Programmes**

7.1.2	<u>Equity of Assessment</u> Minor revisions to wording re mode of delivery.
7.3.2	<u>Pass-module</u> Reference to SCQF level 12 added
7.3.5	New text in relation to progression to Masters.
7.4.2	<u>Marking and grading scheme</u> Reference to Grade Point scale which will be used to calculate a grade point average (GPA) being extended to SCQF level 8 for session 2017/18.
7.5.2a)	<u>Classification of Honours and Distinction</u> Clarification added relation to continuing students and 65% threshold for distinction.
7.5.2b)	NEW – <u>Pass/fail</u> grades will be excluded from calculation of distinction. No more than 40 credits may be excluded from the calculation of distinction where Pass/Fail grades form part of the programme. Distinction will be based on 80 remaining credits for degree award or PgD, or on 140 credits for Masters.
7.8.3	Delete guidance note in relation to continuing students and increase to PG pass mark.
7.9	<u>Eligibility to act as Examiner or moderator</u> Head of Student administration to be notified – previously Director of Corporate Support.
7.11.3	<u>Cheating and Plagiarism</u> Addition of reference to essay writing services
7.11.4h)	<u>Plagiarism</u> Clarification added - capped marks arising from plagiarism panel decisions will be carried forward in subsequent attempts at assessment. Delete reference to 1 <sup>st</sup> class post
7.11.4i)	
7.12.1a)	<u>Added – Degree Assessment Boards</u>
7.12.4b)xi)	<u>Criteria for the appointment of External Examiners</u> Delete reference to retirees.
Appendix 1 viii) xv)	<u>Student Conduct in an Examination</u> Addition – electronic dictionaries are not permitted in any examination. Addition - guidance on examinations undertaken on a computer.
Appendix 2	Registry replaced by Student Administration

**Regulation 8 - Regulations for Research Degrees**

Comprehensive review of whole regulation. New numbering throughout	<p><b>Key amendments</b></p> <p>8.2.1b) 1<sup>st</sup> or 2<sup>nd</sup> class Hons degree <b>is</b> minimum requirement – replaces <b>normally</b></p> <p>8.2.2 alumni and staff from partner organisations can apply for PhD by publication – previously UWS staff only.</p> <p><b>NEW</b> English language requirements increased from 6.0 to 6.5 for research degree candidates – for implementation from 230317 – Senate recommendation.</p> <p>8.2.3b) &amp; c) All theses should be submitted in English and exceptionally, where they approval is given for it not to be in English, the abstract should be in English.</p> <p>8.2.4 b) may not move between full and part time study <i>in final year of study</i></p> <p>8.2.6 delete ‘normally’ in relation to normal and maximum periods of registration</p> <p>8.2.7 and 8.4.8 Authorised interruption – deleted’ not normally exceed two years...’</p> <p>8.3.2 Supervisory team – requirements for composition of team, not individual requirements</p> <p>8.3.3b) addition of Emeritus Professors’ eligibility as supervisors</p> <p>8.4.3 Added - RTUs are eligible for appointment as internal assessors</p> <p>8.4.7 (prev 8.4.4) role of GSB in relation to progression from taught to research only applies to D Prof, not DBA or EngD</p> <p>8.4.6b) outcomes of transfer event added</p> <p>8.4.8 addition of authorised interruption</p> <p>8.5.1 c) &amp; e) revised - ‘bound’ in relation to thesis replaced with ‘incorporated’ in light of changes to requirements for submission of bound theses following examination</p> <p>8.5.2. Added - requirement to submit thesis via Turnitin</p> <p>8.5.4k) PhD by publication – re-apply within 5 years - delete</p> <p>8.6.3e) &amp; f) addition of fit to sit and extenuating circumstances for examination viva</p> <p>8.6.4a) Added - RTUs may not be appointed as internal or external examiners</p> <p>8.6.5 Emeritus Professors may be appointed as chairperson</p> <p>8.6.6a) iv) clarification in relation to external examiners – should not have examined ‘within last three years’ in the School.</p> <p>8.7.1a Examiners’ reports to be submitted independently</p> <p>8.7.2 – revised and clarified -recommendations following examination including timescales</p> <p>8.7.6 – Aegrotat award -Deleted</p> <p>8.9.4 and Appendix 1 Submission of thesis – revised arrangements for submission and number of copies. Hard bound copies no longer required.</p>
<b>Regulation 9 - Regulations for Higher Doctorates</b>	
<b>9.6.1a)</b>	Clarification on University Court powers to award and revoke Honorary Doctorates.
<b>Procedures 3.2</b>	Revised to reflect that thesis no longer have to be presented in hard copy – see 8.9.4.

<b>Regulation 10 – Library Regulations</b>	
	Minor amendments throughout related to re-organisation and titles.
<b>10.3.6</b>	Removed text on limits on inter-library loans.
<b>10.3.7</b>	Removed text on university staff requiring the opening of package, bag or receptacle to check for unauthorised removal of library material.
<b>10.5.1</b>	Removed text on food and drink posters and strict silence in silent study areas.
<b>Regulation 11 – Collaborative Provision</b>	
11.2f)	Revised in relation to role of Academic Planning Group and Collaborative Forum.
<b>Regulation 12 – Code of Discipline for Students</b>	
12.1.5	Revised reference to Senate Appeals Committee and grounds for appeal.
12.1.7	Secretary to Senate Disciplinary Committee appointed by Director of Student Life – previously Secretary to Senate.
12.3.1 and 12.3.5	<p><u>Student Suspension</u></p> <p>Dean (or named nominee) may suspend a student</p> <p>Amended – authorised officer will convene an initial ‘suspension review committee’, not Secretary to Senate</p> <p>The authorised officer will also convene subsequent meetings of the suspension review committee at appropriate intervals.</p>
12.4.1	<p><u>Misconduct also constituting a criminal offence</u></p> <p>To be reported to Chief Operating Officer, not Secretary to Senate</p> <p>Added – that authorised officer who suspended student is also notified.</p>
12.5.3	<p><u>Academic misconduct</u></p> <p>Dean is authorised officer for all campuses including, London</p> <p>Head of Student Administration is authorized officer for Exams.</p>
12.6a)	<p><u>Disciplinary action</u></p> <p>Authorised officer <u>may decide to</u> suspend student for serious allegation – previously it was <u>will suspend</u></p>
12.7.4	<p><u>New penalty added</u></p> <p>Failure of component of assessment or whole module <u>without</u> loss of attempt</p>
Appendix B procedures	<p>Delete notification by 1<sup>st</sup> class post – notification will be by student email account only.</p> <p>Addition of sabbatical officer or advice worker from Students’ Association to accompany student.</p> <p>Additional guidance on impact of Senate Disciplinary Committee penalty and decisions at Subject Panels and Progression and Awards Boards.</p>
<b>Regulation 13 – Student Appeals</b>	
13.3.2	<p><u>Grounds for appeal – new category added</u></p> <p>Addition of <b>new evidence</b> to support late Extenuating Circumstances</p>

	claim
13.6.1	<p><u>Status of a student during an academic appeal</u>            Addition of 'be permitted to' continue provisionally</p>
Appendix A procedures	<p>Delete notification by 1<sup>st</sup> class post – notification will be by student email account only.</p> <p>Addition of sabbatical officer or advice worker from Students' Association to accompany student.</p> <p>Added clarification that Senate Appeals committee does not have authority to alter the decision of a Subject panel or Progression and Awards Board.</p>
<b>Regulation 14 – Senate and its Committees</b>	
	Regulation 14 will be published separately.

