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Quality Enhancement  
Support Team  
(QuEST)  
Collaborative Provision  
Session 2019/20

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## **CHAPTER 9 COLLABORATIVE PROVISION**

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## 1 COLLABORATIVE PROVISION AT UWS

The key principle for collaboration at the University of the West of Scotland (UWS) is that collaborative arrangements should offer a comparable learning experience to students studying at a partner institution and should widen learning opportunities without prejudice to the standard of the award that is offered to students. This can be achieved via openness between both parties, compliance with regulations and procedures, and clearly defined roles and obligations of both parties to safeguard the standards of the award and protect the student experience.

There are a range of potential collaborative partnerships opportunities that can be explored. These include:

- 1) **Franchise Model**, which can include:
  - a) **Local delivery** of a UWS award/part of an award at another site with learning and assessment by staff of that organisation that are approved as Recognised Teachers of the University (RTU);
  - b) **Joint delivery** of a UWS award at another site with learning and assessment undertaken by staff of both institutions;
- 2) **Validated Model** - Validation of another institution's programme of study as a University of the West of Scotland award;
- 3) **Dual or Joint award** granted by one or more other awarding bodies;
- 4) **Collaborative Research Supervision** between UWS and another HE institution for MRes and PhD Research students registered at the University of the West of Scotland;
- 5) **Professional Development** – development of specialist programmes or short courses to provide various training and skills development opportunities.

**Transnational Education (TNE)** is the provision of education for students based in a country other than the one in which the awarding institution is located. All the opportunities identified above can be offered through TNE, which supports the UWS Corporate Strategy to deliver an academic portfolio that provides students with globally relevant skills which contribute to global reach.

For the purposes of this guidance, overseas partnerships which lead to streams of students coming to UWS to take its awards in Scotland are not considered collaborative and may be termed as articulation routes/Recognition of Prior Learning (RPL), albeit within the framework of common ambitions and agreement to work together.

### QAA UK Quality Code – Partnerships

The University has reviewed and embedded the expectations and practices as outlined in the QAA UK Quality Code for Higher Education, in particular the ['Partnerships' Chapter](#).

*From the Quality Code, "Providers work in partnership with a wide range of organisations, including awarding bodies, other education providers, non-academic providers (or those whose purpose is not primarily education) and employers. When doing so, awarding bodies retain responsibility for the academic standards of their awards and for the quality of the student experience."*

The UWS processes and approach to managing collaboration activity have been informed by the Quality Code and a primary core practice states:

*“Where a provider works in partnership with other organisations, it has in place effective arrangements to ensure that the standards of its awards are credible and secure irrespective of where or how courses are delivered or who delivers them.”*

The Partnership Chapter applies to the management of all learning opportunities leading or contributing to the award of academic credit or a qualification that are delivered, assessed or supported through an arrangement with one or more organisations other than the degree-awarding body. Teams will also find it helpful to review other relevant chapters of the Quality Code, such as the new '[Learning and Teaching Chapter](#)' and '[Student Engagement Chapter](#)' to ensure the provider actively engages students, individually and collectively in their educational experience.

If you have any questions or are about to embark on a collaborative development, please contact QuEST who can provide expert guidance and advice, or visit the [Collaboration pages on the QuEST site](#). All documents required for completion, which relate to Collaboration, are lodged within the **Collaborative Document Catalogue (Appendix 1)**. The **Collaborative Document Catalogue** was introduced in 2018/19, and will be supplemented as required.

## 2 DUE DILIGENCE PROCESSES

The University carries full responsibility for the assurance and control of the quality of any certificate, diploma or degree delivered (either in the UK or overseas) in its name. It is therefore imperative that adequate and appropriate due diligence is undertaken and that the financial, legal, academic and reputational risks of all proposals are adequately assessed in advance of commitments being made to proceed to partnership or the approval to offer awards collaboratively. It is the University's intention that the due diligence process will facilitate a positive engagement between both partners.

In line with the Partnerships Quality Code, guiding principles state that *“Due Diligence enquiries are completed and legally binding written agreements are signed prior to the commencement of student registration – due diligence enquiries are refreshed periodically and before agreements are renewed.”*

The due diligence process is outlined in the UWS due diligence procedure which can be accessed on the [Legal Services UWS intranet site](#). The Due Diligence Group (DDG) is responsible for signing off Due Diligence reports. The group meets as required to expedite responsive and timely decisions on proposals. The Due Diligence Group determines whether collaborative proposals should proceed, thereafter this feeds into the Partnerships and Collaborations Committee (PCC). Due Diligence is required for all new partners for all collaborative proposals, irrespective of the model (e.g. Franchise, Validated, Dual, Joint or Research). Other circumstances may also require Due Diligence consideration.

The University Secretary is the Chair of the Due Diligence Group. The Secretary to the Due Diligence Group is currently Janice Logan (Legal Services).

### 2.1. Two-Stage Due Diligence Process

A review of Due Diligence processes was recently undertaken; this was in tandem with a collaborative approvals review. The review resulted in a 2-stage Due Diligence process being developed for implementation from January 2019. This will continue for session 2019/20.

Two-Stage Due Diligence comprises:

- (i) Due Diligence Stage 1 (DDS1) - will consider **CreditSafe Report** and **3-Years Audited** accounts prior to any further exploratory work by a Partner. If accounts are not considered satisfactory, then this will cease any further work and effort with respect to the partner under discussion.  
Finance Business Partners (FBPs) will be kept informed and it will be the role of the FBP to trigger DDS1 by requesting the Audited Accounts and CreditSafe report from partners.  
DDS1 will require to be signed off by the CFO, providing recommendations where appropriate (PCC Part 1 form, section 6); and
- (ii) Due Diligence Stage 2 (DDS2) - to consider the **full due diligence elements** necessary once the decision had been made to explore further.  
In addition, for franchise, DDS2 considers the **location of an approval event**; i.e. whether this should be held at the Partner institution (for TNE In-Country) or at UWS In-House – DDS2 to consider this in consultation with Dean – risk dependent.  
Proposals which reach DDS2 will be considered by the Due Diligence Group (DDG).

This approach enables prospective partners to provide essential information at the initial stages and then, only once approval in principle/and satisfaction of DDS1 has been met, further details could be explored via the Site visit/PCC Stage 2.

The Legal team have updated Due Diligence guidance accordingly to incorporate a two-stage Due Diligence process and to introduce periodic Due Diligence, as well as other streamlining options.

An overview of Due Diligence procedures is illustrated in the following **Due Diligence Flowchart (CD2.1): (next page)**

# DUE DILIGENCE

DUE DILIGENCE STAGE 1 = DDS1  
 DUE DILIGENCE STAGE 2 = DDS2  
 PRE-COLLABORATIVE CHECKLIST  
 Part 2 = PCC Part 2

**Audited Accounts & CreditSafe Report considered**  
 Requested by International Centre/  
 Reviewed by Finance

**PROPOSED NEW COLLABORATIVE PARTNER**

**DDS1 – FINANCIALS**  
 Completed in tandem with PCC Part1  
 Financial Costings MUST be signed of by Chief Finance Officer (CFO).

**UNSUCCESSFUL DDS1**  
 No Partnership.  
 School contacts Proposed Partner

**SUCCESSFUL DDS1**  
 - Authorisation to proceed to PCC Part 2

**PCC Part 2 Completed / School Endorsement**  
 - Authorisation to proceed to DDS2

DD Range of Proformas -  
 Dependent on  
 Circumstances

**“Due Diligence Checklist” Completed (TNE Version) (CD2.3)**  
 Completed by SCHOOL. Risk Rating confirmed by Legal Services

**“Due Diligence Checklist” Completed (FE Version) (CD2.8)**  
 Completed by SCHOOL

Completed by School.  
 Support available from International Centre.

Completed by School.

**DD Checklist – ADDITIONAL CAMPUS (TNE Only) (CD2.5)**

**DD Checklist – Previous Partner (TNE Only) (CD2.6)**

**DD Checklist – FE Colleges (Existing Partner) (CD2.7)**

**D Checklist – FE Colleges (New Partner) (CD2.8)**

**Due Diligence Group (DDG)**

**UNSUCCESSFUL =**  
 No Partnership / Amendment to Partnership. School contacts Proposed Partner

**SUCCESSFUL**  
 Proceeds to approval

**SUCCESSFUL = PROGRESSES TO ACADEMIC APPROVAL**  
 (See Collaborative Approvals Flowchart)

**ESTABLISHED PARTNER**  
 (Following Successful Academic Approval)

**Periodic Due Diligence**  
 Due Diligence Group

**SUCCESSFUL**  
 Continuation of Partnership

**UNSUCCESSFUL**  
 School considers Exit Strategy / Action Plan

Use appropriate template above, either CD2.6 or CD 2.7 for Periodic DD

The following Due diligence guidance and pro-formas exist as detailed in the Collaborative Document Catalogue:

	<b><u>Pro-forma:</u></b>	<b><u>Completed by:</u></b>
CD 2.1	<b><u>Due Diligence Flowchart</u></b> Outlines the DD process, different stages and pro-formas.	<u>N/A</u>
CD 2.2	<b><u>Due Diligence procedure</u></b> This process outlines the responsibilities of UWS and the partner with regard to DD.	<u>N/A</u>
CD 2.3	<b><u>Due Diligence Checklist</u></b> This must be filled in prior to DD and before proposal can progress to DDG.	School
CD 2.4	<b><u>Due Diligence Checklist - Risk Rating Guidance</u></b> To assist with completion of DD checklist.	N/A
CD 2.5	<b><u>DD Checklist – Additional Campuses (TNE only)</u></b> To be used when an existing TNE Partner wishes to add a campus for delivery of pre-approved programme(s).	School
CD 2.6	<b><u>DD Checklist – Existing Partner (TNE only)</u></b> This pro-forma should be used when a School wishes to collaborate with an existing partner on a new project or programme.	School
CD 2.7	<b><u>Due Diligence Checklist Further Education Colleges (Previous Partner)</u></b> Bespoke for FE Colleges where a Partnership has previously existed; will not often be required.	School
CD 2.8	<b><u>Due Diligence Checklist Further Education Colleges (New Partner)</u></b> For FE Colleges where a Partnership has not previously existed.	School
CD 2.9	<b><u>Health and Safety Checklist</u></b> <i>(currently under development)</i> For inclusion in Annual Site visits to ensure continued H&S requirements of delivery sites. Will be appended to CD 10.3 & CD10.4.	School
N/A	<b><u>Streamlined DD – NO SEPARATE CHECKLIST</u></b> The above DD templates will be used as appropriate.	<u>N/A</u>

Due Diligence documentation is owned by [Legal Services](#). This process involves providing supporting material regarding the partner – such as financial reports/audited accounts, references, risk assessment, other evidence as appropriate.

Schools are responsible for the completion of the Due Diligence Checklist, and for providing the necessary supplementary material required for consideration by the DDG. This is irrespective of where the proposed partner originates from, in terms of FE, TNE or other.

**Due Diligence must be satisfactorily completed before any proposal with a new partner can proceed any further.**

## 3 COLLABORATIVE APPROVAL PROCESS

### 3.1 Introduction

The approach to collaborative approval at UWS is outlined in the following sections which are intended to provide guidance in the development, approval and ongoing monitoring of collaborative provision arrangements.

Collaborative provision may be initiated in a number of ways: it may be part of an existing relationship with a partner, the University may be approached with a potential opportunity, or the University may seek to build a relationship with a new partner.

All collaborative proposals are subject to approval, and this guidance has been developed to highlight the approval processes for **Franchised programmes** (Local and Joint delivery), **Validated programmes**, **Joint and Dual awards**, and **Collaborative Research Supervision**.

### 3.2 Lead-in Time for New Collaborative Proposals:

All proposals should ensure that there is **appropriate lead-in time** to ensure the necessary steps are completed in order to maximise the efficiency of the process and enable a supportive and developmental dialogue between UWS and the proposed partner. Colleagues should be aware that Due Diligence process can often be quite lengthy.

Schools should allow **at least 8-12 months** from bringing forward the proposal to when the partnership is proposed to commence. The approval process must NORMALLY be COMPLETED 3 months before delivery. A shorter deadline may be approved by the Deputy Principal or Vice Principal (Academic) after consultation with the University Leadership Team.

### 3.3 Academic Approval / Re-Approval Procedures

Following a review of collaborative activity undertaken during Term 1 of 2018/19, a significant refresh of approval processes has resulted in the development of revised approval mechanisms as summarised in the following flowcharts and guidance within this chapter:

- **Collaborative Approvals Flowchart (New Partners) (CD 3.1)**
- **Due Diligence Flowchart (CD 2.1)**
- **Process Flowchart during Active Partnership (CD 13.1)**
- **Checklist for New Collaborative Proposals (Stages) (CD 3.4) (Appendix 2)**
- **Academic Approval Guidance for different Collaborative Models (below)**
- **Collaborative Review Process Flowchart (CD 11.1)**

Approval procedures will *normally* be consistent for new Partners in the UK and overseas.

For all new Partners, the processes outlined in the following **Collaborative Approvals Flowchart (New Partners)** should be adopted. This flowchart should be used in conjunction with the Checklist for New Collaborative Proposals (Stages) (CD 3.4) (**Appendix 2**).

## CD3.1 COLLABORATIVE APPROVALS FLOWCHART: (overpage)



# Collaborative Approvals Flowchart 2019/20

**Initial Proposal/Idea: School Approval in Principle**  
 Deans Approval (no Committee required) – **Proceed to PCC Part 1 & DDS1**

**Pre-Collaborative Checklist (PCC) – Part 1**  
 PCC Part 1: Initial Exploration of Partner & DDS1 (completed by Partner)  
 (Concept to **Programme Boards/SLT** for consideration; Agreement in principle on **fee zone**)  
**PCC Part 1 – incorporates Due Diligence Stage 1 (DDS1)**  
 (DDS1 requires Credit Safe Report & 3 years of Audited accounts to be available) (details recorded within PCC Part 1 form, section 6)

**NEW PARTNERS ONLY**

Recommended 8-12 month 'Lead-In'time

**Finance**

**Pre-Collaborative Checklist – Part 2**  
 PCC Part 2: PCC Part 2 completed by proposed Partner; this is *normally* in advance of **Site Visit** where UWS supplement form with comments surrounding Partner operations

**Financial Costings & Pricing Undertaken (TNE/FE)**  
 (PCC Part 2 must be completed in advance. Undertaken using Standard Costing Model and new guidance Protocol)  
**CFO (via FBP) & Dean Sign-Off - ONLY PROCEED IF SATISFACTORY**

**REVISED 30/08/19**

**Affected School(s) Finance Business Partners (FBPs)**

**RESEARCH (R)**  
 Agree terms & price/negotiate contract

**Partner negotiation**  
 If no Partnership, School notifies proposed Partner

**DOMESTIC NPPs**  
 - Market Research  
 - To inform NPP

**School Endorsement**

- Dean's Executive Group & School Board consultation
- Finances must be satisfactory / Affected Programme Boards consulted
- Should align with School Plan / Corporate Strategy / Enabling Plans
- School begins to prepare DD response Template and Documents
- Propose delivery model / Programme Structure by School
- To consider "Partner" (and VCEG notified)
- Validated proposals – NPP / New Award title(s) to be considered by PAG
- Franchise proposals – rationale to be considered by PAG

**Deans Approval - Proceed to Next Stage**

**DOMESTIC (NOT Collaborative)**  
 Full NPP Form

**Legal Team**

**Due Diligence Stage 2 (DDS2) & DDG**

- Due Diligence Group (DDG); PCC Part 2 Form & visit report completed.
- DD Response Template (to be completed by Schools)
- Request References and other Evidence
- Determine whether (F) Approval Event at Partner or UWS – risk dependent
- Exit Strategy Discussed/agreed
- Streamlined DD options (FE/TNE existing)
- Proceed to Collaborative Forum

**Unsuccessful DDS2**  
 No Partnership School notifies proposed Partner

**Partnerships and Collaboration Committee (PCC)**  
 Strategic Oversight of Collaborative Activity  
 All Collaborative Proposals – Oversees approval event for franchise proposals

**FRANCHISE VALIDATED RESEARCH**

**Programme Approval & Review Group (PAG)**  
 To consider "Product"  
 Domestic – NPP Form Validated – via CF, to receive details on any proposed new titles.  
 Franchise - Gives "Approval to proceed" to CF-led event  
 Informed of new Research Partners

**ACADEMIC APPROVAL –: SELECT MODEL (bespoke arrangement for Research)**

**FRANCHISE (F) (and Dual)**

**To Consider "Academic Case" SCHOOL PROVIDES:**  
 Completed "Academic Case"  
 Confirmed Academic Delivery Model  
 Operational details  
 Resources Library/List (where applicable)  
 Exit Strategy (From DDS2)

**School Scrutiny (School-Led with Partner input)**

**Approval Event**  
 (local decision if event at Partner or UWS – Determined at DDS2 in consultation with Dean)  
 Collaborative Agreement /  
 Data Processing Agreement (GDPR)

**VALIDATED (V)**

**To Consider "Academic Case" PARTNER PROVIDES:**  
 PDDP  
 Programme Specification (confirming Academic Delivery Model)  
 Module Descriptors  
 Operational details  
 Exit Strategy (From DDS2)

**School Scrutiny (School-Led with Partner input)**

**Approval Event at Partner**  
 Collaborative Agreement /  
 Data Sharing Agreement (GDPR)

**RESEARCH (R)**

**Collaborative Agreement & Financial Annex agreed via Doctoral College (Academic Case may be required) (No event necessary)**  
 Notified to CF  
 Notified to DC School Board

**Post Signing of CA & FA:**  
 Individual Research Proposals are agreed (by PGR coordinator in appropriate School(s));  
 Data Processing Agreement (GDPR)

**Supervision Team Agreed**

**EAC**

**Report to VCEG & ULT**

**DOMESTIC**

**NORMAL APPROVAL ROUTE**  
 Refer to Quality Handbook (Chapter 4)  
 Require -:  
 • PDDP  
 • Programme Specification  
 • Module Descriptors

**"Signed off" by Partnerships & Collaboration Committee Approved (Notify to EAC/REAC)**

Register of Collaborative Activity Updated / Confirmation of RTU (F) / Assign External Examiners / Finalisation & signing of Collaborative Agreement / Financial Annex

### **3.3a Franchise Model – Collaborative Approval Process** **(Also applicable to Joint/Dual)**

Please follow the detailed stages outlined in the **Checklist for New Collaborative Proposals (Stages)** (CD 3.4) (**Appendix 2**). Thereafter refer to the guidance below in relation to the Academic Approval stage specific for Franchise partnerships.

#### **PREAMBLE**

Franchise partnerships involve the delivery of a UWS award at another delivery location. As these are existing UWS awards, no scrutiny via New Programme Proposals (NPP) procedures is necessary. The Programme Approval and Review Group (PAG) and ULT should however be notified to seek approval in principle and for information purposes.

Subject to satisfactory School considerations, costings and Due Diligence requirements being met, Franchise partnerships will require a Full Academic Approval Event, led by the Partnerships and Collaborations Committee, to take place.

#### **Key Points – Franchise Academic Approval:**

- The Partnerships and Collaborations Committee will lead the approval;
- A Full Academic Approval Event will take place (either In-Country or In-House); For new partners, this could be either In-Country or at a UWS Campus, but decisions will be taken on an individual basis to determine the most appropriate approach based on risk.
- Approval Event will *normally* be Chaired by Chair of the Partnerships and Collaborations Committee (or nominee);
- **Secretary to the Partnerships and Collaborations Committee (or nominee) will coordinate the event**, making all necessary arrangements and will draft the full approval report;
- Event will consider the 'Academic Case' and operational details;
- The Partnerships and Collaborations Committee will conclude the approval by endorsing the recommendation of the Approval Panel at a subsequent PCC meeting.

#### **Documentation for Academic Approval of a Franchise Partnership**

The Collaborative Proposal Documentation required for the Approval Event will include the following:

- **Briefing Paper Coversheet** (CD3.5);
- **Academic Case for Collaborative Provision – Franchise** (CD3.2);
- Confirmed Academic Delivery Model;
- Operational details (depending on nature of proposal);
- Resources Library/List (where applicable);
- Exit Strategy;
- **Programme Details** - including an updated Programme Specification which accurately reflects collaborative delivery;
- A Financial Summary (For information only, not for scrutinising);
- **Draft Collaborative Agreement** (drafted by QuEST).

The Collaborative Proposal Documentation is prepared by the School together with input from the proposed collaborative partner in consultation with QuEST, [Legal Services](#), International Centre, Finance, Student Administration, and Admissions/Recruitment, (as appropriate).

Appropriate **School scrutiny** should take place prior to the submission of the final event material. School-led scrutiny with Partner input.

<p>The <b>Academic Case for Collaborative Provision</b> is only applicable for the <u>Franchise</u> model. <b>The main headings are outlined below:</b></p>	
<ul style="list-style-type: none"> <li>▪ Context;</li> <li>▪ Details of the Provision;</li> <li>▪ Quality Assurance and Enhancement (including University policies);</li> <li>▪ Facilities and Resources;</li> <li>▪ Communication Arrangements;</li> <li>▪ Recruitment Selection and Admissions;</li> <li>▪ Recognition of Prior Learning;</li> </ul>	<ul style="list-style-type: none"> <li>▪ Professional, Statutory or Regulatory Body (PSRB);</li> <li>▪ Marketing and Publicity;</li> <li>▪ Staffing Arrangements / RTU;</li> <li>▪ Student Induction Arrangements;</li> <li>▪ Learning, Teaching and Assessment;</li> <li>▪ Student Support and Guidance;</li> <li>▪ Graduation Arrangements;</li> <li>▪ Provisional Exit Strategy.</li> </ul>

### **Approval Event – Format for a Franchise Partnership**

For Franchise Partnerships, a Full Academic Approval Event should take place. The event-style approval event will seek to provide increased opportunities for enhanced scrutiny of the proposed collaborative partnership prior to final 'sign-off' as well as providing additional assurances on quality and standards in line with the QAA Quality Code and providing opportunities to discuss the overall strategic direction in more detail. Consideration of the financial model will NOT be considered at the event and will be addressed earlier in the approval processes prior to the event (in line with the proposed Collaborative Approvals Flowchart).

An exemplar/proposed **draft Approval Event Agenda** for a Franchise In-Country event is outlined in the Collaborative Document Catalogue (CD3.5).

### **Location of Approval Event (Franchise): In-Country or UWS In-House**

Inevitably, all proposals will vary and for some Partners there may be clear reasons why an In-Country Approval Event would be desirable; mainly due to associated risk. However, UWS In-House Approval Events may also be considered in certain instances should the risk be considered minimal. Due Diligence will make a recommendation as to the location of the Approval Event for individual Partners and proposals. Furthermore, there may be scope to merge In-Country/and In-House events by identifying some UWS staff members to participate in the event at the Partner location with video conferencing to UWS; individual variants can be considered on a case by case basis.

If **In-Country**, the panel will meet with Partner Senior staff and Partner teaching staff and have a tour of facilities. There may be an opportunity to meet with Partner students to gauge their general experiences of the institution, but they would be from an existing programme of the Partners.

If **In-House**, video conferencing will normally be used, and there will be an expectation that senior staff from the Partner will physically attend UWS for the event. Sessions with Partner teaching staff would be via video conference. As franchise, UWS students on the programme (at UWS campus) could input with views on how a Franchise delivery may benefit from an additional delivery location.

Feedback from both UWS colleagues and from across the sector indicates there are benefits to holding In-Country Events as these facilitate building the relationship with the Partner as well as meeting first hand with teaching staff, assessing their facilities and speaking with existing students as to their experiences. The level of English language competency among teaching staff can also be gauged, which is clearly important as

UWS programmes should be taught and assessed in English. Feedback suggests, they also appear to nurture the ongoing relationship with the Partner.

Where existing franchise partners are increasing provision, such as adding a new programme, this would not require an In-Country event.

Any costs associated with an In-Country approval event would be borne by the Partner and should be taken into account when the Costing Model is applied.

### **Constitution of Franchise Approval Panel**

The Partnerships and Collaborations Committee will determine the location of the Approval Event on receipt of recommendations from Due Diligence Group. The membership of the Franchise approval panel shall *normally* comprise:

<b>Approval Panel – Franchise</b>	<b>Applicable for TNE and FE</b>
Chair of Panel	Chair of PCC (or nominee)
Senior Academic (eg. Dean/Deputy Dean/Head of Division)	To consider academic delivery model (from out with proposing School)
Academic (PCC member)	To consider academic delivery model (from out with proposing School)
Senior Member of QuEST	To advise on Regulatory aspects and take forward the Collaborative Agreement.
International Partnership Development Manager	For TNE proposals
Advisor to the Panel (Academic from proposing School)	Normally person who undertook Site Visit to Partner Institution: Programme Leader designate presenting the proposal / Potential Link Tutor.
Secretary to PCC (or nominee)	To coordinate and arrange approval as required, and draft approval report.
Professional Services representative ( <i>normally</i> a member of PCC)	Optional For FE proposals (where deemed necessary)
Senior Student Administration representative	Optional (Could provide feedback at the scrutiny stage)
External subject expert (Optional)	Optional To provide an independent view of the subject area/Partner facilities etc. (Note: As this is a Franchise programme, the curriculum has already been approved via UWS normal approval mechanisms (where external input will have been taken into account) – this is why this panel member is optional).

### **Outcome of the Franchise Approval Event**

**The Secretary to the Partnerships and Collaborations Committee (or nominee) will produce the final approval report and ensure any conditions are made on behalf of the Panel.**

If approved at the event, QuEST will finalise the Collaborative Agreement, and the relevant Senate sub-committee will be advised of the outcome. The Financial Annex is also confirmed in consultation with the School, their Finance Business Partner, the Partner and QuEST.

QuEST will also notify **existing External Examiner(s)** of the additional delivery location(s) for the provision for which they have been assigned.

### **3.3b Validated Model – Collaborative Approval Process**

The University may be approached to validate an award at another institution which will be offered collaboratively. For example, where that institution wishes to offer a degree but does not have degree awarding powers. This is referred to as 'validated model' at UWS.

Please follow the detailed stages outlined in the **Checklist for New Collaborative Proposals (Stages) (CD 3.4) (Appendix 2)**. Thereafter refer to the guidance below in relation to the Academic Approval stage specific for Validated partnerships.

#### **PREAMBLE**

Validated partnerships involve the validation of another institution's programme of study as a UWS award. As these are new UWS titles/awards, these proposals will require scrutiny and **endorsement via the New Programme Proposal (NPP) procedure**. A separate **NPP Form – Validated (CD1.3)** is available for completion and consideration by Programme Approval and Review Group (PAG)/ ULT (this form differs from the domestic NPP form).

Subject to ULT approval, satisfactory School considerations, costings and Due Diligence requirements being met, Validated partnerships will require a Full Academic Approval Event, to be held **at the Partner Site** (either within the UK or overseas). The approval event is co-ordinated by the School in liaison with the partner.

Where existing Validated partners are increasing provision, such as adding a new programme, this would not normally require an In-Country event. Decisions may be subject to the nature of the proposal and will be made on a case by case basis.

Any costs associated with an In-Country approval event would be borne by the Partner and should be taken into account when the Costing Model is applied.

As a new programme is being proposed, the University's guidance on Approval and Accreditation ([Chapter 4 of the Quality Handbook](#)) should also be followed. This chapter will also highlight the requirements for School scrutiny and timescales for the circulation of paperwork. Further guidance can be provided by QuEST.

#### **Key Points – Validated Academic Approval (NEW PARTNER):**

- NPP procedure is required to be undertaken as new award title;
- The Partnerships and Collaborations Committee will retain oversight of the approval;
- A Full Academic Approval Event will take place **at the Partner Site**;
- Approval Event will be Chaired by a Senior UWS Academic (normally Dean or Deputy Dean) (or nominee);
- **The School will coordinate the event** (in liaison with the Partner), making all necessary arrangements and will draft the full approval report and ensure any conditions of approval are met;
- Event will consider the Collaborative Proposal Documentation in line with the University's guidance on Approval and Accreditation (Chapter 4 of Quality Handbook);

- The Partnerships and Collaborations Committee will conclude the approval by endorsing the recommendation of the Approval Panel at a subsequent PCC meeting.

### **Approval Event – Format for a Validated Partnership (NEW PARTNER)**

For the academic approval, the Partner, in collaboration with the School, completes the required paperwork for a validated model (**approval paperwork will be in line with Chapter 4 of Quality Handbook**). The School must arrange a scrutiny event and paperwork amended in accordance with the recommendations.

**Validated models require a formal approval event to be arranged at the Partner Institution.** The Partner will normally cover all costs associated with the approval event in country. This should be factored into the costing model from the outset to ensure expectations are clear, as should other initial set-up costs.

### **Documentation for Academic Approval of Validated Partnership**

The paperwork should be drafted by the School and proposed partner, the documentation will be the same as that required for approval of a new award at UWS, i.e.:

- **Programme Design & Development Plan (PDDP);**
- **Programme Specification (UWS template)** (confirming academic delivery model);
- **Module Descriptors (UWS template);**
- Operational details (depending on nature of proposal);
- Resources Library/List (where applicable);
- Exit Strategy;
- CVs of Proposed Staff; and completed Validated New Staff Pro-forma;
- A Financial Summary (For information only, not for scrutinising);
- **Draft Collaborative Agreement** (drafted by QuEST on receipt of material).

The School will review the collaborative proposal documentation. School scrutiny will take place prior to this information being presented at the approval event.

### **Professional Support Department Input:**

As part of the development of the documentation to support the validated model, there should be partnership working with relevant professional support departments (specifically Student Administration and the International Centre). This is essential to ensure clarity on the student journey, maintenance of academic standards, and effective operation of assessment practices and processing. This will be key to informing the discussions of the panel at the approval event.

### **Proposed Partner Teaching Staff:**

Prior to the approval event, staff CVs will be reviewed by the School to ensure their suitability for teaching the validated programme(s). Completed Validated New Staff Pro-forma's will also be required.

### **Outcome of the Validated Approval Event**

**The School will produce the final approval report and ensure any conditions are made on behalf of the Panel.** The outcomes of the approval event for validated model will mirror those of normal programme approval at UWS (see Chapter 4 of the Quality Handbook). The School will be expected to address any conditions within the timescale identified by the panel and provide a formal response to the Chair on any recommendations.

If approved at the event, QuEST will finalise the Collaborative Agreement, and the relevant Senate sub-committee will be advised of the outcome. The Financial Annex is also confirmed in consultation with the School, their Finance Business Partner, the Partner and QuEST.

### **Constitution of Validated Approval Panel**

The **School will arrange an event** at the proposed Partner Institution. The membership of the Validated approval panel shall *normally* comprise:

<b>Approval Panel – Validated</b>	<b>Applicable for TNE and FE</b>
Chair of Panel	Dean/Deputy Dean (or nominee) (from out with proposing School)
Academic (PCC member)	One internal member of academic staff to consider academic delivery model (from out with proposing School)
External subject specific expert(s) (Compulsary)	Nominated by the School To provide an independent view of the proposed programme and determine whether the academic content is suitable; as well as to review the subject area/Partner facilities etc.
Senior Member of QuEST	To advise on Regulatory aspects and take forward the Collaborative Agreement.
International Partnership Development Manager	For TNE proposals
Professional Services representative (recommended to be a member of PCC)	For FE proposals (where deemed appropriate)
Advisor to the Panel (Academic from proposing School)	The School will also identify an appropriate colleague who will act as Advisor to the panel to represent the School and be able to answer subject/School specific questions and queries from the panel and the partner to ensure timely responses and resolution of queries at the event. (Normally person who undertook Site Visit to Partner Institution: Programme Leader designate presenting the proposal / Potential UWS Collaborative Contact)
School Administrator for Event (Normally School staff member)	To coordinate and arrange approval as required, and draft approval report.
Senior Student Administration representative	Optional (Could provide feedback at the scrutiny stage)
Other	The School can invite other members in addition to the above if they deem it necessary.

Upon approval, **External Examiner(s)** must be appointed to cover the new validated provision. See section 10 for details.

### **3.3c Proposed changes to a Partnership Whilst Active – Approval Process**

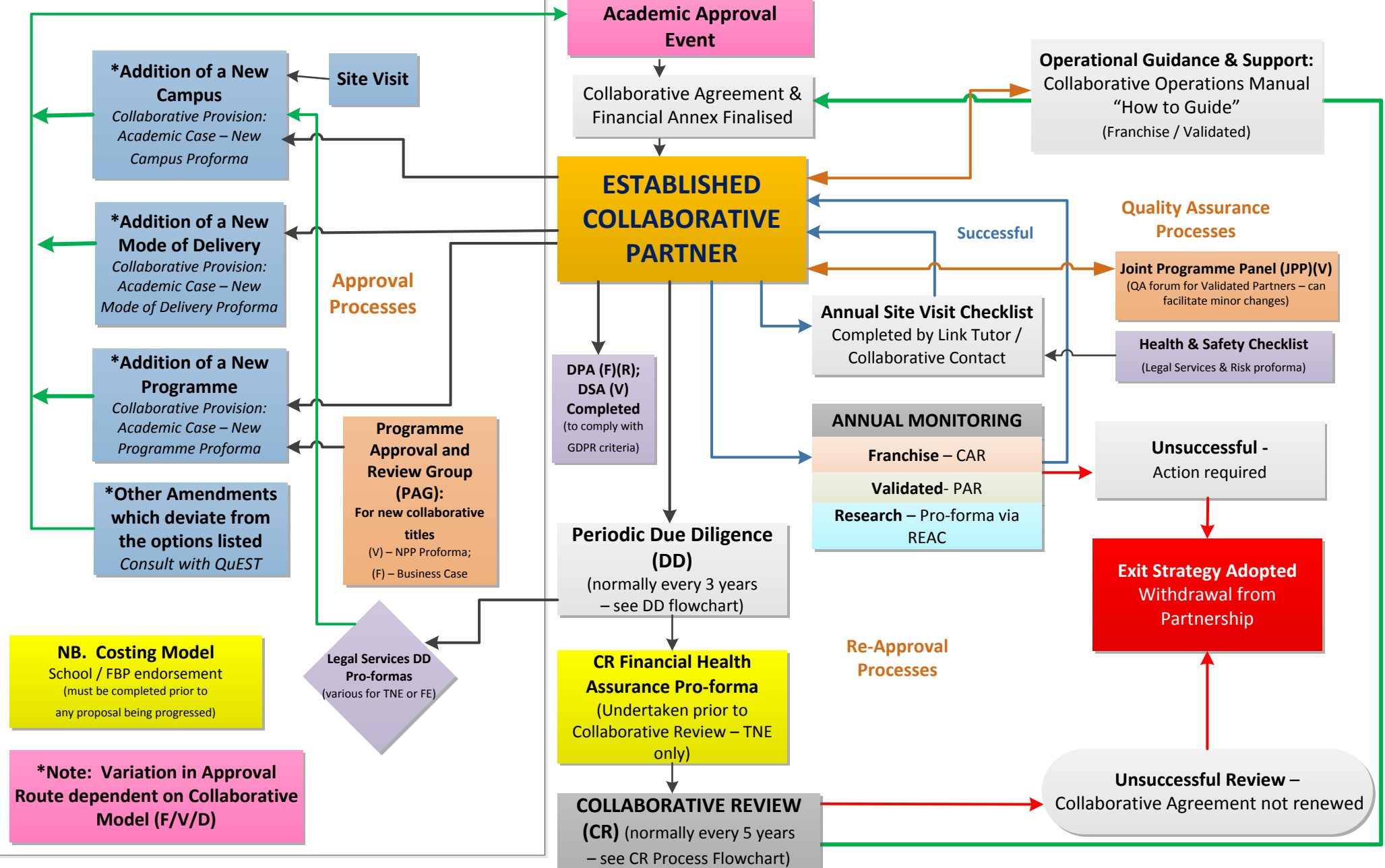
Where a Partner wishes to propose changes whilst a Partnership is active, a summary of activities is detailed in the **Process Flowchart during Active Partnership (CD13)**. (see next page)

**PROPOSED CHANGES TO A PARTNERSHIP WHILST ACTIVE**

**New Partner Proposed**

**Process Flowchart during Active Partnership**

CD13.1



**NB. Costing Model**  
School / FBP endorsement  
(must be completed prior to any proposal being progressed)

**\*Note: Variation in Approval Route dependent on Collaborative Model (F/V/D)**

**Programme Approval and Review Group (PAG):**  
For new collaborative titles  
(V) – NPP Proforma;  
(F) – Business Case

**Legal Services DD Pro-formas**  
(various for TNE or FE)



Curricular -: Minor Amendments to an Existing Programme Structure	
<b>Franchise Partners</b>	<p>A Franchise Partner is <u>unable</u> to make changes to the programme structure as these are UWS awards.</p> <p>Where UWS make changes through the relevant Divisional Programme Board, the Partner should be consulted and kept informed of decisions via the Link Tutor.</p>
<b>Validated Partners</b>	<p>A Validated Partner may wish to revise existing programme or module content during the period of agreement (outwith collaborative review timelines). Minor changes can be facilitated annually via the Joint Programme Panel (JPP).</p> <p>Significant changes may require approval via the School/Divisional Programme Board. QuEST should be consulted and if deemed appropriate an approval event may be necessary.</p>

Contractual -: Proposed Amendments which affect Contractual Arrangements				
Proposed Change		Collaborative Model (Existing Partners)		
A School may wish to revise an existing approved Collaborative Partnership to facilitate proposed amendments and/or additions during the period of agreement. Details of some options listed below:		Pro-forma applicable to which model?		
Collaborative Document Catalogue Pro-forma Options		Franchise	Validated	Research
CD6.1	<p>Collaborative Provision: Proposed <b>NEW CAMPUS</b> – Academic Case</p> <p>To be used when a new campus is added to an existing partner (franchise or validated). Existing programmes only.</p> <p>The site visit report (with health &amp; safety checklist) is embedded within this document.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CD6.2	<p>Collaborative Provision: Proposed <b>NEW PROGRAMME</b> – Academic Case</p> <p>To be used when a new franchise programme is added to an existing partner.</p>	<input checked="" type="checkbox"/>	N/A	N/A
CD6.3	<p>Collaborative Provision: Proposed <b>NEW MODE OF DELIVERY (CD6.3)</b> (e.g. Full or Part-time route to an existing programme.)</p> <p>To be used when a franchise programme is proposing a new mode of delivery. Rationale required.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	N/A
CD6.4	<p>Collaborative Provision: Proposed <b>NEW PROGRAMME &amp; NEW CAMPUS – Validated</b> (No separate pro-forma exists)</p> <p>Where a Validated partner proposes a new programme and delivery site, this would require a full new Academic Approval cycle (as per Approvals Flowchart–New partners) (i.e. start at the PCC Part 2)</p>	N/A	<input checked="" type="checkbox"/> Start at PCC Part 2 (as if new approval)	N/A
CD6.5	<p>Collaborative Provision: Proposed <b>NEW RESEARCH COLLABORATION</b></p> <p>To be used when an existing franchise or validated Partner wishes to explore opportunities to build on the partnership with PhD/Research opportunities.</p>	Liaise with Doctoral College to progress		N/A

### **3.3d Internal Approval Event - Amendments to an Existing Validated Partnership**

Where an approval event to process amendments to an existing validated partnership is deemed necessary, there is scope to streamline the event accordingly. The following will *normally* apply:

**The School will coordinate any necessary event** (in liaison with the Partner), making all necessary arrangements and will draft the full approval report and ensure any conditions of approval are met.

#### **Internal Event for New Campus (EXISTING Validated Partner)**

The event will take place on a UWS campus and will include an opportunity to:

- Meet with colleagues from the School to understand the rationale for expansion and anticipated student numbers;
- Meet with the UWS Collaborative Contact and Programme Co-ordinator at Partner Institution to explore QA and QE approaches, staff expertise to deliver the programme (either physical or virtual attendance);
- To explore the outcome materials supporting the amendment/addition (e.g. NEW Campus Pro-forma include site visit) with the relevant School representative(s);
- Confirm arrangements for enrolment, assessment processing and timescales with Student Administration;
- Consider current operation of the Joint Programme Panel / Degree Assessment Board in terms of Quality Assurance and Annual Monitoring;
- Receive assurances that staff CVs have been considered;
- Agree date of first intake at new delivery location.

#### **Panel Members**

The panel will normally consist of:

- Chair (normally an Dean / Deputy Dean);
- Representative from Student Administration;
- Representative from QuEST;
- If deemed appropriate: International Partnership Development Manager (TNE) or designated Marketing, Recruitment and Engagement colleague (FE)
- Representative from another School not involved in the proposal.

As external involvement formed part of the initial approval event, it is not required at this stage in line with normal UWS process for adding a new campus and / or PT / FT delivery routes.

#### **Documentation for the Event**

The School should provide the following paperwork:

- (i) A completed Collaborative Provision: **Proposed NEW CAMPUS – Academic Case Pro-forma.**;
- (ii) Any proposals for additional **Teaching Staff** at new campus, including CVs./completed pro-formas;
- (iii) Evidence of **student feedback**;
- (iv) Evidence of effective operation of JPPs/DABs in terms of **Quality Assurance.**;
- (v) Confirmation **Due Diligence** has been satisfied (for new Countries/Regions, this may be of particular relevance).;
- (vi) Confirmation **Financial Costing model** has been agreed.

Please contact QuEST for support and advice for any other queries.

### 3.4 Validated Model – Responsibilities of Partner

Key aspects of a Validated award are:

- Whilst UWS is the degree awarding body, students enrolled on validated collaborative models are termed as the 'Partner's students' with respect to certain elements of the partnership.
- In general, students will normally be bound to the policies and procedures of the Partner Institution, with the exception of Assessment Regulations and other quality assurance elements. Any exceptional arrangements are identified within the Collaborative Agreement.
- Students will receive a learning experience comparable to that at a UWS campus, wherever they study.

### 3.5 Revisions to Teaching Staff (Both Franchise and Validated)

**Schools are required to confirm on an annual basis their teaching or supervisory staff with respect to all collaborative models.**

Any revisions to the staffing complement should be highlighted in the annual report on collaborative staff through the approved mechanism as detailed in the collaborative agreement: normally via the School Board (Franchise) or JPP (Validated).

Depending on the distinct nature of the partnership, it may be appropriate for staff to be approved as Recognised Teachers of the University (RTU) (RTU for Franchise only). RTU staff require to be reapproved annually by the School.

Staff teaching on validated collaborative programmes must be approved either at the original approval event or via the Joint Programme Panel (JPP). A standard pro-forma is available for use (C.D 7.6) and proposed new staff must be approved by the External Examiner or have independent external approval. Validated teaching staff require to be reapproved annually by the School.

#### Taught Collaborations:

School Boards are required to maintain accurate records of teaching staff at collaborative Partners (for all Collaborative models – both franchise and validated) and to confirm this annually via School Board.

#### Research Collaborations:

School Boards are required to maintain accurate records of Recognised Supervisors of the University (RSU) (for research Collaborations) and to confirm this annually via School Board.

## **4 JOINT & DUAL AWARDS**

The Development of Dual and Joint awards will only be considered where:

- The University and the partner organisation(s) already have successful existing provision in the subject area and at the academic level of the proposal;
- Degree awarding powers are held by the partner organisation(s);
- Learning resources and the learning environment are appropriate to the delivery of the award(s).

### **a) Joint Award**

A Joint award involves the granting of a single award with one or more collaborating authorised bodies for the successful completion of one programme of study.

Key aspects of a Joint award are:

- Students will receive a learning experience comparable to that at a UWS campus, wherever they study;
- UWS will be involved in the assessment of all students to whom the Joint award will be made.

### **b) Dual Award**

A Dual award involves the granting of separate awards by both the University 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.

Key aspects of a Dual award are:

- Students will receive a learning experience comparable to that at a UWS campus, wherever they study;
- UWS and the partner organisation will have reviewed and agreed to accept each other's assessment marking for components of study undertaken at each institution.

### **Approval of Joint & Dual Awards**

Joint and Dual Awards differ from the validated model as students, on a joint/dual are UWS students. The approach for approving these awards is bespoke, dependent on the nature of the proposal. It is recommended that any plans for the development of a Joint or Dual award are discussed with QuEST at the earliest opportunity.

## 5 RESEARCH COLLABORATIONS

Please follow the detailed stages outlined in the **Checklist for New Collaborative Proposals (Stages)** (CD 3.4) (**Appendix 2**).

The Academic Approval stage for individual Research partnerships normally comprise of bespoke arrangements involving In-House discussions involving the Partnerships and Collaborations Committee, Doctoral College and REAC. Any enquiries should be directed to the Doctoral College in the first instance.

### **PREAMBLE**

Research at UWS comprises various models. Staff engage in high quality research which is multi-disciplinary and cross-disciplinary and involves collaborations with a wide range of internal and external contacts. Many individual researchers have formal associations with other institutions (e.g. research pools) and many more have informal associations with a wide network of colleagues. A number of research student programmes will involve an external supervisor based within another institution to add breadth to the supervisory team. These arrangements are supported by the work of the [Research & Enterprise Advisory Committee \(REAC\)](#) and managed under the University Regulations, where applicable.

The Doctoral College Board is a sub-group of REAC and ensures compliance with the Research Degree Regulations.

The Board also ensures that the standards of awards are maintained. The University also seeks out formal partnership arrangements with appropriate institutions to further its strategic objectives. The key stages for the Academic Approval stage of collaborative arrangements leading to a research award from UWS are bespoke depending on the nature of the proposal.

### **Responsibilities for Approval of Research Collaborations**

There should be discussions with the Doctoral College with final approval of the proposed partnership resting with REAC. The Partnerships and Collaborations Committee should be kept apprised of all developments and have involvement in the approval stage prior to the outcome of approval agreed by REAC.

### **Documentation for Approval of Research Collaborations**

A Model of Collaboration including delivery pattern, structure and use of consumables and resource should be developed. The approval steps outlined in CD 3.4 should be followed, and the costing model should be completed and agreed with the Doctoral College, affected School and Chief Finance Officer. The Collaborative Agreement should be drafted by The Doctoral College in consultation with colleagues in QuEST. Depending on the nature of the partnership being proposed, it may also be necessary to prepare a Programme Specification and Module Descriptors to support the approval of the partnership.

### **Monitoring and Review (Research Collaborations)**

Annual review and monitoring of arrangements will be undertaken and reported to REAC. The Doctoral College will lead on the review and annual monitoring activities and there is a recommendation that one annual site visit to the Partner be undertaken (optional).

For implementation from 2019/20 onwards, the Doctoral College will be required to complete the following table on an annual basis for submission to REAC (normally at Oct/Nov meeting annually):

<b>Collaborative Research Partner</b>	<b>Country</b>	<b>Date of Annual Visit</b> (if applicable) (Where no site visit undertaken, please indicate the approach to routine communication)	<b>Outcome of Visit/ or Regular discussions with Partner</b> (To include student numbers, ongoing confirmation of facilities and resources, feedback from students and supervision arrangements)

This new approach will facilitate a mechanism to receive assurances from Partners that the Collaborative Agreements are operating effectively, and will assist when reaching periodic Collaborative Review. In general, confirmation of the continuing support for the research students will be sought in terms of resources, consumables and supervision arrangements. The student experience will form a key aspect of all review activities and feedback will be sought from students and the Partner. The financial annex will be reviewed and agreed on an annual basis by the Doctoral College.

A formal review will be performed at least every five years (by completion of the **Collaborative Review Research Pro-forma** - CD 11.4); support will be available from QuEST in terms of revising the Collaborative Agreement. Appropriate Schools and the Partnerships and Collaborations Committee will be informed of outcomes. The Doctoral College should alert the Head of QuEST to any concerns about the collaborative partnership which are highlighted as part of annual monitoring or formal review.

## 6 THE COLLABORATIVE AGREEMENT

A Collaborative Agreement is required for all collaborative partnerships (Franchise, Validated model, Joint/Dual and Collaborative Research Supervision). QuEST is responsible for preparing a draft Collaboration Agreement detailing operational issues to be drawn up in line with University Regulations and the UK Quality Code in advance of the collaboration and made available to the partner and the panel for comment and development.

The Collaborative Agreement is specific to the individual partnership and is not intended to be identical in all cases and covers a range of possible arrangements and will be refined in view of each individual collaboration. Draft templates for Franchise, Validated and Research are available as outlined within the Collaborative Document Catalogue (**CD4.2, 4.3 & 4.4**); these will be tailored to suit individual collaborative arrangements during the approval process.

The Collaborative Agreement will be finalised by both parties and signed following relevant approval activity. The University of the West of Scotland has approved signatories who can sign off these agreements, this will normally be the Vice Principal (Academic).

The signed Collaborative Agreement is the legally-binding document which outlines the rights and obligations of both parties and will be subject to periodic monitoring and review.

## 6.1 Financial Annex

All Collaborative Agreements are required to have a completed Financial Annex appended.

The Financial Annex is owned by the University's Finance Department and advice and support can be provided from Finance in terms of completion. The Financial Annex is often variable between partners but includes some standard sections such as the collection of fees and payment schedules.

## 7 PARTNER STAFF INVOLVED WITH TEACHING

The requirements associated with partner staff involved with teaching will depend fundamentally on which collaborative model exists with UWS. Regardless of the collaborative model, Partners will identify a Programme Co-ordinator who will be the lead contact for liaison with UWS.

All staff teaching on programmes leading to a UWS award are required to submit CVs to their Link Tutors/Collaborative Contacts on an annual basis. These are reviewed through the appropriate School to ensure that relevant and appropriate expertise remains in place to deliver the programmes.

The following table outlines the key differences in terms of staffing:

Franchise Model Partnerships	Validated Model Partnerships
<b>Recognised Teachers of the University (RTU)</b> <b>(Applicable to RTU on Collaborative Programmes only)</b> (Not London based RTU)	<b>Staff CVs</b>
All partner staff delivering any element (teaching and assessment) of teaching on a franchise programme must complete the University's RTU process.  The RTU process is outlined in a <a href="#">flowchart</a> . A person specification and guidance for RTU exists. RT1 forms require completion for new RTUs. (See Franchise Operational Manual (CD 13.2) for details) RTU are <u>not</u> employees of UWS.	As part of the approval for a validated model, consideration of staff CVs and staff expertise will form part of the approval mechanisms.  A 'Validated New Staff Pro-forma' will require completion for new validated teaching staff and CVs will be required.  Proforma & CVs are considered by the School.
<b>UWS Lead Contact(s):</b> UWS Link Tutor School Service Delivery Manager (SSDM)	<b>UWS Lead Contact(s):</b> UWS Collaborative Contact School Service Delivery Manager (SSDM)
<b>Link Tutor Role:</b> Link Tutors are responsible for overseeing the RTU process on behalf of the School in terms of seeking RTU approval and in the ongoing monitoring of this. In liaison with the Programme Team, they will review the CVs of new academic staff at the collaborating institution to ensure they are suitably qualified, experienced and developed.	<b>Collaborative Contact Role:</b> Collaborative Contacts, on behalf of the School, are responsible for the ongoing monitoring of staff teaching on validated provision. School to determine appropriateness of proposed Teaching Staff nominations during scrutiny <b>PRIOR</b> to the JPP. Where applicable, this may be at the assigned Divisional Programme Board. This is monitored through JPPs annually and

	sent to School Board for approval. As part of School/JPP endorsement, the External Examiner should be consulted on academic expertise prior to JPP.
<p><b>Monitoring of RTU staff – annual task:</b></p> <ul style="list-style-type: none"> <li>• Link Tutor has oversight of RTU staff.</li> <li>• Co-ordinated within Schools</li> <li>• School Board notified annually of RTU for the coming AY via SSDOM.</li> <li>• School Board will note any changes to staffing on an annual basis.</li> <li>• The <b>Partner Staff Annual Record (CD 7.6)</b> is completed by the School and notified to School Board (normally October).</li> <li>• P&amp;OD and QuEST notified accordingly.</li> <li>• P&amp;OD retains a record of RTU staff.</li> </ul>	<p><b>Monitoring of Validated Partner Teaching Staff – Annual Task</b></p> <ul style="list-style-type: none"> <li>• Collaborative Contact has oversight of Partner teaching staff.</li> <li>• Co-ordinated via Joint Programme Panels (JPPs) (normally April JPP).</li> <li>• Proposed changes to staffing (submitted via Validated New Staff proforma and CV).</li> <li>• The <b>Partner Staff Annual Record (CD 7.6)</b> is completed by the School (following confirmation by the JPP) and notified to School Board (normally October).</li> <li>• P&amp;OD and QuEST notified accordingly.</li> </ul>
Link Tutors <i>normally</i> attend relevant School Board of Examiners (SBEs).	Collaborative Contacts attend relevant Degree Award Boards (DABs).

\*RTU staff (London only) must ensure UKVI criteria is met and all RTU staff are eligible to teach in the UK.

## 8 UWS STAFF INVOLVED WITH PARTNERSHIPS

The requirements associated with UWS staff involved with collaborative partnerships, either locally or overseas will depend on the nature of the collaborative model being adopted.

**Differences in operational quality assurance arrangements between franchise and validated models are continually emerging** as the demand for collaborative provision increases across the sector. Application of the UK Quality Code provides a baseline for use across the sector.

A designated 'UWS Link Tutor' is a recognised role for collaborative partnership models (Key Responsibilities and Person Specification exists – **CD 8.1**), but the activities of the Link Tutor is tailored more specifically to franchise models and does not align directly to that of validated models. For the validated model it is now more appropriate to have defined activities for the 'UWS Collaborative Contact'.

In principle the essence of both roles is similar, but operational differences make the details associated with each role distinct. A separate Key Responsibilities and Person Specification for the UWS Collaborative Contact is available (**CD 8.2**).

### 8.1 UWS LINK TUTORS (For Franchise Partnerships)

The UWS programme team will appoint one of its members as the UWS Link Tutor who will provide the main point of liaison with the partner institution. The partner institution will be asked to name a member of staff as Programme Coordinator for liaison purposes.



The Link Tutor plays a key role in supporting the collaborative partnership maintaining academic standards and protecting the student experience. They will take an active role in the quality assurance and academic development of programmes delivered through collaborative partners which lead to a UWS award. They are an essential part of the academic support offered to collaborating institutions. Activities will include course-specific development of academic staff, pre and post moderation, providing academic advice to UWS and the collaborating institution, and monitoring teaching and assessment.

In recognition of the key role played by the Link Tutor, key responsibilities and a person specification have been developed to ensure consistency in the approach taken across schools.

In terms of annual monitoring, the Link Tutor will contribute to a designated section of the Collaborative Annual Report (for Franchise) to ensure there is regular reflection on the partnership and to ensure clear reporting and feedback through the collaborative annual report.

Further details on operational elements of Franchise partnership and the role of the Link Tutor can be found in the **Collaborative Operations Manual – Franchise Model “How to Guide”** (CD13.2).

## 8.2 UWS COLLABORATIVE CONTACTS (For Validated Partnerships)

The School will appoint one of its members as the UWS Collaborative Contact who will provide the main point of liaison with the partner institution. The partner institution will be asked to name a member of staff as Programme Coordinator for liaison purposes.

A validated award (collaborative) involves the granting of an award by UWS to be delivered by non-degree awarding bodies; this may involve UWS offering provision for a discipline out with those currently available at UWS. **The Collaborative Contact may not always be a subject expert.**

In such instances, Schools should take cognisance of the associated risks as outlined in the UK Quality Code, “Partnerships”. Guiding principle 2, states “*The resource needed to deliver a partnership arrangement should be assessed and confirmed at the outset as part of the preparation of the formal agreement. **The awarding organisation ensures that it has sufficient resources (physical and staffing) to fulfil its own obligations including having the knowledge, experience and intellectual capital to underwrite the relevant qualifications.** There should be mechanisms in place to confirm that the partner also has sufficient resources (physical and staffing) to fulfil their obligations. When delivery and assessment are delegated to a partner, the awarding organisation will retain oversight and approval of the academic staff appointed to the teaching team, where appropriate and as agreed in the formal agreement.*” With cognisance of this principle, Degree-awarding bodies that validate modules or programmes are required to ensure that they have in place (or can secure) the relevant disciplinary expertise to approve, monitor and, if necessary, deliver teaching, learning and assessment in the range of subject areas envisaged.

The Collaborative Contact plays a key role in supporting the collaborative partnership maintaining academic standards and protecting the student experience. Collaborative Contacts will take an active role in the quality assurance of programmes delivered through collaborative partners which lead to a UWS award. They are an essential part of the academic support offered to collaborating institutions. Activities will include taking an

active role in ensuring quality assurance elements are fulfilled by participation in relevant forums (such as JPPs, DABs), providing academic advice to UWS and the collaborating institution, and monitoring teaching and assessment.

In terms of annual monitoring, the Collaborative Contact will contribute to a designated section of the Programme Annual Report for Validated) to ensure there is regular reflection on the partnership and to ensure clear reporting and feedback through the Programme Annual Report.

An operational manual for Validated partnerships, which includes further details surrounding the role of the Collaborative Contact is currently under development. The **Collaborative Operations Manual – Validated Model “How to Guide”** (CD13.3) will shortly be available.

## 9 SUPPORT FOR COLLABORATIVE PARTNERS

Staff Development opportunities can be organised through UWS Academy and can be made available to all collaborative partners. Specific Staff Development sessions (where applicable) can be offered to raise awareness of the facilities offered by Student Services, University policies and regulations, quality assurance and enhancement, or any other specific sessions as deemed appropriate to facilitate the collaborative partnership. Online introductory training is currently under development. Staff at the collaborative partners may also be interested in taking modules from the Postgraduate Certificate in Academic Practice.

Where the collaborative programme is offered at UWS as well as at the partner institution, the University would **expect at least one member of the programme team to visit the site of delivery during the academic year** and, where appropriate, deliver elements of the programme, share good practice with local academic staff and address any issues partner staff wish to raise.

**The partner will normally be visited annually by the Dean of School or nominee.** At this visit the Dean of School will review the operation of the programme and discuss any relevant issues, tour the premises to ensure that the standard of facilities, equipment and other resources has not deteriorated from those considered as part of the initial visit and have been updated as appropriate. The visit will include a meeting with the full range of academic and administrative staff involved in delivery and administration of the programme and a meeting with the students in order to obtain face-to-face student feedback and discuss any issues with the students. Feedback from these visits should be reported to the University’s Partnerships and Collaborations Committee. Guidance on areas to be covered during annual site visits is available within the Collaborative Operations Manual or on request.

## 10 QUALITY ASSURANCE FOR COLLABORATIVE PROVISION

### PREAMBLE

Schools and their partners will wish to put in place mechanisms to review the development of the relationship and their knowledge of each other’s operations and expectations. Staff in both institutions should seek to develop an understanding of the QAA/Scottish Funding Council (SFC) requirements and other academic infrastructure as external reference points.

In line with the Quality Code on Partnerships, “*Courses delivered through partnership arrangements should be subject to quality assurance procedures that are at least equivalent to those of courses delivered by the awarding organisation.*”

## 10.1 External Examiners and Assessment Boards

External examiners ensure the maintenance of academic standards of the collaborative programme irrespective of location or type of collaboration. All external examiners will be appointed by the University via the [Academic Quality Committee \(AQC\)](#) and will be required to submit an annual report (see Chapter 6 of the Quality Handbook).

The University operates a two-tier system of assessment boards: School Assessment Boards (SABs) which confirm the mark, grade and decision for each student on each module and to which School Assessment Board external examiners are appointed; and School Boards of Examiners (SBEs) to which a SBE's external examiner is appointed and considers the eligibility of students on a group of programmes to progress or gain an award.

In addition to SABs and SBEs the University also operates Degree Assessment Boards (DABs) to which a DAB external examiner is appointed. It is normally the responsibility of DABs to provide an overall judgement on student performance and the quality and standard of validated programmes delivered by the University's collaborative partners. In some circumstances, however, such as for newer collaborative partners, the University may decide to implement a SAB and SBE system, as detailed above, until it can be assured that the University's academic standards are being upheld. The system to be implemented for each collaborative partner will be decided on a case by case basis.

From session 2019/20, the following types of Assessment Boards will exist:

- School Assessment Boards (SAB) – Franchise
- School Board of Examiners (SBE) – Franchise
- Degree Assessment Boards (DAB) – Validated (may require SAB/SBE)

Where the programme is delivered at an institution overseas under the validated model, AQC may consider the institution's nominee for a local external examiner.

## 10.2 Annual Monitoring of Collaborative Provision

In line with the Quality Code on Partnerships, "*Appropriate monitoring and periodic review arrangements should be put in place in line with the awarding organisation's quality assurance framework; details of such arrangements should be specified in the formal written agreement.*"

In terms of annual monitoring of collaborative partnerships, UWS adopts a robust internal monitoring system to safeguard its academic awards and ensure standards are appropriate across all areas of local delivery. Details relating to research collaborations are contained in section 9 'Research Collaborations'. Details pertaining to Franchise and Validated collaborative models are identified below. Further details are available in Chapter 7 of the Quality Handbook on 'Enhancement and Annual Monitoring'.

### 10.3 FRANCHISE MODEL

(i) **Collaborative Annual Report (CAR):**

The Collaborative Annual Report (CAR) forms an important part of the university's annual monitoring cycle for its franchise provision and will be used by UWS Programme Leaders to inform the Programme Monitoring Report (PMR).

A CAR on the operation of franchised collaborative programme(s) should be prepared by the partner institution in liaison with the Link Tutor; there is a designated section for completion by Link Tutor. The report should be **submitted annually** by end August and will be considered at the Programme Board as part of normal annual monitoring activities, usually in mid-November.

The template for the CAR should be circulated by the Link Tutor to the partner annually in June.

(ii) **School Board of Examiners (SBE):**

SBEs decide the eligibility of each candidate for progression between levels of study, and for awards of the University. This arrangement will apply to franchise provision.

Where a SBE is held at the University and all students considered as a single cohort, the external examiner should be provided with a copy of the appropriate **Collaborative Annual Report (CAR)** from the site of delivery by the School.

### 10.4 VALIDATED MODEL

(i) **Programme Annual Report (PAR):**

Where validation of another institution's programme of study as a University of the West of Scotland award takes place; this is referred to as a Validated Collaborative Model. These students are students of the partner, but quality elements reside with the degree awarding body.

For such validated provision, UWS still maintains responsibility for monitoring that quality and standards are satisfactory, as well as monitoring elements of the student experience. It is therefore necessary for a Programme Annual Report to be completed by staff at the partner institution for consideration as part of our enhancement and annual monitoring processes.

Partners with validated collaborative models should submit a Programme Annual Report (PAR) by end August annually. The PAR should be prepared by the partner institution in liaison with the UWS Collaborative Contact; there is also a designated section for completion by UWS Collaborative Contact.

(ii) **Degree Assessment Board (DAB):**

Degree Assessment Boards (DABs) combine the functions, responsibilities and authority of SABs and SBEs. The DAB confirms the mark, grade and decision for each student. The DAB also considers the performance of students on a validated programme and determines whether the student is eligible to progress to the next stage of their programme or to gain an award.

For programmes approved via a validated model, a **Degree Assessment Board (DAB)** (Remit - CD 9.3) will be established under the authority of UWS. The DAB will normally meet at least twice each academic session and include representation from

the University and the partner. As noted above, in some circumstances, the University may decide to implement a SAB and SBE system, until it can be assured that the University's academic standards are being upheld. The system to be implemented for each collaborative partner will be decided on a case by case basis.

For programmes approved via the validated model, partners will be required to complete the **Programme Annual Report (PAR)** by end of August.

**(iii) [Joint Programme Panels \(JPP\):](#)**

The University retains ultimate responsibility for the maintenance of quality and academic standards for all its awards. A Joint Programme Panel (JPP) monitors the academic standards of a validated model and should be established to monitor the operation of validated collaborative programme(s) once they have been successfully approved. The full remit and membership of the **JPP (CD9.1)**, along with a series of JPP pro-formas are available for use as outlined within section 9 of the [Collaborative Document Catalogue](#).

The JPP will meet at least twice per academic year, normally in October and March and include membership from both institutions. As UWS retains ultimate responsibility for the maintenance of quality and academic standards for the validated module programme, the JPP plays a key role in monitoring the maintenance of standards, enhancing the student experience, reviewing the operation of collaborative partnership and facilitating a clear communication channel between the University and the partner.

**(iv) Moderation Arrangements (Validated model)**

In line with the UWS Assessment Handbook for Staff (Section 5.3.1 – 2019/20 Edition), Moderation should be undertaken and is required to ensure reliability and validity of assessment procedures, of the instruments of assessment and of the resulting student grades.

For validated collaborative arrangements, the responsibility for the standard of the UWS award remains with the University. Assurances that Moderation has been undertaken as appropriate are achieved as follows:

- External Examiners are still required to undertake external moderation.
- The partner will be required to carry out satisfactory internal moderation.
- The partner is required to provide evidence that internal and external moderation has taken place and should complete **Module Moderation Reports** for submission to the appropriate DAB and/or JPP (as appropriate).

## 11 COLLABORATIVE REVIEW PROCESS

### PREAMBLE

UWS adopts a robust internal monitoring system to safeguard its academic awards and ensure standards are appropriate across all areas of delivery. In addition to normal annual monitoring processes (briefly outlined in section 10), collaborative reviews are undertaken periodically.

Formal review events normally occur every 4-5 years, regardless of the type of collaborative arrangement. The event will look in detail at the Collaborative Agreement, ensuring all matters are being implemented as intended and negotiate any proposed amendments to the agreement for the next period of collaboration.

Periodically, arrangements for delivering learning opportunities with others are reviewed to ensure that they are achieving the intended objectives, that the organisations involved remain compatible, and to reassess the academic, financial, legal, ethical and reputational risks.

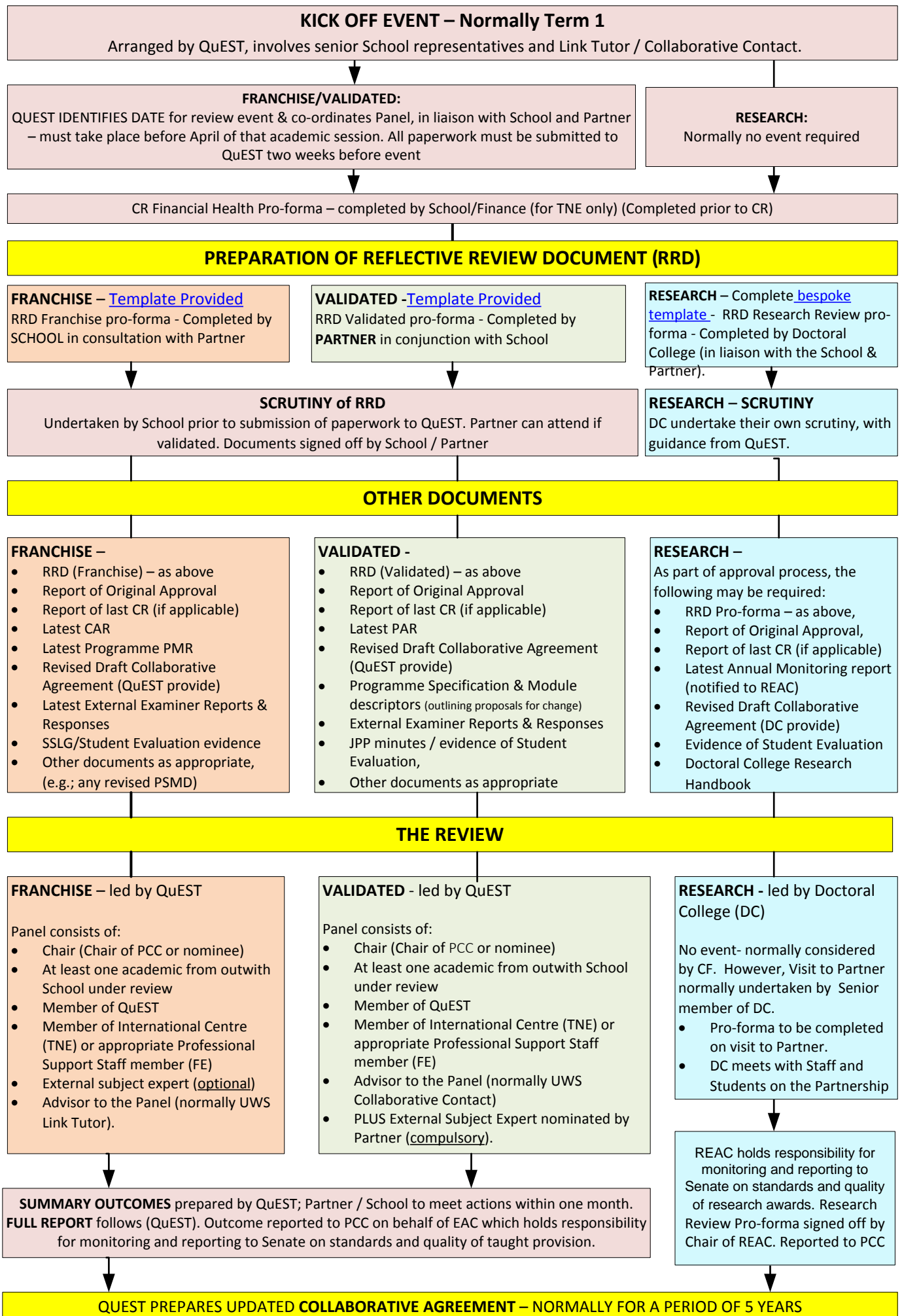
Whilst the criteria surrounding collaborative reviews hold similar principles for different models, there are slight differences. In particular validated models require re-approval of programmes at collaborative reviews, thereby requiring external subject input.

**The collaborative review process for the three main collaborative models is outlined in the following CR Process Flowchart:**

# COLLABORATIVE REVIEW (CR) PROCESS

CD11.1

Applicable to Franchise / Validated / Research (TNE and FE)



Documents required for Collaborative Review are outlined below as detailed in the Collaborative Document Catalogue:

<b>Collaborative Review (CR): Pro-forma / Guidance</b>		<b>Completed by:</b>
CD 11.1	<b>Collaborative Review Process Chart</b> Provides an overview of the review process.	N/A
CD 11.2	<b>Reflective Review Pro-forma – Franchise</b> To be implemented 2018/19, replacing Reflective Review Document.	School - Franchise
CD 11.3	<b>Reflective Review Pro-forma - Validated</b> To be implemented 2018/19, replacing Reflective Review Document.	Partner - Validated
CD 11.4	<b>CR Research Pro-forma</b> To be completed by Doctoral College and signed off by REAC. <i>(Piloted 17/18 with a Partner in Germany).</i>	School – Research
CD 11.5	<b>Collaborative Review Desk-Based Approach Pro-forma</b> For situations where a full review not appropriate (e.g. Dual). <i>(Piloted 17/18 with a Partner in France).</i>	School – various models
CD 11.6	<b>CR Financial Health Assurance Pro-forma (TNE only)</b> A pro-forma to assess financial viability of a partnership in tandem with CR. Applicable for TNE only. For implementation from 2018/19 onwards.	School (TNE only) (for implementation 2018/19)
CD 11.7	<b>Nomination from for External Subject Expert for re-approval Panel</b> Must be completed by Partner to nominate a Subject Expert. External subject experts are compulsory for Validated model, optional for Franchise model.	School – to nominate a subject expert

## 12 EXIT PROTOCOL FOR WITHDRAWING FROM A COLLABORATIVE AGREEMENT

The exit strategy will have been considered and developed as part of the due diligence process. From the Quality Code, *“The awarding organisation should have clear internal academic governance arrangements for partnerships. This includes where the authority resides for making decisions about the establishment and management of partnership arrangements and their closure, as well as the allocation of resources.”*

In the event of the University deciding to withdraw from a Collaborative Agreement a written rationale and recommendation will be required from the appropriate Dean of School to the Vice Principal (Academic). (Pro-forma available) The Vice Principal (Academic), (who is also Chair of the Partnerships and Collaborations Committee) will make a recommendation to ULT advising of any outstanding UWS commitments to students and any other related issues.

- Exit Protocol (CD12.1)
- Withdrawal proforma 1 - no students exist (CD12.2)
- Withdrawal proforma 2 – outstanding commitment to students (CD12.3)

Residual obligations of both parties to students to enable them to complete their studies will be specified in general terms within the Collaborative Agreement and detailed arrangements will be drawn up by the School in consultation with the Vice Principal (Academic) as part of the due diligence.

Should a collaborative partner decide to terminate the Collaborative Agreement, written notice should be forwarded to the appropriate Dean of School in accordance with the terms of the Collaborative Agreement. The Dean of School will be responsible for informing the Vice Principal (Academic), who is also Chair of the Partnerships and Collaborations Committee.



### **13 REGISTER OF COLLABORATIVE ACTIVITY**

The University maintains a register of all current Collaborative Provision leading to the awards of the University. This is held by QuEST and is available on request.

### **14 MEMORANDUM OF UNDERSTANDING**

A Memorandum of Understanding confirms the intention to establish a co-operative relationship between the University and the Partner Institution. The document reflects the interests of both institutions in developing links, which will widen opportunities and access for students and staff and create enhanced opportunities for both institutions.

A Memorandum of Understanding (CD4.4) is not legally binding and a full written agreement, signed by the University Secretary (or equivalent) of the University and the Partner will be required before any formal collaboration commences.

### **15 OPERATIONAL GUIDANCE AND SUPPORT**

#### **15.1 OPERATIONAL MANUAL – FRANCHISE MODEL**

A Collaborative Operations Manual – Franchise Model “How to Guide” (CD 13.2) is available as a source of operational guidance and support.

#### **15.2 OPERATIONAL MANUAL – VALIDATED MODEL**

A Collaborative Operations Manual – Validated Model “How to Guide” (CD 13.3) will shortly be available as a source of operational guidance and support.