

UNIVERSITY OF EAST ANGLIA STUDENT CHARTER

The University of East Anglia's commitment to providing an exceptional student experience depends upon a dynamic and effective partnership between its staff and students. Our Student Charter outlines the nature of this relationship by setting out what you as a student can expect from the University and, in turn, what is expected of you. The Charter, jointly developed by the University, the Union of UEA Students (UUEAS) and the Graduate Students' Association (GSA), does not constitute a legally binding document but provides an overview of our mutual responsibilities and obligations in establishing an outstanding and vibrant community of learning from which all may benefit. The Student Charter is reviewed annually to ensure that it continues to reflect our shared aspirations and values.

The Charter focusses on four key aspects of the student experience:

1. Diversity, Respect and Community

At the University of East Anglia (UEA) you will be part of a diverse community where staff and students are expected to communicate openly and honestly with each other and treat one another with respect. To be socially conscious, globally aware and mindful of the environment and sustainability are equally fundamental values of the University.

UEA, in partnership with the Union of UEA Students (UUEAS) and the Graduate Students' Association (GSA), undertakes to:

- Foster a community where staff and students treat each other with mutual respect, dignity and professionalism regardless of age, disability, gender identity, race, sexual orientation, religion or belief;
- Respond swiftly and fairly to any allegation of discrimination or other concerns you raise;
- Develop our campus as a safe, welcoming and accessible environment.

In turn, as a member of the UEA community, you are encouraged to embrace and promote this ethos. You are expected to respect the rights and property of the University, of its members and of others who use our facilities, in accordance with relevant policies and regulations.

2. Teaching, Learning, Research and Assessment

At UEA you will be an active partner in your education. You will have the chance to enhance both your academic and professional skills, and your knowledge and understanding through engagement with a wide range of flexible learning opportunities such as teaching events, assessment tasks, research activities, placements and new technologies.

UEA, in partnership with the UUEAS and GSA, undertakes to:

- Deliver consistently high standards of teaching, research supervision and academic advice and guidance;
- Give you a voice in your learning through representation at course, School, Faculty and institutional levels both individually and through the UUEAS and GSA;
- Provide you with clear and concise information relating to your studies;
- Ensure that you receive challenging but fair and transparent assessments, and constructive and time-sensitive feedback on your work;
- Ensure that you have a named Personal Adviser or Supervisory Team to help support and guide you academically and to provide appropriate pastoral advice and/or informed referral to others including the Dean of Students' Office;
- Provide clearly defined access to learning resources including library and IT facilities;
- Provide well-defined and transparent procedures for academic appeals, complaints and any disciplinary matters, including those where professional requirements have to be met and offer access to independent advice and support from the Union Advice Centre.

In turn you are expected to take responsibility for managing your own learning by engaging with your course, adopting principles of academic integrity, engaging with module evaluation and being familiar and complying with the relevant academic regulations for students including those specific to your course.

3. Personal Development and Employment

At UEA you will be given the opportunity and the appropriate information, advice and guidance to support you in developing your personal and transferable skills through a wide range of activities.

UEA, in partnership with the UUEAS and GSA, undertakes to:

- Provide a wide range of opportunities for you to develop your personal and employment-related knowledge, skills and understanding through both the curriculum and extra-curricular activities, including work experience and volunteering within the wider community;
- Provide a careers service with professional staff who are able to help you develop and articulate your skills, search for employment and network with employers;

- Promote and support the continuing professional development of University staff, including those in an advisory or supervisory role, so that they in turn can best support the development of your learning and skills;
- Facilitate and support the organisation of a wide range of student-led sports clubs and societies.

In turn you are expected to engage actively with and reflect upon your own personal and professional development in order to derive full benefit from your time at university.

4. Support for Students

At UEA you will be provided with a variety of academic, administrative, and pastoral support services to help you achieve your personal and academic goals.

UEA, in partnership with the UUEAS and GSA and the Dean of Students' Office, undertakes to:

- Provide you with a wide range of general and specialist services that offer non-judgemental and confidential information advice and guidance in areas that include:
 - Academic skills development;
 - Mental and physical wellbeing;
 - Disability and specific learning difficulty;
 - Spirituality and faith;
 - Finance;
 - International student matters;
 - Housing on and off campus;
 - Safety and security;
 - Student family matters.
- Make such services as accessible as possible by offering a range of delivery methods (for example, one-to-one appointments, workshops and a range of paper-based and electronic resources).

In turn you are expected to seek appropriate advice and support when you think that you may need it and/or when others recommend that you do so.

Intellectual Property Regulations

1. General Introduction

As part of their duties and studies staff and students at the University create a wide range of materials that fall into the definition of Intellectual Property and the following regulations are designed to provide clarity over the ownership and rights associated with such materials. The regulations identify the appropriate route for notification, protection, and exploitation of intellectual property. This is a complicated area and for ease of use after a short section on General Policies these regulations have separate sections for employees and students. For ease of reference specific definitions of terms are repeated in the separate sections. In cases where an individual is both a member of staff and a student their status as a member of staff will take precedence unless their activities as a member of staff and as a student are unrelated.

The University is keen to support the exploitation of Intellectual Property for the benefit of society and the economy taking into account any stakeholders involved in its generation including inventors and creators, funders, and the University itself. In particular it seeks to encourage student enterprise by making any regulations appropriate, fair and clear.

2. Definition of Intellectual Property

Intellectual Property ("IP") is the term used to describe creative outputs that can be legally protected arising from literary, artistic, industrial and scientific endeavours, such as the results arising from research or creative projects.

IP includes, but may not be limited to, patents, copyright, design rights, registered designs, trade marks and service marks, and all similar property rights (whether registered or not) including those subsisting in any invention, improvement, know-how, patent, design, process, information, plant varieties, copyright work (including without limitation rights in and to technical processes, systems, methods, software design, algorithms, code, scripts or other computer software), rights in databases, topography right, domain name, trade mark, trade name or get-up or application to register any such right.

3. General Policies

3.1 Financial and Administrative Materials

All records, documents and other papers which pertain to the finance and administration of the University and which are made or acquired by staff in the course of their employment are the property of the University. The copyright in all such original records, documents and papers, at all times, belongs to the University.

3.2 Computer software

Computer software shall be treated for the purposes of these regulations in the same way as patentable inventions.

3.3 Trademarks

The private use of University related trademarks, logos, devices, acronyms, initials and other such representations or their likeness, whether graphically or in some other form, specifically, but not exclusively, in the registration of domain names, authoring of websites and use in other electronic media, that might be construed to imply University endorsement, support, favor of, association with, or opposition to any activity, program, event, policy, political and/or social movement, product, service, or the like is strictly prohibited, save where explicitly authorised by the University.

3.4 Dispute Resolution

Any question of interpretation or claim arising out of or relating to the University's **IP** regulations, or as a dispute as to the ownership of rights to **IP** under the University's **IP** regulations shall be settled by the University's standard grievance procedures.

4. Intellectual Property Regulations for Staff

4.1 Introduction

These Intellectual Property Regulations ("**IP Regulations**") set out the University's policy for the ownership, development and exploitation of **IP** created by a member of staff of the University ("**Originator**"). The **IP Regulations** should be read in conjunction with all other University regulations, an individual's contract of employment, and the terms and conditions of any agreements or contracts with external sponsors or other third parties. All staff agree to abide by the **IP Regulations** by virtue of their employment at the University.

4.2 Ownership

Unless otherwise agreed in writing and subject to relevant legislation and the following provisions the University asserts its right to ownership of **IP** generated by staff in the course of their employment in accordance with the provisions of the Patents Act 1977 and the Copyright, Designs and Patents Act 1988, which state respectively that ownership vests in the employing organisation when (and only when):

- (a) an invention is made in the course of an employee's normal or specifically assigned duties;
- (b) a 'work' (i.e. anything that is the subject of copyright protection, including computer software) is made by an employee in the course of his employment, subject to any agreement to the contrary.

The University's ownership rights shall be subject to the terms and conditions of any contract or materials transfer agreement relevant to the **IP** concerned.

The University will seek, where it is practicable to do so, to retain **IP** rights where it can and to minimise the ownership and usage rights of commissioning bodies, except where appropriate payment is made for those rights. The ownership of any **IP** resulting from externally funded projects will be reflected by the cost of the project to the funder.

The University may at any time and at its own discretion assign its rights to third parties.

4.3 Copyright

Under the Copyright, Designs and Patents Act 1988 the copyright in work produced by University employees in the course of their employment belongs to the employer unless there is agreement to the contrary.

4.3.1 Academic Articles and Textbooks

In accordance with normal academic practice the University waives the assertion of its legal ownership of copyright in **Academic Articles** and **Textbooks** as defined below unless requested to assert this right by the **Originator** or an external funder.

Academic Articles are defined as research publications including books, contributions to books, academic journal articles, conference papers or conference abstracts whether they are published in hard copy or electronic form.

Textbooks are defined as teaching material that while they can be recommended as part of the reading or as a reference source for a course are not integral or essential to the course and are available to individuals who are not registered for the course.

4.3.2 Course Materials

The University is committed to providing the best learning experience it can to its students and continuity of course provision is a critical element in being able to deliver this. To enable this provision the University does assert its legal right to ownership of all **Course Materials** as defined below produced by its employees whether this is in hard copy or electronically formatted.

Course Material includes the following or closely related material:

- (a) course guides, handouts and presentation materials and lectures and e-learning materials, produced for issue to internal students;
- (b) examination papers, questions, assessments; and
- (c) materials produced for distance learning (i.e. for courses, modules or programmes designed to be delivered predominantly to candidates studying at a distance from the University) or courses prepared for third parties or in cases where the author has been specifically assigned duties in order to produce the output.

The University undertakes to take reasonable efforts to protect the integrity of the material in which it claims copyright by reasonable consultation with the **Originator** about changes to such material.

If members of staff write teaching materials which they believe do not relate to their area of academic activity, or relate to courses which are not delivered in the University's name, they should discuss the copyright position and commercial exploitation of such distance learning materials with Research and Enterprise Services at an early stage.

Originators hold moral rights over **Course Materials** and must be attributed as the creator of the material, even if the University owns copyright.

Should an **Originator** move to another institution they will be able, using their know-how, to produce similar **Course Materials**. The University will normally, but at its own discretion, grant the right to the **Originator** to use **Course Material** they have generated at any institution they have transferred to. Any request for the grant of such rights should be made to the Research and Enterprise Service who will consult with the relevant Head of School.

Where the background research underpinning the teaching material has also contributed to the production of scholarly output, as described in Regulation 4.3.1, the member of staff shall discuss the copyright position with the University to ensure that there is no conflict of interest.

4.4 Notification to the University of IP generation

4.4.1 Disclosure

Originators who create **IP** which appears to be capable of commercial exploitation and which might either covered by (i) the University's ownership claims or (ii) a third party's ownership claims, shall report its existence at the earliest opportunity to their Head of the School and to Research and Enterprise Services via a Commercial Opportunity Disclosure Form (available from Research and Enterprise Services).

4.4.2 Confidentiality requirements

Unless otherwise agreed with the University, the **Originator** shall observe strict confidence in relation to such **IP** in order not to jeopardise the validity of any form of protection which might be sought. The need for prompt academic publication shall be weighed carefully in any decision about protecting the **IP** and unnecessary delay in publication should be avoided. **Originators** should be aware that publication in academic journals, posters or conference presentations may inhibit the ability of the University to obtain **IP** protection.

4.5 Interactions with External Organisations

4.5.1 Prior to the disclosure of confidential University **IP** to any third party the individual undertaking the disclosure should check that there is an appropriate agreement in place. Appropriate agreements relating to confidentiality and **IP** can be obtained from Research and Enterprise Services.

4.5.2 Before releasing any University **IP** to a third party to which a member of staff is connected either through having a position such as director or trustee, a contract of employment, a consultancy agreement or any form of financial

remuneration they will first notify Research and Enterprise Services. Any such transfer of University **IP** should be on a fully commercial arms length basis.

4.5.3 It is the responsibility of all staff to abide by any agreements between the University and third parties. Should there be any breach of any agreement by a member of staff the third party may be entitled to seek financial and other compensation.

4.5.4 The University provides a service for staff undertaking external consultancy work. Such consultancies are managed by UEA Consulting Ltd which is a wholly owned subsidiary of the University. In addition to UEA Consulting Ltd there are a number of other UEA subsidiary companies active in consultancy. Further details about consultancy can be found in the University External Consultancy Policy.

4.6 Interactions with the Norwich Research Park

4.6.1 Staff whose normal place of work is at the premises of an **NRP Partner Organisation** (Institute of Food Research, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Genome Analysis Centre, and The Sainsbury Laboratory) other than the University shall make themselves aware of the terms and conditions governing any **IP** generated in any NRP Collaboration Agreement, Visiting Workers Agreement, funding agreement, or any other agreement which may be relevant to the project between the University and any other **NRP Partner Organisation**.

4.6.2 Staff working as visitors at the premises of an **NRP Partner Organisation** other than the University shall make themselves aware and abide by the terms and conditions of any NRP Visiting Workers Agreement in place at the time of the visit.

4.7 Protection and Exploitation of IP

4.7.1 It is the policy of the University that wherever possible and practicable **IP** should be exploited for the benefit of society and end users and for the generation of revenue for the University and the individuals involved. The **Originator** and Research and Enterprise Services (in consultation with the Head of School, Associate Dean of Enterprise, and the Pro-Vice-Chancellor for Research Enterprise and Engagement when appropriate) shall determine as quickly as is reasonably possible whether and how the **IP** might be protected and exploited. A decision shall normally be made within three months of the initial contact.

4.7.2 The **Originator** shall co-operate with the University in applying for patent or other protection and in entering into any appropriate arrangements for protecting the secrecy of the **IP** and shall be required to collaborate with the University in the exploitation of the **IP**.

4.7.3 The University will use reasonable efforts when appropriate resources to do so are available to protect and exploit the **IP** by licensing or by other means and will make arrangements to seek any necessary professional advice.

4.7.4 If the University decides not to proceed with the protection and exploitation of any piece of **IP** reported to it under these arrangements, the **Originator** shall have the right to undertake such protection and exploitation themselves, requesting the assignment of ownership of the rights in the **IP** to themselves on reasonable terms which shall include a reasonable return to the University.

4.8 Revenue-sharing arrangements

4.8.1 If revenue arises from the exploitation of **IP** through licensing, option or other similar agreements, any net benefit received by the University, after deduction of **Eligible Costs**, will be shared between the **Originator**, his or her School, and the University as stated below:

<i>Net income</i>	<i>Distribution</i>
First £2000	100% to Originators
£3000	90% to Originators, 5% School, 5% University
Next 30,000	70% to Originators, 15% School, 15% University
Next £65,000	50% to Originators, 25% School, 25% University
Next £1,900,000	33.3% to Originators, 33.3% School, 33.3% University
Beyond £2,000,000	By negotiation in the individual circumstances.

4.8.2 Eligible Costs would include all the costs incurred during the commercialisation process and would include, but not be limited to the receipted costs of any past or future commitment of internal resources specifically used for commercialisation of the **IP** and external costs such as:

- (1) legal, technical or commercial advice;
- (2) patent fees; and
- (3) necessary associated expenses.

4.8.3 Where there is more than one **Originator**, the **Originators** shall agree amongst themselves on the apportionment of the **Originators'** share amongst them. The apportionment shall be confirmed by the Head of the School and there shall be procedures for the settlement of disputes amongst **Originators**, initially by reference to the Pro-Vice-Chancellor for Research, Enterprise and Engagement and finally by appeal to the Vice-Chancellor.

4.9 Spin-Out Companies

4.9.1 Where the circumstances suggest that it would be advantageous, the University encourages the forming of a Spin-out Company to implement the commercial development and exploitation of **IP**.

4.9.2 In all cases, the University will seek an equity stake in the Spin-out Company, in consideration for the licensing or vesting of **IP** and for facilitating the Spin-out Company's formation.

4.9.3 Members of staff shall require authorisation from the University before setting up a Spin-out Company and also before becoming an officer (director or secretary) of a Spin-out Company.

4.9.4 UEA Enterprises Ltd, a company wholly owned by the University to manage commercial exploitation activities, will be the vehicle used to own and control the UEA stake in a Spin-out Company.

4.9.5 The interests of the University, the individuals and the Spin-out Company must all be considered, and legal issues must be addressed. Issues to be considered by the University include:

- (1) the impact on existing and future duties of members of staff;
- (2) the use of **IP**;
- (3) the use of University resources, such as space and equipment;
- (4) the commercial viability of the project.

4.9.6 The University shall retain the right to appoint a director or to have observer status at board meetings of the Spin-out Company; at the Spin-out company's request the University may provide a director at the Spin-out Company's expense.

4.9.7 A full-time member of staff at the University may not also be an employee of a Spin-out Company.

4.9.8 Subject to University regulations and codes of conduct, members of the academic staff may:

- (a) own shares or share options in a Spin-out company;
- (b) act as directors of a Spin-out company;
- (c) act as paid consultants to a Spin-out company.

4.9.9 No member of the administrative staff of the University in a position to influence the relationship between the University and a Spin-out Company may own shares or share options in a Spin-out Company; nor act as a director of a Spin-out Company, except as the University's nominee.

4.9.10 The proportion of shares in any **Spin-out Company** to be owned by the University and by an **Originator** shall be determined by negotiation in the light of the circumstances of company formation.

4.9.11 Where any net revenue arises for the University from the activity or sale of a Spin-out Company the revenue-sharing arrangement set out in Regulation 4.8.1 above shall apply, except that there shall be no revenue entitlement for any Originator holding shares or share options in the company. Under these circumstances the revenue share described in Regulation 4.8.1

as being due to the Originator will be split equally between the University and the School.

4.10 Vehicles and authority to act

4.10.1 Where **IP** is identified as having commercial potential which merits protection and exploitation the rights in that **IP** shall be assigned to UEA Enterprises Ltd.

4.10.2 The right to sign **IP** related agreements such as Confidentiality Agreements and Material Transfer Agreements on behalf of the University and/or UEA Enterprises Ltd is specifically devolved by the Registrar and Secretary to appropriate members of Research and Enterprise Services. Other members of staff are not permitted to sign such agreements on behalf of the University.

4.10.3 The Research and Enterprise Services will provide support for the exploitation of the **IP**, with recharges to UEA Enterprises Ltd where appropriate.

5. Intellectual Property Regulations for Students registered for a degree by research ("Research Student")

5.1 Introduction

These Intellectual Property Regulations ("**IP Regulations**") set out the University's policy for the ownership, development and exploitation of **IP** created by a student registered for a degree by research at the University ("**Research Student Originator**"). The **IP Regulations** should be read in conjunction with other University regulations, and the terms and conditions of any agreements or contracts with external sponsors or other third parties. All Research Student Originators agree to abide by the **IP Regulations** as a precondition of registration for their research degree.

5.2 Ownership

Unless otherwise agreed in writing all research students as a precondition of registration for their research degree agree to formally assign any **IP** arising from their studies to the University should the University, at its sole discretion, request them to do so.

Students sponsored by third parties are required to be aware of the terms and conditions of their sponsorship, which may include **IP** arrangements.

Students whose normal place of study is at another institution for an award validated or accredited by the University, including but not limited to those studying at a **NRP Partner Organisation** (Institute of Food Research, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Genome Analysis Centre, and The Sainsbury Laboratory), shall be exempt from the University's requirement to agree to assign any **IP** arising from their studies, however the University shall maintain a claim of any University owned **IP** that is contained within the students work.

5.3 Interactions with External Organisations

5.3.1 Prior to the disclosure of confidential University **IP** to any third party any **Research Student** undertaking the disclosure should check that there is an appropriate agreement in place. Appropriate agreements relating to confidentiality and **IP** can be obtained from Research and Enterprise Services.

5.3.2 Before releasing any University **IP** to a third party to which a **Research Student** is connected either through having a position such as director or trustee, a contract of employment, a consultancy agreement or any form of financial remuneration they will first notify Research and Enterprise Services. Any such transfer of **IP** should be on a fully commercial arms length basis.

5.3.3 Research students working as visitors at the premises of another institution shall make themselves aware and abide by the terms and conditions of any Visiting Workers Agreement in place at the time of the visit.

5.4 Interactions with the Norwich Research Park

5.4.1 Research Students whose normal place of work is at the premises of an **NRP Partner Organisation** (Institute of Food Research, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Genome Analysis Centre, and The Sainsbury Laboratory) other than the University shall make themselves aware of the terms and conditions governing any **IP** generated in any NRP Collaboration Agreement, Visiting Workers Agreement, or any other agreement which may be relevant to the project between the University and any other **NRP Partner Organisation**.

5.4.2 Research Students working as visitors at the premises of an **NRP Partner Organisation** other than the University shall make themselves aware and abide by the terms and conditions of any NRP Visiting Workers Agreement in place at the time of the visit.

5.5 Copyright

The University does not claim any copyright on materials created by a **Research Student**.

5.6 Notification to the University of IP generation

5.6.1 Disclosure

Research Student Originator who creates **IP** which appears to be capable of commercial exploitation and which might either covered by (i) the University's ownership claims or (ii) a third party's ownership claims, shall report its existence at the earliest opportunity to their academic supervisor.

5.6.2 Confidentiality requirements

Unless otherwise agreed with the University, the **Research Student Originator** shall observe strict confidence in relation to such **IP** in order not to jeopardise the validity of any form of protection which might be sought. The

need for prompt academic publication shall be weighed carefully in any decision about protecting the **IP** and unnecessary delay in publication should be avoided. **Research Student Originator** should be aware that publication in academic journals, posters or conference presentations may inhibit the ability of the University to obtain **IP** protection.

5.7 Protection, Exploitation and Revenue Sharing of IP

In return for agreeing to the University **IP Regulations** including but not limited to the formal assignment of any **IP** arising from their studies the University agrees to treat a **Research Student Originator** as if they were a member of staff in relation to the protection, exploitation and revenue sharing from **IP** as detailed in sections 4.7, 4.8 and 4.9 of the **IP Regulations** in as far as it is able.

6. Intellectual Property Regulations for Students registered for a degree by taught programme

The University does not claim ownership of any **IP** arising from work which is undertaken by students in the course of their studies on a University taught programme unless:

- (1) the student is funded/sponsored by a third party, where the University has a contractual obligation to the third party regarding the ownership of **IP**;
- (2) the student and the University have come to a written agreement that the University will manage the commercialisation of the **IP**.

Students working as visitors at the premises of another institution, including but not limited to a **NRP Partner Organisation** (Institute of Food Research, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Genome Analysis Centre, and The Sainsbury Laboratory), shall make themselves aware and abide by the terms and conditions of any Visiting Workers Agreement in place at the time of the visit.

7. Intellectual Property Regulations for non-staff and non-University registered Students

Some individuals may have an association with the University but are neither staff nor students of the University nor a member of staff of a **NRP Partner organisation**. These may include, but are not be limited to, visiting academics and fellows, visiting students, individuals with honorary appointments and emeritus professors ("**Associate**").

Where it is anticipated that **IP** may arise during the course of activity undertaken by such an **Associate**, Research and Enterprise Services must be informed prior to commencement of any work so that the University can put in place appropriate agreements relating to confidentiality and **IP**.

All visitors to the University to whom Confidential **IP** may be released should be requested to sign, prior to the release of such confidential information, a confidentiality agreement. Confidentiality Agreements are obtained from Research and Enterprise Services.

Official and Academic Dress Regulations

- 1 In these Regulations, unless the contrary intention appears, "silk" includes silk substitute.
- 2 In these Regulations:
 - (1) a reference to the colour "coral" shall be read as a reference to the colour Coral BCC 93 as defined in the second edition of the Dictionary of Colour Standards published in the year one thousand nine hundred and fifty one.
 - (2) a reference to the colour "spectrum green" shall be read as a reference to the colour Spectrum Green BCC 100 as defined in that edition of that dictionary.
 - (3) a reference to the colour "red" shall be read as a reference to the colour Guardsman Red BCC 126 as defined in that edition of that dictionary.
 - (4) a reference to the colour "magenta" shall be read as a reference to the colour Magenta BCC 198 as defined in that edition of that dictionary.
 - (5) a reference to the colour "saffron" shall be read as a reference to the colour Saffron BCC 54 as defined in that edition of that dictionary.

OFFICIAL DRESS

3 The Chancellor

The official dress of the Chancellor shall be a robe of red superfine cloth trimmed with orange silk facings and striped with gold oak leaf lace; a large-rimmed round black velvet bonnet with gold cord and tassel.

4 The Pro-Chancellors

The official dress of a Pro-Chancellor shall be a robe of blue grosgrain with a yoke of black grosgrain and trimmed with facings of red velvet; a round black velvet bonnet with gold cord and tassel.

5 The Vice-Chancellor

The official dress of the Vice-Chancellor shall be a robe of tan-coloured superfine cloth trimmed with facings of fire-coloured velvet; a large-rimmed round black velvet bonnet with gold cord and tassel.

6 The Treasurer

The official dress of the Treasurer shall be a robe of dark green superfine cloth trimmed with facings of purple superfine cloth; a round black velvet bonnet with gold cord and tassel.

7 The Pro-Vice-Chancellors

The official dress of a Pro-Vice-Chancellor shall be a robe of blue grosgrain trimmed with facings of orange velvet; a round black velvet bonnet with gold cord and tassel.

8 The Registrar and Secretary

The official dress of the Registrar and Secretary shall be a robe of black grosgrain trimmed with facings of purple velvet; a black tricorn-shaped hat.

9 The Public Orator

The official dress of the Public Orator shall be a robe of purple superfine cloth with facings of purple velvet, sleeves trimmed with purple velvet and orange silk; a round black velvet bonnet with gold cord and tassel.

ACADEMIC DRESS

10 Doctors

The academic dress of a graduate of the University being a Doctor shall be:

for Doctor of Civil Law, Doctor of Laws, Doctor of Letters, Doctor of Music, Doctor of Science

- (1) a gown of blue grosgrain with jacket-type sleeves.
- (2) a hood of blue grosgrain halter-shaped and draped:
 - (a) in the case of Doctor of Civil Law, with crocus.
 - (b) in the case of Doctor of Law, with magenta.
 - (c) in the case of Doctor of Letters, with coral.
 - (d) in the case of Doctor of Music, with Beaton pink.
 - (e) in the case of Doctor of Science, with spectrum green.
- (3) a round black velvet bonnet with gold cord and tassel.

for Doctor of Philosophy, Doctor of Clinical Psychology, Doctor of Medicine, Doctor of Education, Doctor of Social Work

- (1) a gown of blue cloth with boot-style sleeves and facings of fine red grosgrain.
- (2) a hood of blue grosgrain lined in folds on the outside:
 - (a) in the case of Doctor of Philosophy, with red.
 - (b) in the case of Doctor of Clinical Psychology, with pale blue.
 - (c) in the case of Doctor of Medicine, with light grey.
 - (d) in the case of Doctor of Education, with blue.
 - (e) in the case of Doctor of Social Work, with pastel green.
- (3) a round black velvet bonnet with gold cord and tassel.

11 Master of Philosophy

The academic dress of a graduate of the University being a Master of Philosophy shall be:

- (1) a gown of blue cloth with boot-style sleeves.

- (2) a hood of blue grosgrain lined in folds on the outside with fine red grosgrain.
- (3) a black mortar-board with tassel.

12 Master of Arts, Master of Science, Master of Education, Master of Laws, Master of Business Administration, Master of Music, Master of Research, Master of Clinical Education and Master of Surgery

The academic dress of a graduate of the University being a Master of Arts, a Master of Science, a Master of Education, a Master of Laws, a Master of Music, a Master of Research or a Master of Clinical Education shall be:

- (1) a gown of blue cloth with boot-style sleeves.
- (2) a hood of blue grosgrain lined in folds on the outside:
 - (a) in the case of Master of Arts with coral.
 - (b) in the case of Master of Science, with spectrum green.
 - (c) in the case of Master of Education, with blue (the colour Blue BCC 195 as defined in the second edition of the Dictionary of Colour Standards).
 - (d) in the case of Master of Laws and of Master of Business Administration, with magenta.
 - (e) in the case of Master of Music, with Beaton pink.
 - (f) in the case of Master of Research, with maroon.
 - (g) in the case of Master of Clinical Education with Belfast purple.
 - (h) in the case of Master of Surgery, with light grey.
- (3) a black mortar-board with tassel.

13 Master of Chemistry, Master of Computing Science, Master of Mathematics, Master of Natural Sciences, Master of Pharmacy and Master of Sciences

The academic dress of a graduate of the University being a Master of Chemistry, Master of Computing Science, Master of Mathematics, Master of Natural Sciences or Master of Pharmacy shall be:

- (1) a gown of blue cloth with boot-style sleeves.
- (2) a hood of blue grosgrain lined on the outside to a depth of six inches down the edge of the cowl with one fold only:
 - (a) in the case of Master of Chemistry, with spectrum green.
 - (b) in the case of Master of Computing Science with spectrum green.
 - (c) in the case of Master of Engineering, with saffron
 - (d) in the case of Master of Mathematics, with spectrum green.
 - (e) in the case of Master of Natural Sciences with spectrum green.
 - (f) in the case of Master of Pharmacy, with gold.
 - (g) in the case of Master of Sciences, with spectrum green.
- (3) a black mortar-board with tassel.

14 For Sub Masters Awards: Postgraduate Certificate in Education and Sub Masters Degree Qualifications:

(i) *Postgraduate Certificates in Education*

The academic dress for students who receive a Postgraduate Certificate in Education shall be:

- (1) a gown of blue cloth with boot-style sleeves.
- (2) a hood of blue grosgrain lined on the outside to a depth of six inches down the edge of the cowl with one fold only in blue (the colour Beryl Blue, reference SW81).
- (3) a black mortar board with tassel.

(ii) *Other Sub Masters Awards including: Graduate Diploma, Graduate Certificate, Postgraduate Diploma, and Postgraduate Certificate (excluding PGCE)*

The academic dress for students who receive any Graduate or Postgraduate Diploma or Certificate (other than the PGCE) shall be:

- (1) a gown of blue cloth with boot-style sleeves.
- (2) a hood of blue grosgrain lined on the outside to a depth of six inches down the edge of the cowl with one fold only in white.
- (3) a black mortar board with tassel.

15 Bachelors

The academic dress of a graduate of the University being a Bachelor shall be:

- (1) a gown of blue cloth with pointed-style sleeves.
- (2) a hood of blue grosgrain lined on the outside to a depth of six inches down the edge of the cowl with one fold only:
 - (a) in the case of Bachelor of Arts, with coral.
 - (b) in the case of Bachelor of Science, with spectrum green.
 - (c) in the case of Bachelor of Laws, with magenta.
 - (d) in the case of Bachelor of Engineering, with saffron
 - (e) in the case of Bachelor of Medicine/Bachelor of Surgery, with light grey.
- (3) either a black mortar-board with tassel or a black cloth skullcap with brim.

16 For Sub Honours Awards: Foundation Degrees and Sub Honours Degree Qualifications:-

(i) *Foundation Degrees*

The academic dress for students who receive Foundation Degrees shall be:

- (1) a gown of blue cloth with pointed-style sleeves.
- (2) a hood of blue grosgrain edged on the outside to a depth of two inches:
 - (a) in the case of the Foundation Degree in Arts (FdA), with coral.
 - (b) in the case of the Foundation Degree in Science (FdSc),

- with spectrum green.
- (3) a black mortar-board with tassel.

(ii) Other Sub Honours Awards including: Diplomas and Certificates of Higher Education and Higher National Certificates and Diplomas (excluding Foundation Degrees).

The academic dress for students who receive other Sub Honours Awards including Diplomas and Certificates of Higher Education and Higher National Diplomas and Certificates shall be:

- (1) a gown of blue cloth with pointed-style sleeves.
- (2) a hood of blue grosgrain edged on the outside to a depth of two inches in white.
- (3) a black mortar-board with tassel

17 Undergraduate Students

The academic dress of an undergraduate student of the University shall be:

- (1) a gown of blue cloth in cape-style trimmed with facings of black cloth which must extend round the yoke of the gown.
- (2) a black cloth skullcap with brim.

Public Lectures

Public lectures are arranged by the University. The programme of lectures is published and announcements are made in the press.

THE ARTHUR BATCHELOR LECTURE

The following rules govern the Arthur Batchelor Fund:

- 1 The benefaction given to the University in 1963 by Miss D.M. Batchelor shall constitute a trust fund called the Arthur Batchelor Fund and such investments as may from time to time be made from this benefaction shall be investments of the trust fund.
- 2 The income from the Arthur Batchelor Fund shall be used:
 - (1) to provide lectures on a subject concerning music or the visual arts and, if appropriate, for the subsequent publication of the lectures.
 - (2) with the approval of the Senate on the recommendation of the Vice-Chancellor, to provide Arthur Batchelor Scholarships, Prizes and Bursaries in areas of study of Art History and World Art Studies and Music Performance.
- 3 The lecturer shall be appointed by a body consisting of the Vice-Chancellor and two other members appointed for each occasion by the Senate.
- 4 The stipend and expenses of the lecturer shall be determined by the Vice-Chancellor having regard to the provisions of rule 2(1).
- 5 These rules shall be subject to alteration by the Senate provided that the name of Arthur Batchelor be always connected with the foundation and that income arising there from be appropriated to some academic object of a similar character.

THOMAS PAINE LECTURE

The Thomas Paine Society has instituted a biennial lecture which is governed by the following rules:

- 1 The benefaction given to the University in 1970 by Mr Jesse Collins, a member of the Thomas Paine Society, shall constitute a trust fund called the Thomas Paine Lecture Fund and such investments as may from time to time be made from this benefaction shall be investments of the trust fund.
- 2 The income from the Thomas Paine Lecture Fund shall be used to provide one lecture every two years on some aspect of Thomas Paine's life, times or thought and for the subsequent publication of the lectures.

3 The lecturer shall be appointed by a body consisting of the Vice-Chancellor, a representative of the School of History and/or the School of Art, Media and American Studies and/or the School of Politics, Philosophy, Language and Communication Studies and a representative of the Thomas Paine Society.

4 The stipend and expenses of the lecturer and the decision whether or not to publish the lecture shall be determined by the body appointing the lecturer.

5 These rules shall be subject to alteration by the Senate, on the recommendation of the body responsible for appointing the lecturer, provided that the name of Thomas Paine be always connected with the trust fund and that income arising there-from be appropriated to some academic object of similar character.

NORWICH LECTURE ON CONTEMPORARY ARCHITECTURE AND DESIGN

The University and the Norfolk Association of Architects have instituted an annual lecture which is governed by the following rules:

1 The lecturer shall be appointed by the Vice-Chancellor on the recommendation of the Norfolk Association of Architects. The lecturer shall normally be a recent recipient of the Gold Medal of the Royal Institute of British Architects.

2 The stipend and expenses of the lecturer shall be determined by the Norfolk Association of Architects in consultation with the Vice-Chancellor.

KESWICK HALL LECTURE

The Keswick Hall Charity has instituted an annual lecture which is governed by the following rules:

1 The lecturer shall be appointed by the Vice-Chancellor on the recommendation of a selection committee consisting of the Vice-Chancellor or his nominee, the Trustees (2 members), the Anglican Chaplain (1) and the University School of Education (1).

2 The subject of the lecture shall be some aspect of the Christian religion or of Religious Education.

3 The stipend and expenses of the lecturer shall be determined by the Keswick Hall Charity in consultation with the Vice-Chancellor.

JOYCE MORRIS LITERACY FOUNDATION - ANDREW WILKINSON MEMORIAL FUND

1 The Joyce Morris Literacy Foundation made a donation to the University in memory of Professor Andrew Wilkinson who was Professor of Education from 1981 until his death in January 1991.

2 The fund established from the gift was set up for the following purposes:

to fund "a public lecture or other activity in the name of Professor Andrew Wilkinson to promote the study of education which should be given annually or less often as funds permit".

3 The activities supported by the fund shall be determined and arranged by a Committee of the School Board to be known as the Joyce Morris Foundation Andrew Wilkinson Memorial Fund Committee.

4 The membership of the Committee shall be:

The Head of School Ex-officio

Three members of the Board of the School

Two members external to the University appointed by the Board of the School.

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Equal Opportunities for Students

1 Introduction

The University's Mission Statement is:

'to understand, empower and act, to enhance the lives of individuals and the prospects of communities in a rapidly changing world.'

As a reflection of its mission the University is a large, international and multicultural community which values and welcomes diversity.

2 Statement of Policy

The governing body of the University, the University's Council, has agreed the following statement of policy in relation to equal opportunities for students and potential students:

(1) The University is a major employer, provider of education and other services, and purchaser of goods, works and services. Through its policies and practices the University is committed to equality of opportunity and fair treatment for all its students and staff and for potential members of its student and staff community and for other users of its services.

(2) The University aims to create an atmosphere of learning that welcomes and values difference and expects all members of the University to respect diversity. The University of East Anglia endeavours to ensure that no student or applicant for study will receive less favourable treatment on the grounds of age, caste, colour, disability, ethnicity, gender identity, marital status, pregnancy or maternity, race, religion or belief, sex, sexual orientation, or any other criterion accepted as irrelevant by the University's Council. It will seek to ensure fair treatment for all students in access to learning opportunities, teaching, assessment and support and welfare services. The University will make reasonable adjustments where required and will work proactively in this respect on an on-going basis.

(3) The University recognises that as a public body it has a particular duty to promote equality. The University as an employer, an education and service provider, and purchaser of goods, works and services, is committed to the elimination of unlawful discrimination. It will monitor and review the impact of its policies and procedures and will take steps to ensure that all members of the University community are aware of their responsibilities under the University's Codes of Practice on Equality and the University's Equality Objectives.

Code of Practice

1 Introduction

- 1.1 The University's Statement of Policy on Equal Opportunities for Students recognises the University's legal obligations as an employer, a provider of education and other services, and purchaser of goods, works and services. The University recognises that there are many other factors which may lead to unfair discriminatory practices in employment and the provision of education and other services, even if these are not unlawful. This Code of Practice is designed to promote equality of opportunity for all students and to ensure that individual educational decisions are related only to the relevant merits, abilities and potential of individuals.
- 1.2 The purpose of this Code of Practice is to outline practices by which the University's Statement of Policy may be given full effect and to ensure that the University fulfils its obligations under current equality legislation.
- 1.3 This code should be read in conjunction with the University's Code of Practice on the Promotion of Race Equality, its Athena Swan Bronze Action Plan and current equality objectives. These cover students and employees. Details of the Codes of Practice/Action Plans may be consulted via the following websites:

For Students

<http://www.uea.ac.uk/equality/student-policies>

For Staff

<https://www.uea.ac.uk/equality>

2 Responsibility of the University Community

All members of the University community are required to comply with these Schemes/Codes of Practice and with the relevant legal requirements and are expected to assist in the removal of any unlawfully discriminatory practices that may exist in the University by drawing them to the attention of the Pro-Vice-Chancellor with responsibility for equal opportunities matters in the particular area concerned via the relevant Director of University Services see 8.3 below).

3 Communication

All students should be made aware of the University's Statement of Policy and of these Schemes/Codes of Practice. Students will have access to the documents via the Student Portal, Schools of Studies, Faculty Offices, the Academic Division, the Dean of Students' Office, the Union of UEA Students, and the University's website.

4 Admissions

- 4.1 The key selection criteria for admission to the University are the academic ability and potential of the applicant and any professional body requirements, where relevant.

- 4.2 The Schools of Studies are responsible for ensuring that admissions criteria and procedures enable applicants from all educational backgrounds to demonstrate their academic potential and their ability to meet professional body requirements where relevant.
- 4.3 No applicant will be treated less favourably on grounds of age, caste, colour, disability, ethnicity, gender identity, marital status, pregnancy or maternity, race, religion or belief, sex, sexual orientation, or any other criterion accepted as irrelevant by the University's Council. (Certain additional procedures apply if an applicant is under 18 years of age at the point of intended registration in order for the University to comply with existing child protection and other relevant legislation).
- 4.4 The University welcomes applications from people with disabilities and will undertake reasonable adjustments to enable academically qualified applicants to access the full range of educational provision offered by the University. More detailed information about the ways in which the University does this is contained in 'Information for Students with Disabilities'.
- 4.5 Applicants for admission to the University who are unsuccessful in their application have a right of complaint (on the grounds of procedural irregularity, prejudice or bias, or extenuating circumstances). Information about the complaints procedure is available from the University's Admissions and Outreach Office.
- 4.6 The University will make reasonable adjustments to ensure that its publicity material, events and information services are accessible to all applicants.
- 4.7 The University is committed to providing equality awareness guidance and training for staff involved in admissions and selection and expects staff to participate fully in this.

5 Educational and Service Provision

- 5.1 The University will promote equality of opportunity through its educational provision and its approach to teaching and learning through course design and delivery, and assessment.
- 5.2 The University is committed to the principles of equality of opportunity through access to, and fair treatment in, the services it provides and the facilities it offers to its students and to its employees. Where a service cannot be offered to all who wish to use it, any restrictions on access, or any decision to restrict access, will be reasonable and lawful.
- 5.3 The University will make reasonable adjustments to facilitate access by students with disabilities to teaching and learning, whatever the level of the course or the mode of provision, to assessment, and to

the full range of educational and other facilities and services with a view to their full participation in the life of the University.

5.4 The University will keep under review the membership and criteria for membership of its Committees to ensure fair and equal opportunities for participation.

5.5 The University will, as a matter of both best practice and policy use inclusive language in its publications and other communications.

6 Complaints

6.1 The University will deal with complaints that concern the University's Codes of Practice/Policies in accordance with the University's Complaints Procedure as set out in the UEA Calendar.

6.2 Students who make complaints through the Procedure will not be disadvantaged for having done so in good faith. However, the University expects that students will not engage in frivolous or malicious complaints. If it is found that a complaint has been brought with mischievous or malicious intent, this may prove grounds for disciplinary action against the complainant.

7 Harassment

The University is committed to maintaining a working and learning environment that is free from any form of harassment. It treats any allegations of harassment very seriously and has support structures and procedures for responding to and dealing with instances of harassment. Students should refer to the University's Guidelines for Students Dealing with Harassment, available from the intranet at:

<http://www.uea.ac.uk/dos/student-conduct-and-harassment>

The Dean of Students' Office and the Union of UEA Students (through the Union Advice Centre) offer confidential support and advice to all students with concerns

8 Monitoring and Review of Policy and Practice

8.1 The University will develop its quality assurance and enhancement systems to monitor the student population by a range of characteristics identified as key by current equality legislation. In particular, monitoring systems will be developed to identify any differential impact on the student body arising from policy and practice in admissions and teaching and assessment. Profiles of admissions, academic progression, discontinuation of study, degree awards, first destinations, and the use and outcome of complaints and academic appeals procedures will be developed for use as indicators.

8.2 The University will work proactively to ensure its policy on equal opportunities is fully implemented. Action will include the provision of training, particularly for key staff groups where monitoring indicates that an area of policy or practice requires revision.

8.3 Responsibility for monitoring and review of equal opportunities matters in relation to students currently rests with four Committees of the University on which the Union of UEA Students and the Graduate Students' Association are represented.

i) The Recruitment, Admissions and Marketing Committee is responsible to the University's Council and Senate for the development, implementation, monitoring and review of the University's equal opportunities policy and practice in connection with applicants to programmes of study at the University. The Committee is chaired by the Director of Admissions, accountable to the Vice-Chancellor, who is responsible for ensuring that these duties with respect to equal opportunities for applicants are carried out.

ii) The Learning and Teaching Committee is responsible to the Senate for the development, implementation, monitoring and review of equal opportunities policy and practice in connection with registered students. The Committee is chaired by a Pro-Vice-Chancellor, accountable to the Vice-Chancellor, who is responsible for ensuring that these duties with respect to equal opportunities for registered students are carried out.

iii) The Equality and Diversity Committee is responsible to the Council for the development, implementation, monitoring and review of equality policies for both students and staff. The Committee is chaired by a Pro-Vice-Chancellor, who is responsible for ensuring that these duties for both students and staff are carried out.

iv) The Senate has responsibility for the education and discipline of students and will receive an annual report on the operation and evaluation of the University's policies and Codes of Practice relating to equal opportunities. The Senate will also address, as and when necessary, matters of policy and/or practice having an impact on the equal opportunities of the University's students or applicants for study drawn to its attention by its Committees or members.

8.4 As the governing body of the University, the Council carries ultimate responsibility for the welfare of students and for ensuring that the policies and procedures of the University comply with its equal opportunities policy. The Council will receive the annual report of the Senate (see above) and consider any matters of policy and/or practice having an impact on the equal opportunities of the University's students or applicants for study drawn to its attention by its Committees or members.

9 Contacts

Students may seek advice on any of the above issues from their School, Faculty Office, the Dean of Students' Office, the Union of UEA Students, the Graduate Students' Association, and additionally in the case of students with disabilities, the Disability Co-ordinator in the Dean of Students' Office.

| The ~~University Counselling Service, the~~ Chaplaincy and the University Medical Services are also available to students requiring their help.

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Code of Practice Relating to Freedom of Speech

1 Preamble

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| Education (No.2) Act 1986 | 1.1 | Section 43 of the Education (No 2) Act 1986 lays a duty on every individual and body of persons concerned in the government of the University to take such steps as are reasonably practicable to ensure that freedom of speech within the law is secured for members, students and employees of the University and for visiting speakers. |
| Code of Practice | 1.2 | In pursuance of its duties under this Act, the Council of the University has approved this Code of Practice relating to Freedom of Speech. |
| Availability of the Code | 1.3 | The Code is reviewed regularly and published annually. Copies are made available to staff and students. |
| Scope and Provisions of the Code | 1.4 | The Code applies to the use of University premises (including those used by the Union of Students) for certain designated meetings and other activities. It sets out the procedures to be followed by, and the conduct required of, members, students and employees of the University in connection with any such designated event. |
| Breaches of the Code | 1.5 | Breaches of the Code may lead to disciplinary proceedings within the University and may also be dealt with in the Courts if they involve breaches of the law. |

2 Principles

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| Legal Duty on Use of University Premises | 2.1 | So far as is reasonably practicable, no premises of the University shall be denied to any individual or body of persons on any grounds connected with:
(1) the beliefs or views of that individual or body; or
(2) the policy or objectives of that body. |
| Other Legal Obligations | 2.2 | Freedom of expression and assembly is restrained by laws such as those relating to race relations and public order. Thus, in seeking to uphold the principle set out in Section 2.1 above, the University must also take account of other legal obligations which may require it to have regard to what is said on its premises. For example, a speaker who incites an audience to violence or to a breach of the peace or to racial hatred transgresses the bounds of legal speech. Equally, assemblies of persons even if directed to lawful purposes, cease to be lawful if they cause serious public |

disorder or breaches of the peace.

3 Provisions of the Code of Practice

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| Definition of Designated Events | 3.1 Any meeting or other activity held on University premises where there is a real likelihood that, unless special arrangements are made, the speaker may not be able to enter or leave the building safely and/or deliver his or her address will be deemed to be a designated event falling within the requirements of this Code. (See also Section 4.2) |
| Definition of University Premises | 3.2 For the purpose of this Code, <u>University premises</u> shall be deemed to consist of all University buildings and grounds (including those used or managed by the Union of Students) in which a meeting or other activity could be held. |
| Scope of the Code | 3.3 The provisions of the Code, including the procedures laid down in Section 4, shall be followed by members, students and employees of the University in respect of:
(1) meetings or any other activities which are held on the premises of the University falling within the class of events specified in Section 3.1 above;
(2) the conduct required of all persons in connection with any such defined meetings or activities; and
(3) any other related or ancillary matters which a governing body of the University may from time to time declare to fall within this Code. (See Sections 4.6 and 4.9.) |
| Breaches of the Code | 3.4 Infringements of, or departures from, the provisions of the Code in whatever respect will render those responsible liable to action under such established disciplinary procedures as may for the time being be in force for members, students and employees of the University.

3.5 Additionally, if any such actions involve breaches of the law, the University authorities will be ready to assist the prosecuting authorities to implement the processes of law and, if charges are preferred, may stay disciplinary proceedings pending the outcome of any such proceedings (including an appeal therefrom). Notwithstanding the foregoing, where a member, student or employee of the University has been convicted before a court of law of a civil or criminal offence bearing on the Code or related jurisdiction, appropriate disciplinary proceedings in respect of the incident involving that offence may be brought in respect of the offence where, in the opinion of the Vice-Chancellor, it is necessary for the proper functioning of the University that such proceedings should be brought. In such proceedings it shall not be necessary for any party to prove again any fact already established in the legal proceedings. |

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| General Regulations for Students and the Code of Discipline | 3.6 | In addition to their obligations under the Code, students are individually bound by General Regulation 11 in particular as it relates to the exercise on University premises of freedom of speech within the law and lawful assembly. Infringement by students of the exercise of these rights is regulated by the University's Code of Discipline. Neither breaches of the General Regulations for Students nor the Code of Discipline nor the Code of Practice relating to Freedom of Speech can be sanctioned by mass meetings and resolutions of the student body. |
| Outside Organisations | 3.7 | In the event of University premises being used by outside organisations, the nature of the contractual arrangements shall be such as to ensure so far as possible compliance with the requirements of the Code. |
| Appointed Officer | 3.8 | The Council has authorised the Vice-Chancellor to appoint the Registrar and Secretary as <i>Appointed Officer</i> who shall act on behalf of the Council to ensure as far as is reasonably practicable that all members, students and employees of the University, visiting speakers and outside organisations comply with the provisions of the Code. In the absence of the Registrar and Secretary, these powers shall be exercised by such other senior University officer as the Registrar and Secretary may designate. |

4 Procedure

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| | 4.1 | The following procedures shall be adopted in regard to the preparation for and conduct of designated events on University premises. |
| Specification of Designated Events | 4.2 | All proposed meetings or other activities to be held on University premises (including General Meetings of the Union of Students) shall be assessed against the definition of a designated event (see Section 3.1). |
| Specification of Designated Events | 4.3 | The Appointed Officer shall determine in respect of all events likely to fall within the jurisdiction of the Code whether or not they shall be deemed to be designated events within the meaning of Section 3.1. The Appointed Officer shall have absolute discretion at any time to declare an event for which a booking has been confirmed a designated event subject to the Code. Events other than those specified in Section 3.1 may be designated by the Appointed Officer in exceptional circumstances but the number of designated events should be kept to the minimum. |

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| Principal
Organiser | 4.4 | The organisers of any such event shall ensure that a single person is appointed as Principal Organiser of the event. |
| Booking
Procedure | 4.5 | The Principal Organiser of such an event shall ensure that at least 10 clear working days' notice of the proposed event shall be given to the Appointed Officer. This may be done in the Accommodation and Conference Office by completing the Declaration on a Room Booking Form. This Declaration shall contain a written statement describing the proposed event including its nature, the name of the speaker, the subject of the address and the precise timing of arrival and departure of the speaker. |
| | 4.6 | Within 5 clear working days of receiving such notice, the Appointed Officer shall issue a statement which shall either grant or withhold permission for the use of University premises as proposed for the conduct of the event. |
| Special
Conditions | 4.7 | Permission so granted may be granted subject to such special conditions as the Appointed Officer considers reasonable to secure fulfilment of the University's statutory responsibilities concerning the protection of free speech within the law. Such special conditions will supplement the Standard Conditions set out on the Room Booking Form which must be accepted in writing by the Principal Organiser when giving notice of the proposed event. Only when written agreement to any special conditions has been received from the Principal Organiser will the booking be confirmed. |
| | 4.8 | The Principal Organiser and every other person concerned with the organisation of an event for which permission has been granted shall be required to comply with any and every special condition laid down by the Appointed Officer under the provisions of the Code and with any and every standard condition relating to a room booking. |

4.9 The special conditions prescribed by the Appointed Officer under Section 4.6 and Section 4.9 below may include, *inter alia*, the following requirements:

- (1) that a deposit shall be payable by the Principal Organiser in advance of the event;
- (2) that the Principal Organiser shall appoint a stipulated number of named stewards, as to whose suitability the Appointed Officer must be satisfied, in addition to any Security Staff that the Appointed Officer may feel should be present to maintain order;
- (3) that the wording of leaflets and notices advertising the event shall be subject to approval by the Appointed Officer;
- (4) that admission to the event shall be confined to members of the University;
- (5) that tickets shall be issued by the Principal Organiser/Appointed Officer;
- (6) that admission to the event shall be confined to ticket holders;
- (7) that nominated senior members of the University shall be present at the event;
- (8) that the admission of press, television and broadcasting personnel shall be restricted;
- (9) that the access and exit routes of the speaker shall be subject to approval by the Appointed Officer;
- (10) that the Appointed Officer reserves the right to decide which room(s) shall be used for the event;
- (11) that detailed arrangements for the event be agreed between the Principal Organiser and a member of staff nominated by the Appointed Officer.

4.10 In addition to the special conditions set out in Section 4.8 above, the Appointed Officer has discretion to lay down further conditions, if appropriate after consultation with the police. Such further requirements may include, *inter alia*, the following:

- (1) that the event shall be declared a "public meeting" within the meaning of the Public Meeting Act and the Public Order Act which would permit a police presence;
- (2) that University staff shall be responsible for all security arrangements.

Withdrawal/
Cancellation of
Permission

4.11 If not satisfied that adequate arrangements can be made to maintain good order, the Appointed Officer may refuse or withdraw permission for the event. Such a step would normally only be taken on the advice of the police but failure on the part of the Principal Organiser to comply strictly with all requirements imposed by the Appointed Officer could also lead to withdrawal of permission for the event.

Responsible Persons 4.12 For an event attended by less than 250 persons, the Principal Organiser shall be the Responsible Person (as defined in the Standard Conditions for Room Booking) who shall be present and in charge during the whole period of the event. For an event attended by more than 250 persons, the Responsible Person shall normally be a member of the University staff nominated by the Appointed Officer.

Controlling Officer 4.13 The Appointed Officer may nominate a member of staff to act as Controlling Officer for a designated event to whom the Principal Organiser and every other person concerned with the organisation of the event shall be responsible during the whole period of the event.

Legal Obligations of Organisers 4.14 Organisers have a duty to ensure that nothing in the preparations for or conduct of an event infringes the law, for example, by conduct likely to cause a breach of the peace or incitement to illegal acts.

Duties of Chairman 4.15 The Chairman of the meeting has a duty so far as possible to ensure that both the audience and the speaker act in accordance with the law during the meeting. In the case of unlawful conduct, the Chairman is required to give appropriate warnings and, in the case of continuing unlawfulness, to require the withdrawal or removal of persons concerned by the stewards.

4.16 The Chairman of the meeting also has a duty as a last resort to terminate the meeting, if order cannot be maintained, to protect the safety of people, property or premises.

Restrictions on Personal Belongings 4.17 No article or objects likely under the circumstances to lead to injury, damage or a breach of the peace may be taken into or used inside the building where the event is taking place, or taken or used elsewhere on University premises.

Leave in Good Condition 4.18 Premises used for an event must be left in clean and tidy conditions in default of which the organisers may be charged for any additional cleaning and repairs that are subsequently required. Payment in advance, or evidence of ability to meet such payment, may be required.

4.19 The University will normally bear the costs of portering and security outside an event requiring extra provision for not more than three designated events held by a particular organisation or society in any one academic year on

condition that the organisers themselves meet any additional costs of portering and security within the events.

Appeals

4.20 Appeals against the rulings of the Appointed Officer may be made to the Vice-Chancellor whose decision shall be final but must be reported to the next meeting of the Council.

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Code of Practice Relating to Freedom of Speech and Activities, Events and Meetings

1. Preamble

1.1 The Education (No.2) Act 1986 places a duty on the University to ensure that freedom of speech is secured for students, staff and visitors, and so far as is reasonably practicable that no premises of the University (including those of the Students' Union) shall be denied to any individual or body of persons on any grounds connected with:

- a) the beliefs or views of that individual or body; or
- b) the policies or objectives of that body.

1.2 The University values academic freedom and is committed to promoting and encouraging free debate and inquiry. It accommodates a wide range of views, even when they are unpopular, controversial or provocative. Nonetheless, the University does not regard the right to freedom of speech as unfettered and asserts its right to prohibit or to place special conditions on activities, events or meetings ("activity" or "activities") where it is appropriate to do so.

2. Activities which are subject to this Code

2.1 The activities which are subject to this Code are those which:

- a) involve a proscribed organisation; or
- b) are likely to give a platform for views which are unlawful or where it is likely that others will be encouraged or incited to break the law; or
- c) where there may be risks to public order or to the safety of individuals or property; or
- d) there are risks that views will be expressed which constitute extremist views (in opposition to fundamental values of democracy, the rule of law, individual liberty, mutual respect and tolerance of different faiths and beliefs), and which risk drawing people into terrorism or are shared by terrorist groups.

3. Notification

3.1 It will be the responsibility of the organiser of any activity that might fall within paragraph 2.1 and is thereby subject to this Code (whether it takes place on or off campus) to draw the activity to the attention of the person authorised by the Registrar (the authorised officer*) at least ten clear working days prior to the activity. In addition:

- a) any room booking request outside of the normal procedures for time-tabling academic provision will require the organiser to assess whether

the event falls within paragraph 2.1 and to always provide details of the nature of the event and any external speakers;

- b) the Students' Union will operate its own arrangements for reviewing activities and bookings on University premises made by its officers, staff, clubs and societies which are consistent with the obligations set out in paragraph 1.1 and which will be reviewed and agreed annually with the University. These will include an objective determination of whether an activity falls within paragraph 2.1 (with subsequent referral to the authorised officer) and identify the steps which could mitigate the risks identified in paragraphs 2.1c) and 2.1d).

4. Actions by the University

- 4.1** The University will prohibit activities that it determines fall within 2.1 a) or 2.1 b) and may prohibit activities which it determines fall within 2.1 c) or 2.1 d) where it considers that the risks cannot be fully mitigated through special conditions and in so determining, will err on the side of caution.
- 4.2** The University will prohibit or place special conditions upon any activity off campus that falls within 2.1 and is associated with the University, insofar as that is practicable.
- 4.3** The University will use such means as are available to it to give effect to this Code and to enforce any special conditions it imposes on particular activities. A breach of the Code or any prohibition or special conditions may lead to disciplinary action.
- 4.4** In the case of any activity identified as falling within 2.1 the authorised officer will determine who is the principal organiser of the activity and will within five clear working days of the planned time of the activity, determine whether or not the activity should be allowed to proceed or whether it should be allowed to proceed on the basis that special conditions are adhered to. It shall be the responsibility of the principal organiser to ensure that such special conditions are met.
- 4.5** Where ten clear working days' notice of an activity found to fall within 2.1 is not given to the authorised officer permission will normally be refused for the activity to take place.

5. Special conditions for an activity to proceed

- 5.1** Any special conditions set by the authorised officer will aim to minimise the risks set out in paragraph 2.1 and may include *inter alia* the requirement that:
 - a) a deposit is payable by the principal organiser in advance of the event;
 - b) the principal organiser appoints a stipulated number of named stewards, as to whose suitability the authorised officer must be satisfied, in addition to any security staff that the authorised officer may feel should be present to maintain order;

- c) the wording of leaflets and notices advertising the activity is subject to approval by the authorised officer;
- d) admission to the event is confined to members of the University;
- e) tickets are issued by the principal organiser/authorised officer;
- f) admission is confined to ticket holders;
- g) nominated senior members of the University are present;
- h) the activity is recorded;
- i) the admission of press, television and broadcasting personnel is restricted;
- j) the access and exit routes of the speaker are subject to approval by the authorised officer;
- k) the authorised officer decides which room(s) are used;
- l) detailed arrangements are agreed between the principal organiser and a member of staff nominated by the authorised officer;
- m) there is adequate opportunity for a wide range of views to be expressed and challenged;
- n) an experienced and respected individual approved by the authorised officer chairs the activity.

6. General requirements

- 6.1** The Chair of any activity that is a meeting has a duty so far as possible to ensure that both the audience and the speaker act in accordance with the law during the meeting. In the case of unlawful conduct, the Chair is required to give appropriate warnings and, in the case of continuing unlawfulness, to require the withdrawal or removal of persons concerned by the stewards.
- 6.2** The Chair of the meeting also has a duty to terminate the meeting if order cannot be maintained and to protect the safety of people, property or premises.
- 6.3** No article or objects likely under the circumstances to lead to injury, damage or a breach of the peace may be used as part of any activity.
- 6.4** Premises used for an activity must be left in clean and tidy conditions in default of which the organisers may be charged for any additional cleaning and repairs that are subsequently required. Payment in advance, or evidence of ability to meet such payment, may be required.
- 6.5** The University may require the organisers of an activity to bear the costs for any additional security that is required.

7. Appeals

- 7.1** Appeals against the rulings of the authorised officer may be made to the Vice-Chancellor whose decision shall be final.

8. Awareness

8.1 The University will draw this Code to the attention of all staff, students and the Students' Union annually.

*The "authorised officer" is currently Christine Beveridge, Head of Campus Support

Archived Document

Code of Practice Relating to Students' Unions approved by the Council of the University of East Anglia

1.0 Preamble

- 1.1 Section 22 of the Education Act 1994 (the Act) lays a duty on the governing body of the University to:
- a) take such steps as are reasonably practicable to secure that any students' union for students at the establishment operates in a fair and democratic manner and is accountable for its finances;
 - b) in particular take such steps as are reasonably practicable to secure that certain requirements are observed by or in relation to any student union at the establishment; and
 - c) prepare and issue a code of practice as to the manner in which the requirements are to be carried into effect and setting out details of the arrangements made to secure the observance of each requirement.
- 1.2 In pursuance of its duties under the Act, the Council of the University (the Council) has approved this Code of Practice Relating to Students' Unions.
- 1.3 This Code will be reviewed from time to time and revised as necessary. It will be published annually and copies will be made available to staff and students.
- 1.4 The Council has determined that this Code applies to:
- a) the Union of UEA Students (the Union); and
 - b) the Graduate Students' Association (the GSA).
- 1.5 Unless explicitly stated, all references to the Union shall also apply to the GSA, *mutatis mutandis*.
- 1.6 In this Code the Union includes all members, officers and staff of that organisation.
- 1.7 In this Code references to the Registrar & Secretary will be deemed to include a reference to any nominee.

2.0 Union Constitution

- 2.1 The Union is required to have a written Constitution, which must incorporate, *inter alia*, the following provisions:

- a) appointment to major Union Offices (defined by the Council as Officer Trustees of the Union) to be by election in a secret ballot in which all Union members are entitled to vote;
 - b) prohibition on any one individual being a Full-time Student Officer for the Union for more than two years in total at the University;
 - c) the stated availability at identified locations within the Union and the University of notices and Minutes of all Union meetings at which Union policy and/or action is or may be determined; and
 - d) arrangements regarding the holding of referendum on external affiliations. (See clause 6.1d) below).
- 2.2 Proposals made to the University by the Union for amendments to its Constitution as approved by the Council shall be:
- a) approved by the Union in accordance with its Constitution; and
 - b) approved by the Council or any body the Council decides to devolve these powers. For the time-being Council has established a Committee comprising the Pro-Vice-Chancellor (Academic), the Registrar & Secretary and the Dean of Students to approve amendments and to carry out the periodic review of the Constitution.
- 2.3 The Students Unions may make Bye-Laws or Regulations pursuant to the provisions of the Constitution or add Appendices setting out more detailed policies, procedures or protocols. Such Bye-Laws, Regulations or Appendices may be amended in accordance with the terms of the Constitution but must always be submitted to the Registrar & Secretary who will have the power of veto over such amendments where they will have a material effect on the democratic operation of the Students' Unions, their financial accountability or compliance with aspects of this Code.
- 2.4 In considering recommendations regarding the Union's Constitution, the bodies referred to in clauses 2.2 and 2.3 shall have regard to the provisions of this Code.

3.0 Union Elections

- 3.1 The Union is responsible for ensuring that its elections are fairly and properly conducted in accordance with:
- a) the Education Act 1994;
 - b) this Code; and
 - c) the Union's Constitution as approved by the Council.
- 3.2 In accordance with its Constitution, the Union shall designate, subject to acceptance by the Registrar & Secretary on behalf of the Council, a Returning Officer who is required to satisfy the Council that the requirements specified in clause 3.1 are complied with. (Unless

otherwise approved by the Registrar & Secretary, Returning Officer of the Union of UEA Students shall be the relevant member of National Union of Students staff.)

- 3.3 The Returning Officer shall be responsible for advising the Union if, at any time, any action, policy or decision taken or under consideration by the Union, or any action taken by any candidates in Union elections or by their supporters, appears to the returning Officer to be incompatible with any part of clause 3.1 above. Should the position not be resolved by the Union to the Returning Officer's satisfaction, the Returning Officer is required to inform the Registrar & Secretary in writing.

4.0 Non-Membership of the Union

- 4.1 A student has the right:

- a) not to be a member of the Union; and
- b) if exercising that right, not to be unfairly disadvantaged with regard to the provisions of services or otherwise by reason of having done so.

- 4.2 A student who wishes to exercise the right conferred in clause 4.1a) should inform in writing the Chief Executive of the Union and/or the Permanent Treasurer of the GSA, who shall provide a written acknowledgement. The student may reverse the decision (on one occasion only within an academic year) by writing to the Chief Executive and/or the Permanent Treasurer of the GSA stating a wish to resume membership, which will be acknowledged in writing. Otherwise, any decision to opt-out of Union membership shall hold good for the remainder of the academic year in question.

- 4.3 A student who opts out of their membership shall be able to:

- a) use all commercial services and facilities provided by the Union;
- b) be a non-voting member of Union Clubs and Societies (see clause 4.4 below);
- c) use the Union's Advice Centre; and
- d) be eligible for readmission to Associate Membership of the Graduate Students' Club.

- 4.4 The rights and restrictions of being a non-voting member of Union Societies shall be set out in the Union's Constitution and shall be stated in writing by the Chief Executive of the Union and/or the Permanent Treasurer of the GSA to any student who opts out of Union membership.

- 4.5 A student who opts out of Union membership shall not be able to:

- a) nominate, stand or vote in any Union, or Union club, society or peer support group election or in any National Union of Students (NUS) election organised by the Union;

b) attend any Union meeting referred to in the Union's Constitution and/or any committee meeting of any Union club, society or peer support group; and

c) participate in the NUS via the Union.

5.0 Financial Affairs

5.1 The Union is responsible for ensuring that all funds available to it are used in accordance with:

a) the Education Act 1994;

b) this Code;

c) the Union's Constitution as approved by the Council;

d) advice on Students' Union expenditure as may be issued from time to time by the relevant government department or the Charity Commission; and

e) any restrictions imposed on the activities of the Union by law relating to charities.

5.2 The Chief Executive of the Union shall be responsible for advising the Union if, at any time, any action, policy or decision under consideration by the Union is or is likely to be incompatible with any part of para 5.1 above. Should the position not be resolved by the Chief Executive they are required to inform the Registrar & Secretary in writing.

5.3 The Union is required in respect of all funds available to it (including those attaching to any subsidiary companies which it owns) to:

a) ensure that accounts and accounting records are kept in accordance with normal professional accounting principles;

b) maintain a sound system of internal financial management and control;

c) plan and conduct its financial affairs so as to ensure that its total income is at least sufficient, taking one year with another, to meet its total expenditure and that its financial solvency is maintained;

d) obtain the prior written consent of the Registrar & Secretary to any transaction in excess of such sum as the Council shall from time to time specify, not being less than £50,000, involving land, buildings or equipment and to the borrowing of any money for a period in excess of 12 months;

e) refrain from giving any guarantees or indemnities incurring contingent liabilities other than in the normal course of business; and

f) maintain adequate insurance cover as specified in a Memorandum of Agreement on Property and Financial Arrangements between the University and the Union;

g) prepare provisional budgets for the following financial year;

h) obtain the approval of the Union to such budgets in accordance with the provisions of its Constitution and submit them for scrutiny and approval by the Registrar and Secretary at such times as the University may from time to time reasonably determine;

i) obtain the prior written consent of the Registrar & Secretary to any expenditure not contained in a budget approved by the Registrar & Secretary in excess of such sum as the Council shall from time to time specify not being less than £25,000;

j) prepare audited accounts and financial reports normally within four months of the end of the financial year or by such other dates as the University may from time to time reasonably determine;

k) obtain the approval of the Union to such accounts in accordance with the provisions of its Constitution, notify their availability at identified locations to all students and submit them to the Registrar & Secretary at such times as the University may from time to time reasonably determine;

l) provide reports of income and expenditure against budget for consideration by the Union and the University annually, and at such other times and for such periods as the University may from time to time reasonably determine, and notify their availability at identified locations to all students;

m) publish within annual accounts and financial reports:

- a list of currently affiliated external organisations relevant to the generality of students
- details of subscriptions or similar fees paid to such external affiliated organisations in the past year on behalf of the generality of students
- details of any donations made to external organisations, whether affiliated or not; and

n) establish in accordance with the provisions of its Constitution written procedures for the allocations of resources to clubs, societies and peer support groups which must be clear, fair and freely accessible to all students. The procedures shall be provided to the Registrar & Secretary upon request.

6.0 External Affiliations

6.1 The Union is required to:

- a) publish notice of any decisions to affiliate, on behalf of the generality of students, to an external organisation stating the name of each such organisation and details of any subscription, fee or donation paid or proposed to be paid;
- b) publish lists of such affiliations, payments and donations as specified in clause 5.4n) above;
- c) submit the current list of such affiliations on behalf of the generality of students for approval by the annual meeting of Union Council, in accordance with the provisions of its Constitution;
- d) hold a referendum in accordance with the provisions of its Constitution on the question of continued affiliation to any particular organisation;
 - if a motion to that effect is made and carried by a minimum of one thirtieth of the ordinary members; and
 - provided that no other referendum relating to affiliation to that particular organisation has been held in the preceding twelve month period.

6.2 For the purposes of clauses 5.4n) and 6.1 above, references to affiliation to an external organisation, on behalf of the generality of students, include any form of membership of, or formal association with, an organisation whose purposes are not confined to purposes connected with the University of East Anglia.

7.0 Complaints Procedure

7.1 Any student or group of students who is

- a) dissatisfied with their dealing with the Union or
- b) claims to be unfairly disadvantaged by reason of their having exercised the right referred to in clause 4.1 above

may make a complaint, which should be dealt with promptly and fairly with an effective remedy if upheld.

7.2 A student or group of students making a complaint under para 7.1 shall state it in writing to the postholder specified in the Union's Constitution.

7.3 On receipt of a complaint under clause 7.1, the Union shall investigate and respond to the complaint(s) in accordance with the provisions of its Constitution and shall notify the complainant(s) in writing of the outcome (including specification of any remedy if upheld) within twenty working days of the date of receipt of the complaint.

- 7.4 If dissatisfied with the action taken by the Union, the complainant(s) may within ten working days of the date of its notification appeal directly to the Dean of Students who shall investigate the matter and issue a written report of findings to the complainant(s) and to the Union (including specification of any remedy if upheld) within ten working days of the date of receipt of the appeal.
- 7.5 If dissatisfied with the action taken by the Dean of Students, either the complainant(s) and/or the Union may within ten working days of the date of its notification request the Dean of Students to refer the report to the Registrar & Secretary with a recommendation that the Council appoint an independent person to investigate and report on the complaint.
- 7.6 On receipt of such a recommendation, the Registrar & Secretary shall consult the Chairman of the Council who shall, unless the Chairman determines the complaint to be frivolous, make the appointment referred to in clause 7.5 above on behalf of the Council.
- 7.7 At the Chairman's sole discretion and depending upon the nature of the case, the independent person appointed so may be asked to:
- a) determine the matter on behalf of the Council; or
 - b) make recommendations to the Council for its determination.
- 7.8 The independent person shall as soon as practicable prepare a written report on the complaint (including specification of any remedy if upheld) and send it to the Registrar & Secretary who shall:
- a) inform the complainant(s), the Union and the Dean of Students of the contents of the report
 - b) submit the report to the Council at the next available opportunity:
 - for information if clause 7.7a) applies
 - for determination if clause 7.7b) applies
- 7.9 The decision made under clauses 7.7 and 7.8 above on the outcome of the complaint and upon any remedy if upheld shall be final.

8.0 Sanctions

- 8.1 Failure to comply with this Code or any statutory requirements may require the repayment in whole or in part of funds paid by the University to the Union, together with interest in respect of any period during which a sum due to the University under this or any other condition remains unpaid.
- 8.2 Breaches of this Code may lead to disciplinary procedures within the University and may also be dealt with in the Courts if they involve breaches of the law.

Admission Requirements for Undergraduate Programmes

1 Admission of Students

In order to be considered for entry to an undergraduate course of the University candidates must comply with (1), (2) and (3) below:

- (1) Candidates for the degrees of Bachelor of Arts, Bachelor of Laws, Bachelor of Engineering, Bachelor of Science, Master of Chemistry, Master of Computing Science, Master of Engineering, Master of Mathematics, Master of Natural Sciences, Master of Pharmacy, Master of Science, and Bachelor of Medicine, Bachelor of Surgery.**

Such candidates must have satisfied the general requirements for admission (Regulations 2 and 3) and the course requirements (Regulation 5).

- (2) Candidates Aged Under 18 at Registration**

Whilst the University has no minimum or upper age limits on admission to the University, those applying for schemes of study who will be under 18 years of age at the point of intended registration will be required to comply with University procedures designed to satisfy existing child protection and other relevant legislation.

- (3) Candidates with Criminal Convictions**

Any candidate with an unspent criminal conviction (as defined under the terms of the Rehabilitation of Offenders Act) will be required to make a relevant declaration and comply with University procedures in relation to this area. Note that all programmes offered in the Faculty of Medicine and Health Sciences and the BA Social Work are exempt from the Act and *all* convictions must therefore be declared when making an application to these courses.

- (4) Candidates requiring a Tier 4 visa**

Such candidates must have obtained leave to remain or leave to enter, under the University of East Anglia's Tier 4 licence. They must also undertake to comply with all UK Visas and Immigration Service (UKVI) and University requirements regarding complying with their duties as a visa holder.

Candidates must provide documentary evidence of their qualifications before the point of registration. Candidates who cannot satisfy the requirements in (1) above may, in some cases be admitted to the University in accordance with the

provisions of Regulation 4 below. Those applicants who fail to comply with stated University procedure in respect of (2) and (3) are refused entry to the University.

2 General Requirements for Admission

In order to satisfy the general requirements for admission candidates should have one of the qualifications shown below.

UK Qualifications

- (1) Certificates showing passes in General Certificate of Education (GCE) Advanced or Advanced Supplementary level examinations, Vocational Certificate of Education (VCE) Advanced level examinations, and in General Certificate of Secondary Education (GCSE) examinations in different subjects in one of the following patterns:
 - (a) GCE A-level/GCE AS-level/VCE Advanced/GCSE passes in a minimum of five subjects, of which at least two subject are at Advanced/A-level (or equivalent))
 - (b) GCE A-level/GCE AS-level/VCE Advanced passes/GCSE in a minimum of four subjects, of which at least three subjects are at Advanced/A-level (or equivalent).

The certificates must be awarded by one of the examining bodies approved by the Department for Education or, in the case of certain overseas examining bodies, by the University.

Passes at GCE Ordinary level will be acceptable on the same basis as GCSE passes.

The passes in GCSE or at GCE Ordinary level must be of Grade C or above if taken in or after 1975. The subjects must be acceptable to the University.

A pass at grade 1 in the Certificate of Secondary Education, or a pass at Grade 1, 2 or 3 in the Certificate of Extended Education awarded by an approved authority is accepted as the equivalent of a pass at Grade C or above in the same subject in GCSE for the purpose of fulfilling the general and course requirements.

Passes at Advanced VCE must be six or twelve module awards.

- (2) A School Certificate or Higher School Certificate awarded by an approved authority, on the same basis as the GCE or GCSE. A credit in a School Certificate or a pass at subsidiary standard in a Higher School Certificate, counts as a GCSE pass of Grade C or above. A pass at principal standard in a Higher School Certificate counts as a GCE pass at Advanced level.
- (3) A Higher National Certificate or Diploma.
- (4) An Ordinary National Certificate or Diploma, provided that the average performance in at least three of the subjects in the final examination is 60 per cent or better, and that these subjects are acceptable to the University.
- (5) An EDEXCEL Foundation/Business and Technician Education Council (BTEC) National Diploma, Higher National Certificate, (BTEC) Extended Diploma with merit grades in a minimum of three second or third year modules.
- (6) The Cambridge Pre-U Diploma
- (7) A pass in an Open University Foundation Course.
- (8) Successful completion of any access course validated by an Authorised

- Validating Agency recognised by the Quality Assurance Agency (QAA).
- (9) Successful completion of any Foundation Programme approved by the University.
 - (10) A degree from a UK or Commonwealth University, or such other university as may be recognised for this purpose.
 - (11) Qualifications which satisfy the general entrance requirements of any Scottish university.
 - (12) Qualified teacher status, provided that the candidate has passed with distinction in at least one general subject in a recognised certificate examination.
 - (13) The Army Special Certificate of Education, the Passing-out Examination of the Royal Naval College, Dartmouth, or the Forces Preliminary Examination.
 - (14) A pass in the Technological Baccalaureate offered by City and Guilds.
 - (15) A minimum of a pass in the Advanced General National Vocational Qualification.
 - (16) The Republic of Ireland Leaving Certificate with passes at Grade C3 or better in 5 approved subjects (including English) at the Higher Level at one sitting.
 - (17) Successful completion of any High School Leaving Certificate approved by the government of a European Union country which is regarded by the University as being equivalent to 12 modules of GCE Advanced level study (please consult the Admissions Office). English language must either be included as an element of the final examination or the candidate should obtain one of the English language qualifications set out in Regulation 3 below.

International Qualifications

- (18) The International Baccalaureate or the European Baccalaureate Diploma.
- (19) Successful completion of any High School Leaving Certificate approved by the government of a non-EU country which is regarded by the University as being equivalent to twelve modules of GCE Advanced level study (please consult the Admissions Office). Candidates with international qualifications are required to have one of the English Language qualifications set out below in Regulation 3.
- (20) A pass in the Advanced International Certificate of Education
- (21) Hong Kong Examinations Authority "O" and "A" levels, the Hong Kong Diploma and the Malaysian SPM and STPM examinations are recognised as equivalents to GCE/GCSE and School Certificate examinations respectively and the International General Certificate of Secondary Education set by the University of Cambridge Local Examinations Syndicate is recognised on the same basis as the General Certificate of Secondary Education.
- (22) The Matriculation Certificate of a Commonwealth University or of an approved foreign University, provided that the candidate also has an acceptable English Language qualification.
- (23) A pass in the South Australian Matriculation Examination with not less than five subjects presented on one occasion (including at least one from the humanities and one from mathematics and the sciences) and with a

minimum aggregate score in the five subjects of 295 points.

3 English Language requirements

All International students entering study on a Tier 4 visa must satisfy the minimum requirement for English language, as laid out by the UK Visas and Immigration Service (see UKVI website for current details). Please consult with the Admissions Office for exact acceptable criteria.

European and other non-Tier 4 students must also meet a minimum English language requirement. As the exact requirement differs from course to course, please consult with the Admissions Office for exact acceptable criteria.

4 Special Cases

The Head of the School of Study concerned may deem the following to have satisfied the general and course requirements for admission:

- (1) candidates who do not satisfy any of the requirements listed in Regulations 2 and 5, but who submit satisfactory evidence of having passed examinations which are deemed equivalent to any of those listed.
- (2) candidates who hold a full practicing professional qualification obtained by examination.
- (3) candidates who do not satisfy any of the requirements listed in Regulations 2 and 5, but who submit satisfactory evidence of the capacity and attainments requisite to enable them to pursue the course proposed.

The Head of School may similarly make these exceptions for Regulation 3 – English Language Requirements where they relate to a non-Tier 4 sponsored student.

For all Tier 4 sponsored students the UKVI regulations are absolute and no exceptions can be applied.

5 Course Requirements

In addition to the general requirements listed above, the following special requirements are prescribed for admission to particular courses. Candidates offering qualifications listed in Regulation 2 other than GCE A-level and GCSE which satisfy the general entry requirement shall be deemed to have satisfied the course requirements provided they offer appropriate subjects in those qualifications.

All students should have achieved at least Grade C in both GCSE Mathematics and English Language.

Degree Course Required Subjects

BA Degrees

American History	A-level History or related subject at Grade B
American Literature	A-level English Literature at Grade B
American Studies	A-level English Literature and/or History at Grade B
Art History	A-level in relevant subject required for programmes combined with English Literature, History at Grade B
Archaeology	-
Anthropology, Art History	
Culture Literature and Politics	A-level English Literature Grade B
Education	GCSE Science Grade C
International Development language programmes)	GCSE Modern Language Grade B (for
Drama	A-level English Literature or Theatre Studies plus one other Arts subject
English Literature	A-level English Literature plus another art subject; A-level History also required for joint programme combined with History
English and Philosophy	A-level English Literature Grade B
Film	Two A-levels in arts and humanities required; one of these must be English Literature at Grade B for programme combined with English Studies
Geography	A-level Geography
Geography and International Development	
History	A-level History
International Relations	
Media	-
Modern Languages	GCSE Language at Grade B for beginners programmes; A-level Modern language at Grade B required for joint language
Philosophy	A-level in relevant subject required for programmes combined with English or History at Grade B
Philosophy, Politics and Economics	GCSE Mathematics Grade B
Physical Education	GCSE Science Grade C
Politics	-
Scriptwriting and Performance	A-level English Literature or Theatre Studies plus another arts subject
Social Work	-
LLB Degrees	
Law	A-Level in relevant language (European Programmes)
BSc, BEng, MChem, MEng, MMath,	

**MComp, MSci, MNATSci and
MPharm degrees**

Accounting	-
Actuarial	A-level Mathematics at Grade A and GCSE English Language at Grade B
Biochemistry	A-level Chemistry; AS Maths Grade C, GCSE Language (Europe programmes)
Biology	A-level Biology; GCSE Maths Grade B and GCSE Language (Europe programmes)
Biomedicine	A-level Biology, AS Chemistry Grade B
Business Economics	GCSE Mathematics B
Business Information Systems	A-level science, Mathematics, Economics, Computing or Business Related
Business Finance and Economics	GCSE Mathematics B
Management Chemistry	-
Chemical Physics	A-level Chemistry GCSE Mathematics B
Computing Science	AS-level Language (Europe programmes)
	A-level Chemistry & Mathematics
	A-level Science, Economics or Mathematics (Year Abroad Programmes) and GCSE Mathematics Grade B
Computer Graphics, Imaging and Multimedia	A-level Science, Economics or Mathematics
Computer Systems Engineering	A-level Mathematics and GCSE Mathematics Grade B
Economics	GCSE Mathematics B
Economics with Accountancy	GCSE Mathematics B
International Development	GCSE Mathematics B
Ecology	A-level science, Mathematics, Geography, World Development or Economics
Energy Engineering	A-level Biology GCSE Maths Grade B
Energy Engineering with Environmental Management	A-level Mathematics and one other Science
Engineering	A-level Mathematics and one other Science
Environmental Earth Science	A-level Mathematics and one other Science.
Environmental Science	A-level, from Mathematics, a science, Geography, Geology or Economics
	GCSE Language (Europe programmes)
	A-level, from Mathematics, a science, Geography, Geology or Economics
	GCSE Language (Europe programmes)
Environmental Geography and International Development	A-level Mathematics, science, Geography, Geology, Economics or World Development
Environmental Geography	A-level, from Mathematics, a science,

and Climate Change
Environmental Geophysics
(Europe programmes)
Geography
Mathematics
Meteorology and
Oceanography
Natural Sciences

Nursing
Midwifery
Occupational Therapy
Paramedic Science
Pharmacology and Drug
Discovery
Pharmacy

Physiotherapy

Politics and Economics
Psychology
Speech and Language
Therapy

MB/BS Degree

Medicine

Geography, Geology or Economics
A-level Mathematics GCSE Language

A-Level Geography
A-level Mathematics
A-level Mathematics GCSE Language
Europe programmes
2 x A-level from Mathematics, a science,
Geography or Environmental Science;
GCSE Grade B Language (Europe
programmes)
GCSE science subject
GCSE science subject
GCSE science subject
A-Level science subject
A-Level Chemistry and one other Science.

A-level Chemistry and a science (from
Biology, Maths, Physics), GCSE
Mathematics Grade B
A-level Biology, Human Biology or PE and
GCSE Science
GCSE Mathematics B

GCSE science

A-level Biology and one other Science, six
GCSE's at Grade A inc. English,
Mathematics and Science

Admissions Requirements for Postgraduate Taught Programmes

1 Admission of Students

In order to be considered for entry to a postgraduate taught course of the University candidates must comply with (1) or (2) and (3) and (4) below:

(1) Candidates for the degrees of Master of Arts, Master of Laws, Master of Business Administration, Master of Science, Master of Clinical Education, Master of Research and Postgraduate Diplomas or Certificates

Such candidates *must* have satisfied the general requirements for admission (Regulations 2 and 3) and the course requirements (Regulation 5).

(2) Candidates for Post Graduate Certificate of Education

Such candidates must have passes in GCSE English Language and Mathematics (both at Grade C or above if taken in or after 1975) or qualifications regarded by the University as equivalent. Applicants for Primary PGCE must also hold a pass in GCSE science (again at Grade C or above if taken in or after 1975)

(3) Candidates Aged Under 18 At Registration

Whilst the University has no minimum or upper age limits on admission to the University, those applying for schemes of study who will be under 18 years of age at the point of intended registration will be required to comply with University procedures designed to satisfy existing child protection legislation

(4) Candidates with Criminal Convictions

Any candidate with an unspent criminal conviction (as defined under the terms of the Rehabilitation of Offenders Act) will be required to make a relevant declaration and comply with University procedures in relation to this area. Note that most programmes offered in the Faculty of Medicine and Health Sciences and the Schools of Social Work and Psychology are exempt from the Act and *all* convictions must therefore be declared when making an application to these courses.

Candidates who cannot satisfy the requirements in (1) or (2) above may, in some cases be admitted to the University in accordance with the provisions of Regulation 4 below. Those applicants who fail to comply with stated University procedure in respect of (3) and (4) are refused entry to the University.

(5) Candidates requiring a Tier 4 visa

Such candidates must have obtained leave to remain or leave to enter, under the University of East Anglia's Tier 4 licence. They must also undertake to comply with all UK Visa and Immigration (UKVI) and University requirements regarding complying with their duties as a visa holder.

2 General Requirements for Admission

In order to satisfy the general requirements for admission candidates should have one of the qualifications shown below.

UK Qualifications

- (1) A bachelors degree from a UK Higher Education Institution approved by the Privy Council to hold degree awarding powers. For all masters programmes candidates must have a second class degree; for postgraduate diplomas a third class degree is permissible

International Qualifications

- (1) Successful completion of any non-UK degree which is regarded by the University as being equivalent to an approved UK degree, at the level required for the target Masters course (please consult the Admissions Office). .

3 English Language Requirements

All International students entering study on a Tier 4 visa must satisfy the minimum requirement for English language, as laid out by the UK Visa and Immigration Services (see UKVI website for current details). Please consult with the Admissions Office for exact acceptable criteria.

European and other non-Tier 4 students, must also meet a minimum English language requirement. As the requirement differs from course to course, please consult with the Admissions Office for exact acceptable criteria.

4 Special Cases

The Head of the School of Studies concerned may deem the following to have satisfied the general and course requirements for admission:

- (1) candidates who do not satisfy any of the requirements listed in Regulations 2 and 5, but who submit satisfactory evidence of having passed examinations which are deemed equivalent to any of those listed.
- (2) candidates who hold a full practising professional qualification obtained by examination.
- (3) candidates who do not satisfy any of the requirements listed in Regulations 2 and 5, but who submit satisfactory evidence of the

capacity and attainments requisite to enable them to pursue the course proposed.

The Head of School may similarly make these exceptions for Regulation 3 – English Language Requirements where they relate to a non-Tier 4 sponsored student.

For all Tier 4 sponsored students the UKVI regulations are absolute and no exceptions can be applied.

5 Course Requirements

Programme Area	Degree Classification	Required Subject(s)
American Studies	2i	A related discipline
Creative Writing	2i	A related discipline
Creative Entrepreneurship	2i	A related discipline
Cultural Heritage	2i	A related discipline
European Studies	2i	A related discipline
History of Art	2i	A related discipline
World Art Studies (PG Dip)	2i	An Arts and Humanities related discipline
Museology	2i	A related discipline
Film Studies	2i	-
History	2i	A related discipline
History (PG Dip)	2i	An Arts and Humanities related discipline
Language, Linguistics and Translation	2i	A related discipline
Literature	2i	A related discipline
Media & Cultural Studies	2i	A related discipline
Philosophy	2i	A related discipline
Theatre	2i	A related discipline
International Relations & Politics	2i	A related discipline
Chemical Sciences (MSc)	2i	Chemistry or related
Chemical Sciences (PG Dip)	3	Chemistry or related
Computing Science (MSc)	2i	Computer Science or related
Computing Science (PG Dip)	3	-
Ecology and Biology (MSc)	2i	Biology or related
Ecology (PG Dip)	3	-
Environmental Sciences (MSc)	2i	A scientific subject
Energy Engineering (MSc)	2i	Mathematics or related

Clinical Education (MClinEd)	2ii	
Clinical Research	2ii	A health care profession
Mental Health (PG Cert or Dip)	2ii	A health care profession
Midwifery (PG Dip)	2ii	A relevant subject/discipline
Occupational Therapy (Pre-Reg)	2i	Art or Science subject
Physiotherapy (Pre-Reg)	2i	Physiotherapy or related subject e.g. Biology, Sports Science, Psychology or Sociology
Stroke Recovery	2ii	A health care profession
International Development	2i	-
Economics (Academic and Professional)	2i	Economics or related
Economics (Applied Training)	2ii	Economics or related
Education with QTS	PGCE	-
Education (MA)	2i	A related discipline
Law	2ii	A related discipline
Management	2ii	A related discipline
Brand Leadership (MSc)	2i	A related discipline
Advanced Business Courses (MSc)	2i	Business or a related discipline
Psychology	2i	A related discipline
Social Work	2i	A related discipline

APL/APEL Policy

Introduction

1 Accreditation of prior learning (APL) is defined as a system whereby academic credits can be awarded for previous learning that has taken place either through formal courses of study (Accreditation of Prior Certificated Learning - APCL) or in other ways (Accreditation of Prior Experiential Learning - APEL).

Credits gained can be:

- Accumulated - counted towards an award (for example, a Diploma/ Degree);
- Transferred - to another course of study or to another institution;
- Used to grant exemption from part of a course of study.

A distinction between general and specific credit should be noted as follows:

General credit is awarded by the body which validates a course/qualification and demonstrates for external reference the volume and level of work associated with that course/qualification. The award of general credit makes no commitment about the use of that course/qualification by another body/institution for the award of specific credit via APL towards a subsequent qualification.

It is the responsibility of a receiving institution, i.e. UEA, to decide how much specific credit to award an individual student via APL, based on the level, extent and perceived relevance of the material (both knowledge and skills based) contained within the course/qualification offered by the applicant when compared with his/her intended course of study at UEA.

2 The following guidelines aim to clarify the position concerning cases of APCL/APEL but additional, more specific guidelines may be used in certain Schools where approved by the University Learning and Teaching Committee.

APCL Principles

3 Specific credit may be awarded for courses which form a substantial part of a degree/higher education qualification, that carry a credit-rating and are clearly comparable in level, academic standard, content and learning outcomes to an equivalent award at UEA.

4 Applicants must note, however, that the award of specific credit via APCL towards their intended course of study at UEA is not guaranteed and may not necessarily directly reflect the value/level of the general credit assigned to their current/previous qualification by the validating body, i.e. it may be less.

5 Exemptions are not awarded for courses/qualifications that were awarded five years ago or longer, prior to the enrolment date for the intended course of study, unless the candidate can provide supporting evidence which gives an account of ways in which learning achieved through the course/qualification

has been applied actively and updated within the past five years.

Exemptions may not normally be granted where a student has previously registered for and failed part of an award and wishes to seek readmission to the same or similar award.

6 Schools may not award exemptions for core or compulsory modules except via a concession approved by the Academic Director of Taught Programmes.

7 Schools may not award exemptions for pre-requisites in certain disciplines at UEA, e.g. where the modules are required for Law Society recognition or are needed for professional practice, unless the applicant can show that the identical modules have been completed elsewhere.

8 For undergraduate Honours degree courses and Integrated Masters degrees, a candidate must normally attain the final 240 credits at UEA (or the final 360 credits in the case of degree courses comprising 480 credits). Under exceptional circumstances, a concession may be granted for a candidate to be admitted to Year 3/the final year of a degree course.

9 Postgraduate taught students may be granted APCL for 50% or less towards the total number of credit points for an award. APCL shall not be granted in respect of the dissertation component of a course.

Application process

10 The applicant's request must be made in writing, enclosing:

- (1) A certified copy of certificate(s) or parchment(s);
- (2) a syllabus;
- (3) a completed application form, which asks for a transcript of the subjects taken, a full record of academic results achieved and contact details of an academic referee at the institution which awarded the qualification.

All applications should be sent to the Admissions, Recruitment and Marketing Service.

It should be noted that alternative APL application procedures are in place in HSC and EDU, and that these Schools have delegated authority to approve applications on behalf of the University Learning and Teaching Committee.

11 Procedure for the approval of APCL:

For Undergraduate/Integrated Masters Candidates:

**Direct entry to Year I
(Spring Semester) or Year II
(Autumn Semester)**

Delegated to Schools

**Direct entry to Year II (Spring
Semester)**

Learning and Teaching Committee

For Postgraduate Taught Candidates:

**Exemption for 50% or less
towards the total number of
credits for an award**

Delegated to Schools

- 12 Requests for approval/concessions to Learning and Teaching Committee should be sent to the following:

Undergraduate, Integrated Master's and Postgraduate Taught Candidates:
Relevant **Learning and Teaching Service (LTS) Hub**

UEA staff or their immediate Family:

Admissions Recruitment and Marketing Service (ARM)

13 The University will charge an APCL assessment fee (a flat rate of £60). If the application is successful, the candidate will be charged a fee for the award of exempted credit, i.e. £20 per 20 credit exemption. Therefore:

Total Cost = Tuition fee for the outstanding credits/modules required + Fee for the award of credit + the APCL assessment fee

The APCL assessment fee is not refundable.

14 APCL applications may take up to 6 weeks to complete. All applicants should be advised of this, and should be aware of semester restrictions concerning APL for half year arrangements, especially if the intended course of study involves year-long modules.

15 ARM will notify the candidate of the outcome in writing, and a copy will be sent to the appropriate LTS Hub. If the application is considered by the Learning and Teaching Committee, the appropriate LTS Hub will write to the student and copy the letter to ARM and the School as appropriate.

APEL Principles

16 APEL exemptions are not normally awarded for certain professional disciplines. Applicants should consult the relevant School for further advice.

17 APEL applications will be assessed individually. Candidates must demonstrate that relevant, practical experience has been gained, and compile a portfolio of evidence using:

- (1) where applicable, confirmation by line-manager of job responsibilities and job description;
- (2) a record of achievements;
- (3) where applicable, details of specialist training/skills;
- (4) contact details of two referees, who can comment on the candidate's achievements;
- (5) documentation to demonstrate the learning outcomes achieved and the candidate's personal reflection of how the experience

- has furthered his/her understanding of the relevant subject area;
- (6) a completed application form.

In the first instance, applicants should contact the relevant LTS Hub and obtain the programme specification for the intended course of study. Candidates should indicate the relationship between the programme specification and their portfolio of evidence, and may consult the appropriate Course Director/School/Faculty Admissions Officer for advice.

The responsibility for assessing APEL cases shall be delegated to two members of the academic staff within the relevant School(s), who will interview candidates on the basis of their portfolios. The APEL interview may last up to an hour and may be recorded to enable interviewers to check the validity of their eventual assessments. The interview should focus on key, relevant learning experiences and candidates will be invited to give a detailed narrative account of the relationship between their prior learning and their intended course of study. The assessors should forward their joint recommendations to the Head of School.

Records relating to the APEL assessment must be retained. The candidate should also keep the portfolio of evidence for future reference.

The Head of School will consider the evidence put forward by the applicant and the recommendations of the assessors. The Head of School may approve and endorse the APEL exemption on behalf of the School Board, inform the candidate in writing and copy the letter to the relevant personnel:

Undergraduate, Integrated Master's and Postgraduate Taught Candidates:

Relevant LTS Hub

UEA staff or their immediate Family:

ARM

If the Head of School agrees with the assessors' judgement that no exemption should be granted, based on the evidence presented, the School/Faculty shall inform the applicant in writing.

18 For postgraduate taught applicants, APEL exemptions may not be granted for more than 25% of the total number of credit points required for an award.¹

19 For undergraduate/integrated masters applicants, APEL exemptions may not be granted for more than 60 credits of the total number of credit points required for an award.²

20 The University will charge an APEL assessment fee (a flat rate of £120). If the APEL application is successful, the candidate will be charged a fee for the award of exempted credit, e.g. £20 per 20 credit exemption. Therefore:

Total Cost = Tuition fee for the outstanding credits/modules required + Fee for the award of credit + The APEL assessment fee

The APEL assessment fee is not refundable.

21 APEL applications may take up to 10 weeks to complete. All applicants should be advised of this, and should be aware of semester restrictions concerning exemption for half year arrangements, especially if the intended course of study involves year-long modules.

¹ Postgraduate taught applicants: the maximum APL (i.e. a combination of APCL + APEL) that may be granted is 50% of the total number of credit points required for an award.

² Undergraduate/integrated master's applicants: the maximum APL (i.e. a combination of APCL + APEL) that may be granted is 50% of the total number of credit points required for an award.

Candidates with Criminal Convictions

Any candidate with an unspent criminal conviction (as defined under the terms of the Rehabilitation of Offenders Act) will be required to make a relevant declaration and comply with University procedures in relation to this area. Note that all programmes offered in the Faculty of Medicine and Health Sciences and the BA Social Work are exempt from the Act and all convictions must therefore be declared when making an application to these courses.

General Regulations for Students

Preamble

- (1) A student is a person who is currently registered with the University for a programme of study under Regulation 3 below. For the avoidance of doubt, this definition includes:
 - (a) 'Registration-only' students, i.e. postgraduate research students who, not having submitted their thesis within their prescribed period of study, remain registered for such further period as may be permitted under Regulations for degrees and awards laid down from time to time by the University;
 - (b) 'Dormant' students, i.e. students registered for a modular programme of study who are not currently enrolled on any module of that programme.
- (2) An intercalating student is a student who has been permitted, in accordance with Regulation 3(4) below, to interrupt for a specified period an otherwise current registration of a programme of study.

Regulations relating to Student Life

1 Obligations

- (1) All students shall be bound by all Statutes, the Student Charter, Regulations, Codes of Practice, Rules and Procedures of the University in force for the time being in so far as they concern students. For the avoidance of doubt, such Statutes, the Student Charter, Regulations, Codes of Practice, Rules and Procedures shall be held:
 - (a) not to concern intercalating students except
 - (i) if referring specifically to the latter and/or to the arrangements by which a period of registration may be interrupted;
 - or (ii) as may be stated in a Notice to Intercalating Students as approved and issued from time to time by the University;
 - (b) to apply to all Student Officers of the Union of UEA Students, irrespective of registration status (see Regulation 3(4) below).
- (2) All students shall be subject to and shall conform to any regulations, rules and procedures set by or pertaining to any other organisation or institution to which they have been granted access by virtue of their status as students of the University; serious breaches may lead to action under the University disciplinary procedures (which will take into account any penalty imposed by the organisation/institution concerned). See 'Disciplinary Procedures'.
- (3) All students shall on each occasion of initial or renewed registration with the University for a programme of study under

Regulation 3 below agree to a declaration of obedience to the authorities of the University, in the following terms:

“I hereby promise to conform to the discipline of the University, and to all Statutes, the Student Charter, Regulations, Rules and Procedures in force for the time being, in so far as they concern me.”

(4) In providing information requested by the University or by a body acting on its behalf (for example UCAS), both prospective and registered students are required to respond fully, unambiguously and honestly. When inaccurate information has been dishonestly provided to the University or where wilful misrepresentation or omission has occurred, a student may be precluded from further study in the University.

(5) The University has a duty of care to its students and staff and in order to reduce or manage the risk of harm to individuals as well as the University community as a whole the University needs to be informed of any alleged criminal activity by its students.

- a) A student must report immediately to the Dean of Students if at any time during their registration:
 - i. s/he has been charged with a criminal offence, or
 - ii. s/he has accepted a police caution; or
 - iii. s/he has been released from police custody without charge but on conditional bail to University residences.
- b) If a student is sent for trial the Dean of Students must be kept informed at all stages either by the student or their solicitor.
- (c) If a student is convicted of an offence then this must also be reported to the Dean of Students along with details of any sentence imposed.
- (d) If a student is acquitted or no further action is taken then this must also be reported to the Dean of Students along with details of the reasons for the decision.
- (e) If a student is following a course with professionalism requirements s/he must additionally report the matters (a-d) to his/her School of Studies and must comply with any further guidance and procedures relating to professionalism matters from his/her School.

2 Breaches of General Regulations

(1) Students who are alleged to have breached one or more General Regulations may have their case(s) considered under the University's disciplinary procedures. See 'Disciplinary Procedures'.

(2) Disciplinary procedures started prior to a student's registration end date may continue after that date and must normally be concluded prior to any degree or award being conferred.

3 Registration

- (1) Before being allowed to register with the University for a programme of study, a person must have:
 - (a) fulfilled the general entrance requirements and any particular requirements for that programme and/or for that person as laid down from time to time by the University;
 - (b) complied with the requirements of General Regulation 6 below if seeking to make a fresh or renewed registration;
 - (c) provided all information and documentation which the University may require as a pre-requisite to registration.
- (2) All persons wishing to register for a programme of study must do so for such periods, by such means and on such occasions as the University may specify. Persons seeking to register other than on the appointed date may do so only with the special permission of the Registrar and Secretary (or nominee). An additional fee may be charged if the Registrar and Secretary's (or nominees) permission for a later registration has not been obtained in advance or if any documents required for registration have not been produced by the due date.
- (3) A student's registration is effective during all University breaks and vacations falling within the specified periods covered by such registration.
- (4) A student may be permitted to interrupt a programme of study for which he or she is currently registered in accordance with such Regulations for degrees and awards as may be laid down from time to time by the University. If so permitted, the student shall, except in the circumstances described in paragraph 5(a) of this Regulation, be referred to as an 'intercalating student' for the specified period of interruption and shall be subject to such restrictions regarding use of facilities as may be specified in Notices issued from time to time by the University.
- (5) Persons holding full-time office in the Union of UEA Students shall:
 - (a) in cases where they would otherwise have been registered with the University for a programme of study, be permitted to interrupt their programme of study for the period for which they are Full-Time Officers (without being defined as intercalating students);
 - (b) in all other cases, be required to register as full-time Visiting Students, without fee, during the period in which they hold full-time office.
- (6) Any certificate or other document issued by the University as verification that the person named upon it is a student remains the property of the University and must on request be shown to University

staff or surrendered. There will be a charge for the issue of a replacement.

4 Student Health

(1) The following students are required to register either with one of the doctors in the University Medical Centre or with a local medical practitioner:

- (a) a full-time student registered for a period of study exceeding three consecutive months;
- (b) a part-time or registration-only student if intending to reside in University accommodation for a period exceeding three consecutive months.

All such students must either register with or give their doctor's name and address to the University Medical Centre not later than:

- (a) four weeks after their initial registration for study if in category (a) above;
- (b) the start of their residential licence period if in category (b) above.

The University Medical Centre must also be notified immediately of any change of doctor.

(2) Each student registering for the first time with the University who is normally resident in a country outside the United Kingdom shall be required to undertake a screening for TB unless their country of normal residence is included on the list published by the University. The list of countries not requiring screening includes most of Western Europe, North America and Australasia and is published annually in consultation with the University Medical Centre. Any tests and evaluation shall be carried out at the University Medical Centre at the University's expense soon after arrival at the University. Failure to undertake any necessary tests and evaluation shall render the student liable to suspension from the University until these processes have been completed.

(3) Each student whose programme of study entails any form of clinical placement shall be required to present evidence of a satisfactory standard of health and level of immunisation in accordance with criteria published by the University before being permitted to undertake such a placement. Failure to comply with this requirement shall render the student ineligible to undertake any placement and may result in exclusion from the module of study and/or suspension from the University.

(4) Any student suffering or believing that he or she may be suffering from a notifiable infectious illness or in whose home or lodgings there is or has been such illness, must immediately notify the University Medical Centre, the Dean of Students and the Head of their School. Any such student may be required to be quarantined or to leave University premises. If a student is required to leave University premises, s/he may not return to the University without permission.

Such permission will be granted by the University on the advice of the University Medical Officer of the University Medical Centre following the receipt of a certificate from a medical practitioner stating that there is no longer any danger of infection being conveyed to other persons. The notifiable infectious illnesses concerned are as follows (noting that this list may be subject to amendment from time to time by the University): Chicken Pox, Cholera, Diphtheria, Hepatitis, Influenza A/H1N1, Leptospirosis, Measles, Meningitis, Poliomyelitis, Rubella (German measles), Tuberculosis, Typhoid.

5 Fitness for Study

Students studying for qualifications of the University need to be fit or deemed fit for study throughout their programme of study. Some of the key reasons for this are:

- (a) so that they have the opportunity to benefit from their programme of study and pursue it for the required period with a reasonable chance of successfully obtaining the award for which they are registered;
- (b) so that they shall not in any way prevent, hinder or disrupt the study or assessment of other students at the university, staff in the discharge of their duties or academic pursuits, or visitors to the University from carrying out their lawful business;
- (c) so that they shall not in the context of their study or assessment at the University or of their required or necessary presence on campus, constitute an unacceptable risk to the health or safety of themselves or others;
- (d) so that they are in a position to engage satisfactorily in any elements of study or assessment which take the form of placements, particularly those taking place in a professional and/or work-based setting.

UEA acknowledges that it has both a role and responsibility in ensuring the welfare of its students, staff and the wider community. In most cases, when concerns about the academic engagement or behaviour of a student arise and they cannot be resolved informally, it is appropriate for them to be addressed by reference to the academic or non-academic disciplinary procedures or other regulations, policies and procedures, including those prescribed by professional, statutory and/or regulatory bodies, in these General Regulations and in the Disciplinary Procedures.

However, there are occasions when serious concerns are raised about a student's well-being and need to be addressed, but it is not considered to be appropriate to use the normal disciplinary or academic progress routes. These occasions usually arise when it is suspected that there are underlying medical, behavioural or personal difficulties which have not been recognised and/or appropriately addressed by the student themselves. In such circumstances disciplinary or other action

may be suspended until a formal review of a student's fitness to study has been undertaken. The exceptions to this include:

- students whose behaviour represents an immediate serious risk to self or others, and/or to the university's reputation;
- students on professional courses with fitness to practise requirements, which will normally take precedence over fitness to study proceedings.

At all stages of the fitness to study process, due consideration will be given to matters of confidentiality and data protection. Full consideration shall also be given to any reasonable adjustment(s) that emerge as a result of a better understanding of the student's position. Where possible the aim will be to keep the student at the centre of decision-making, while balancing his or her concerns with those of the wider staff and student body.

For some schools there is also a requirement to meet Fitness to Practice conditions for information on our policy see:

<http://www.uea.ac.uk/learningandteaching/students/appealsandcomplaints/ftp>

6 Payments of Accounts

(1) All fees and other charges must be paid within twenty-eight days from the date of the University's invoice or account. See the separate section of the Regulations headed 'Fees and Charges' for details on the amounts chargeable each year.

(2) Any debts (including fines) that have not been paid by the due date may be subject to a late fee which shall be on the following scale:

Debt	Late Fee
Up to £20	Amount outstanding
£20.01 to £25.99	£20
£26.00 to £100.99	£25
£101.00 to £500.99	£30
£501.00 to £1,000	£40
Over £1,000.	£50

Further late fees are charged after every 28 days for debts which remain outstanding.

(3) A fine imposed by any of the discipline committees is subject to the provisions of the University's Disciplinary Procedures.

(4) Any grant or payment due to be made by the University to a student in debt to the University may be reduced by the amount of the outstanding debt or may be set off against the outstanding debt.

(5) Students are not allowed to make a fresh or renewed registration for a programme of study if they have any academic debts to the University

(including, but not limited to, tuition fees, attendance at field courses and other charges in relation to the course of study) outstanding from a previous course or academic year (including fines and instalments due during a break or vacation).

(6) The University allows students to set up instalment plans to pay Fees and Accommodation invoices. If an instalment is not paid on or before the due date the University may withdraw the right to pay by instalments and the invoice will become payable in full immediately.

(7) A student in debt to the University who does not pay all outstanding fees and charges (including fines and any instalments due) on the due date and has not contacted the University and had an extension of time to pay agreed by the University, may be suspended from the University and will only be re-admitted when the amount has been paid in full and with the permission of the Vice-Chancellor. Where a debt remains outstanding for a period equal to or greater than twelve months a student will be automatically withdrawn from the University, except where this period of delay in payment has been approved.

(8) No degree, diploma or other qualification shall be conferred upon any person who has not fulfilled all academic related financial obligations to the University.

(9) In the event of being unable to make any payment due to the University a student should make contact with the Finance Division as soon as possible to discuss payment options. Action to recover outstanding debts will be taken and this may include legal remedies.

7 Change of Address

Students are required at registration to state their address during a semester as well as their permanent home address. Any change in either address must immediately be notified to the Head of the School via the appropriate University Services Office where relevant. This should either be notified in writing or preferably via the address change facility on the student portal.

8 Student Accommodation Regulations

University Residences

(1) Students living in University residences shall sign Licences or Tenancy Agreements to occupy the accommodation allocated to them. They shall abide by the terms and conditions of the Licences or Tenancy Agreements and by such regulations as may for the time being be in force for those residences.

(2) Students who occupy University residential accommodation shall do so for not less than the period shown on the Licence to Occupy/Tenancy Agreement, unless termination is allowable under the terms of the Licence to Occupy/Tenancy Agreement, or there are circumstances

which, in the opinion of the Deputy Dean of Students or the Accommodation Manager warrant a change.

External Accommodation

(3) A full-time student who is **not** living in University accommodation must live within a 50-kilometre radius of the campus in Norwich. If the course requires or approval is obtained for, a placement, fieldwork, year or semester away from the University, the residence requirement does not apply for the duration of time away from the campus. Similarly, if permission is given to intercalate (take time out from studies) the requirement does not apply. If for good reason the requirement cannot be fulfilled, an exemption must be obtained from the relevant Faculty Associate Dean for your Faculty.

9 Notices and Letters

Students should be in a position to respond to any notice or communication directed to them within forty-eight hours of it being made available to them, i.e. of it being posted on a University, Faculty or School notice board, on their University e-mail account or in their pigeon hole, or being delivered to their contact address. For students who are not required to attend on a daily basis, the forty-eight hour rule shall apply to periods of required attendance only. It is the responsibility of each student to be aware of the following arrangements regarding notices and letters:

(1) students should refer to the Student Handbook issued by their Faculty or School of Study, which will provide specific guidance on the arrangements regarding notices and letters. It is the responsibility of the student to inform the School (via the appropriate University Service Office where relevant) of changes to their address and contact details;

(2) it is the responsibility of all students to make arrangements with their School to maintain contact at all times, and to ensure that such arrangements would enable them to respond to messages within forty-eight hours (excluding Saturdays and Sundays and University closure days) of receipt/availability;

(3) the contents of any notice posted on University notice boards or on official Faculty/School notice boards shall be assumed to be known to students within forty-eight hours (excluding Saturdays and Sundays and University closure days) during their period of required attendance.

If a student has arranged for forwarding of emails from his/her University email account, the University shall not be responsible for non-delivery of University emails forwarded in this way.

Regulations relating to Student Behaviour

10 General Conduct

(1) No student shall intentionally commit or participate in the commission of any act which:

- (a) is detrimental to the University's obligations under its Charter; or
 - (b) has the effect of preventing, hindering or disrupting students of the University in their academic pursuits; or
 - (c) has the effect of preventing, hindering or disrupting staff or officers of the University in the discharge of their duties or academic pursuits; or
 - (d) has the effect of preventing, hindering or disrupting visitors to the University from carrying out their lawful business; or
 - (e) has the effect of preventing, hindering or improperly disrupting students or staff or officers of the University or any visiting speakers in the exercise of their right lawfully to express any point of view or opinion or lawfully to meet or assemble; or
 - (f) results in damage or loss to funds and/or property of the University or its students, staff officers or visitors; or
 - (g) results in damage to the person of students or officers of, or visitors to, the University.
- (2) No student shall commit or participate in the commission of any act which:
- (a) is unlawful; or
 - (b) constitutes disorderly conduct causing nuisance or distress; or
 - (c) constitutes disorderly conduct whose effect is to bring the University into disrepute; or
 - (d) constitutes harassment as defined by the University's Policy Statement and Guidelines on Bullying, Harassment and Abuse, Assault and Stalking, and the Use of Social Media.
- (3) No student shall:
- (a) behave in a threatening, intimidating or abusive manner to any other student, or staff or officer of, or visitor to, the University; or
 - (b) refuse to comply with a reasonable request made by a member of staff or officer of the University in the performance of their duty; or
 - (c) refuse to provide University identification when reasonably requested to do so by a member of staff or officer of the University in the performance of their duty in their place of work within the University premises; or
 - (d) dishonestly misappropriate any funds, property, goods or services of the University or of its students, or staff, or officers or visitors;
 - (e) dishonestly misuse a University identity or access card; or
 - (f) interfere with, misuse, or remove without authorisation any University equipment;
 - (g) use or occupy any premises or other property of the University except as may be expressly or by implication authorised by the University authorities concerned; or

- (h) breach any order or condition made by the Vice-Chancellor or his/her nominee relating to the exclusion of a student.
- (4) Students shall be responsible for the behaviour and any consequences thereof of any person not a student or staff member or officer of the University whom they have invited into or given access to University property, services or facilities.
- (5) Any breach of the University's Code of Practice relating to Freedom of Speech dealing with any or all of the matters referred to in Section 10 (1) (e) above shall be treated as a breach of this General Regulation;
- (6) Incitement to conduct leading to a breach of any provision of this General Regulation shall itself constitute a breach of the Regulation;
- (7) The making good of any damage or loss resulting from any contravention of Section 10(1-3) shall be the joint and several liability of the student or students responsible;

11 Statements to the Media

No student may make statements to the press, radio or television on behalf of the University without the prior permission of the Vice-Chancellor through the Student Officers of the Union of UEA Students. Disciplinary action shall be taken against any student who purports to speak on behalf of the University without such permission. This is without prejudice to the right of an individual to make statements on his or her own behalf to the press.

12 Health and Safety

- (1) A student shall exercise reasonable care:
- (a) for his or her personal safety
- and (b) for the safety of other persons who may be affected by his or her acts or omissions
- and (c) for the safety of the property of the University and of its students, staff, officers and visitors.
- (2) Where any duty or requirement under the Health and Safety at Work Act or under any relevant statutory provisions relating to health and safety is imposed on the University, its students, or staff, or officers, or visitors or any other person, a student shall co-operate with that body or person so far as is necessary to enable that duty or requirement to be performed or complied with.
- (3) A student shall comply with the University's Health and Safety policy as published from time to time and with any health and safety procedures relating to the facilities which the student is using.
- (4) It shall be a disciplinary offence for any student to:

- (a) intentionally or recklessly misuse, tamper, or interfere with any fire fighting equipment, fire prevention equipment, fire doors, fire detection equipment, fire alarm activation points, fire signs; or
 - (b) intentionally or recklessly misuse any equipment provided by the University in the interests of health, safety or welfare in pursuance of the Health and Safety at Work Act or of any relevant statutory provisions relating to health and safety.
 - (c) be in or on the Broad except as may be expressly or by implication authorised by the University authorities concerned.
 - (d) go onto any roof or other raised external area of Norfolk or Suffolk Terrace or any other building or allow access to any unauthorised person enabling them to do so except as may be expressly authorised by the University authorities concerned.
- (5) Incitement to conduct leading to a breach of any provision of this General Regulation shall itself constitute a breach of the Regulation.

Regulations relating to Academic Provision

13 Attendance, Engagement and Progress

(1) A student on a taught programme is required to register/sign in at the beginning of the Autumn Semester and at such other times as required by the University, to attend lectures and other classes as may be prescribed for the programme of study and to be available to undertake such work as prescribed. A student on a research degree programme is likewise required to register/sign in at the beginning of the Autumn Semester and at such other times as required by the University, to attend lectures and other classes, research training and undertake independent research as may be prescribed for the programme of study and to be available to undertake such work as is prescribed.

Students who have been granted a visa under the Points-based Scheme operated by UK Visas and Immigration (UKVI) to study in the UK under the sponsorship of the University should note that failure to comply with some or all the expectations set out in the Student Charter and General Regulations may be deemed an unauthorised absence under UK Law and that the University is required to report such absences to the UKVI and will in addition take any further action(s) required under UK immigration law.

A student who no longer has extant leave to remain and study in the United Kingdom will be suspended from the University. In the event that appropriate leave to remain in the United Kingdom is granted, the student shall notify the Registrar and Secretary in writing whereupon consideration will be given to the lifting of the suspension. If the student does not contact the University within one month of the suspension, the student will be withdrawn from the University.

(2) All students are required to attend any meeting called by the Head of their School of Studies, the Dean of Students, the University Disciplinary Officer and any Senate Student Disciplinary Panel (if one is called) throughout the academic year.

(3) A student registered on a taught programme is allocated an Academic Adviser who is ready to give advice and help at any mutually convenient time in accordance with the advising policy. A minimum of three individual meetings per year will be offered with a student's Adviser at appropriate times and with the purpose of the meeting made clear at the time they are offered. It is essential that a student attends at least one of these meetings each year.

The policy on the Advising system can be found at:

<http://portal.uea.ac.uk/documents/6207125/8480269/advising-policy-approved-by-ltc.pdf/723e1548-53f6-47fd-bd73-0e75de7324a0>

A student registered on a research degree programme is allocated a supervisory team whose role is to provide academic and pastoral guidance as set out in the Code of Practice: Research Degrees: <https://www.uea.ac.uk/pgresearch/regsandforms>

A research student is required to attend the initial and formal supervisory team meetings as set out in the Code of Practice for Research Degrees.

(4) A student is required to inform the relevant University Services Office at once of any changes in her/his circumstances. The Office will collect the information on behalf of a student's Academic Adviser or Primary Supervisor (as relevant) and will pass it on to the Academic Adviser or Primary Supervisor and to the Senior Adviser or School Director of Postgraduate Research of the student's School.

(5) A student who is unable to engage with their course of study or research degree programme due to ill health must report this immediately to the relevant University Services Office which will collect the information on behalf of the Head of School and will pass it on to the Head of School, to the student's Academic Adviser or Primary Supervisor and to the Senior Adviser or School Director of Postgraduate Research of the student's School.

(6) A student may be granted a leave of absence (authorised absence) of up to two weeks at any given time during a course of study or research degree programme only with the prior permission of the Head of the relevant School of Study. Such leave will be dependent on the student having good cause for absence and undertaking to fulfil all obligations to the University. Longer absences will be dealt with under other concessionary procedures.

(7) The University may at any time temporarily exclude or permanently expel from further study:

- (a) any student whose attendance and engagement is deemed to be unsatisfactory;
- (b) any student who fails to make satisfactory progress in the programme of study.

The Statement of Policy and Procedures on Attendance, Engagement and Progress for taught programme students may be consulted at: http://www.uea.ac.uk/learningandteaching/documents/attendance_engagement_progress. Information for research degree programme students is available via <https://www.uea.ac.uk/postgraduate-research/pgr-regulations-and-forms>

(8) If a student has been suspended for financial and/or other reasons (with the exception of temporary exclusions applied by the Senate Student Discipline Committee), consideration may be given by the Vice-Chancellor as to whether the absence from the programme is incompatible with the reasonable expectation that a student will complete the programme within reasonable time, having regard to the University's regulations concerning the duration of courses.

There are separate regulations dealing with other aspects of the academic conduct of students or conduct relating to their studies, for example the regulations dealing with plagiarism and/or collusion; professional misconduct and/or unsuitability or general conduct and behaviour in any form of class and during any individual contact time with (a) member(s) of staff and in any form of work that is submitted for assessment (formative and summative). These are set out in or referred to in these General Regulations.

(9) For the purposes of this regulation the following definitions shall apply:

- a) Attendance – the physical presence on a timely basis of the student at teaching events or other required events as prescribed by the School;
- b) Engagement – the active involvement of the student in their studies as evidenced, for example, by meaningful contributions to teaching events, appropriate preparatory work in advance of teaching events, constructive working with fellow students as required by the structure of the programme of study;
- c) Progress – the achievement of satisfactory academic results, evidence of developing academic skills appropriate to the programme of study, the development of ancillary skills as appropriate to the particular programme of study.

The determination of the extent to which a student is fulfilling the requirement for Engagement and Progress shall be an academic judgement. It shall normally be within the authority of the Head of School to determine whether the level of Engagement and Progress evidenced constitutes a breach of Regulation 13. This determination

shall be made in accordance with the procedure described within the University's Statement of Policy on Attendance Engagement and Progress.

14 Professional Misconduct and/or Unsuitability

(1) A student on a programme of study where a practical professional placement is a required part of the course shall not act or behave in a manner which:

- (a) jeopardises the welfare of the subject (whether patient, pupil or client) (i.e. professional misconduct); and/or
- (b) contravenes the relevant professional code of conduct (i.e. professional misconduct); and/or
- (c) is incompatible with behaviour required by the profession (i.e. professional unsuitability);

and may at any time be temporarily excluded or permanently expelled from further study by the University if in breach of the above

(2) Allegations against a student of professional misconduct and/or professional unsuitability shall be made in writing to the Chair of the relevant Fitness to Practise Committee/Board (or the equivalent) in the School offering the professional programme of study concerned. A copy of the allegations must also be sent to the student's Head of School.

A referral could be made on the basis of poor conduct at a specific event, and/or a pattern of behaviour that has shown no significant improvement over a period of time, and/or any other breaches of the University's regulations which lead to concerns that the student may not be meeting the expectations of the profession.

15 Conduct of Research

(1) Students conducting research are required to do so with propriety and shall comply with the University Code of Practice Relating to Misconduct in Research, which can be consulted at <https://www.uea.ac.uk/postgraduate-research/pgr-regulations-and-forms> or

<https://www.uea.ac.uk/ren/research-integrity>

Any allegation of misconduct in research against a student will be handled in accordance with Section 5 of the Research Degree Policy Document which can be found at

<https://www.uea.ac.uk/pgresearch/regsandforms>

Where a student commits misconduct in research the issue may be referred to the Senate Student Disciplinary Committee.

(2) In this context, the term 'misconduct in research' means fabrication, falsification, plagiarism, misrepresentation, impersonation, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific communities for proposing,

conducting or reporting research. It specifically encompasses the following:

- (a) Piracy - the deliberate exploitation of ideas from others without acknowledgement;
- (b) Plagiarism - the copying of ideas, data or text (or various combinations of the three) without permission or acknowledgement;
- (c) Fraud - deliberate deception, usually involving the invention of data;
- (d) Conducting research in a manner which contravenes the terms of ethical approval granted by the University or by other relevant bodies and accepted by the University as governing the conduct of the research in question;
- (e) Conducting research for which the University requires there to be prior ethical approval whilst having failed to secure those approvals;
- (f) Failure to follow accepted procedures or to exercise due care in carrying out responsibilities for avoiding unreasonable risk of harm to humans, animals or the environment;
- (g) Mismanagement or inadequate preservation of data and/or primary materials
- (h) Misappropriation of data
- (i) Improper conduct in peer review
- (j) Failure to declare conflicts of interest
- (k) Misrepresentation of involvement of authorship
- (l) improper dealing with allegations of misconduct

It does not include honest error or honest differences in interpretations or judgments of data.

16 University Research Ethics Policy

All students shall comply with the University Research Ethics Policy, which can be found at

<https://intranet.uea.ac.uk/ren/research-integrity/research-ethics>

17 University Assessments

The Learning and Teaching Committee of Senate has approved the following regulations for the conduct of University assessments. This regulation is intended to provide a suitable working environment for candidates and to maintain the security of University assessments. Candidates should adhere to the regulation and should be aware that a breach of the regulation may result in disciplinary procedures.

(1) General

(a) No student shall be eligible for assessment unless the appropriate fee has been paid to the University at the due time;

(b) Assessment fees are normally included in the annual tuition fee. Reassessment fees are charged in addition to the tuition fee;

(c) If a candidate withdraws from an assessment, or does not submit an assessment item, or leaves the University without undertaking an assessment, the candidate is not entitled to recover any proportion of the tuition fee paid and no proportion of the fee is transferable to a later assessment. The refund of any fee shall be made only in exceptional circumstances.

(2) Conduct in Examinations, Course Tests and Coursework

(a) Candidates for examinations, course tests and coursework are responsible for noting correctly the times and places of examinations and course tests and the submission dates of coursework. No special arrangements can be made for candidates who fail to attend an examination or course test at the proper time, or who fail to submit coursework by the deadline.

(b) In the event of illness or other extenuating circumstances on the day of the examination or course test, candidates are advised to report the circumstances to their Learning and Teaching Hub. Candidates too ill to attend an examination must go to the University Medical Centre or their GP on the day of the examination or, if too ill to do so, immediately inform the Medical Centre or their GP. Candidates absent from an examination will need evidence from the Medical Centre or a GP, obtained on the day of the examination. Candidates prevented from attending an examination by circumstances other than illness must immediately inform their Learning and Teaching Hub.

(c) Candidates are responsible for maintaining their own good order during examinations and course tests and are required to obey all instructions given to them by Invigilators concerning each examination and course test. Invigilators may take appropriate action to ensure that the examination or course test is conducted under proper examination conditions;

(d) Candidates are not permitted to enter the examination/course test room more than thirty minutes after the scheduled start time of the examination or course test, or leave the examination/course test room until thirty minutes have elapsed. During the examination or course test, candidates may leave the examination/course test room only under supervision and, if visiting the toilet, must sign out and in again;

(e) Candidates may not leave the examination/course test room during the last fifteen minutes of the examination or course test;

(f) If candidates have to leave their desks for any reason they should move quietly and create as little disturbance as possible;

(g) Smoking is prohibited in the examination/course test rooms;

(h) Coats, jackets and bags may not be taken into the examination/course test room where there is provision for separate storage of these items;

(i) No unauthorised materials such as notes, texts, visual aids or audio

equipment may be taken into the examination/course test room unless approved for use in an examination or course test. Where there is reasonable suspicion that a candidate may have brought into an examination or course test any unauthorised material(s), the Invigilator(s) may ask the candidate to empty his/her pockets. Non-compliance by any candidate with such a request shall be referred to the Director of University Services;

(j) No examination/course test answer booklets or other stationery may be removed from the examination/course test room;

(k) Candidates are not permitted to communicate with anyone except an invigilator during the examination or course test;

(l) Answers to questions must be written legibly in ink unless otherwise specified;

(m) Candidates who do not wish to hand in an answer booklet at the end of the examination/course test must report this to the Invigilator, who will annotate the cover to this effect and ensure that it is retained;

(n) Unless prohibited by the Learning and Teaching Committee of the Senate, on the recommendation of the Board of the School, electronic calculators may be used in examinations and course tests under the following conditions:

(i) the calculator shall be of a non-programmable and non-communicable type, with no text retrieval or graphical capabilities, unless otherwise specified on the front of the examination/course test paper;

(ii) only those models of calculator that appear on the University's list of approved calculators shall be used;

(iii) the calculators shall be subject to checking by the examination/course test invigilators;

(iv) candidates are entirely responsible for the working order of their calculators and batteries;

(v) candidates must show on each answer booklet the type of calculator used, if any;

(o) Candidates whose first language is not English may use a dictionary in any examination or course test except where:

(i) the purpose of the assessment is to test competence in a language (unless the Learning and Teaching Committee has granted permission for the use of a dictionary or dictionaries);

(ii) the Learning and Teaching Committee has prohibited the use of dictionaries except where expressly permitted; Where the use of a dictionary is permitted, it must be paper-based, unless there is an approved educational need. Technical dictionaries and dictionaries where the content includes more information than simple translations are prohibited. English to a foreign

language, foreign language to English and foreign language to foreign language dictionaries are permitted unless excluded under (i) or (ii) above.

Candidates must provide their own dictionaries, in accordance with the University's list of approved dictionaries, which will be checked by the Invigilator in the examination/course test room. Dictionaries should contain no notes or annotations other than the candidate's name. Any notes or annotations discovered in a dictionary will be treated as evidence of an intention to cheat and the circumstances referred to the Director of University Services in accordance with 17 (2) (q) below;

(p) Candidates who are referred to Reassessment or who have been granted a Delayed Assessment or Reassessment, or a Further Reassessment are expected to sit the examinations or course test (as appropriate) at the University of East Anglia. Candidates who have extenuating circumstances which prevent them from returning to the University, may apply to the Learning and Teaching Committee of Senate for permission to sit at an overseas examination/test centre in their country of residence. The overseas examination/test centre will be subject to approval by the Academic Director of Taught Programmes;

(q) Cheating in an examination, course test or in a coursework assessment is defined as an attempt to gain an advantage by unfair means and includes (but is not limited to):

- communication with another/others in an examination or course test
- commissioning or otherwise allowing another person to pass himself/herself off as the candidate
- impersonating another candidate
- possession of, access to and/or use of any unauthorised materials in examinations and course tests such as, but not restricted to, notes, texts, mobile telephones, visual or audio material
- continuing to write in examinations and course tests after candidates have been instructed to stop
- deception in research encompassing the falsifying, fabricating, or misrepresentation of data.

Where there is reasonable suspicion of cheating in a course test or examination, a candidate may be required to one or more of the following:

- (i) empty pockets of all contents and turn pockets inside out;
- (ii) remove outer items of clothing;
- (iii) pull back long hair to reveal ears and/or neck;
- (iv) roll up sleeves or trousers;
- (v) remove socks and shoes.

Cheating is a serious offence. If a student is suspected of cheating or fails to comply with a requirement as set out above, University Assessments staff will, for those students suspected of cheating in a course test or examination, immediately inform the candidate of the fact, confiscate any unauthorised materials, mark the answer booklet with the time at which the suspicion occurred and allow the candidate to continue with the examination or course

test;

In all cases of suspected cheating the University Assessments Office will:

(ii) inform the Head of Learning and Teaching, who will act in accordance with (r) below;

(r) The Head of Learning and Teaching shall consider the evidence and determine the seriousness of the offence, classifying it as a low level (Level 1), medium level (Level 2) or high level offence (Level 3) using the grid below.

Criteria	Low Level (1)	Medium Level (2)	High Level (3)
<p>Experience of Student</p> <p><i>Relates to the expectation that the student should be aware of the seriousness of their actions</i></p>	<p>For example:</p> <p>First year student or first semester of course</p> <p>Cultural considerations and/or extenuating circumstances</p> <p>No previous disciplinary record of cheating</p>	<p>For example:</p> <p>Student after first semester of course</p> <p>Previous disciplinary record of cheating in examination/course test (Level 1 offence)</p>	<p>For example:</p> <p>Experienced student</p> <p>May have previous disciplinary record of cheating in examination or course test (level 2 or level 3)</p>
<p>Nature and extent of the breach</p>	<p>For example:</p> <p>Breach regarded as 'technical' judged to have led to no or negligible advantage to the student (eg irrelevant annotation in dictionary)</p>	<p>For example:</p> <p>Breach results in some advantage to the student and is more than a 'technical' breach. May be evidenced by possession of or access to and/or use of any unauthorised materials. Student fails to comply with instruction where there is reasonable suspicion.</p>	<p>For example;</p> <p>Breach results in significant advantage to the student and may be evidenced by possession of or access to and/or substantial use of unauthorised materials or by commissioning/allowing another person to pass himself/herself off as the student or by impersonating another student</p>
<p>Intention</p> <p><i>Relates to the intentionality</i></p>	<p>For example:</p> <p>Technical breach without intention</p>	<p>For example:</p> <p>There is evidence that there was use of unfair means but</p>	<p>For example:</p> <p>There is evidence that there was significant use of unfair means</p>

of the act of cheating and the intent to cheat by way of use of unfair means in the assessment		the evidence suggests that the act was not substantially pre-mediated or was an unsophisticated and naïve attempt to gain advantage	and that the evidence suggests that this was pre-meditated.
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Having classified the level of offence, the relevant Director of University Services shall take action as follows:

(1) Level 1 Offence

The relevant Director of University Services shall determine that the student receive a warning letter which will remain on the student's file for the duration of his/her studies at the University of East Anglia and which shall indicate that in the event of a further offence in an examination or course test this offence will be classified as a Level Two offence.

(2) Level 2 Offence

The relevant Director of University Services shall refer the student's case to the Chair of the Senate Discipline Committee for consideration as to a penalty in accordance with the penalties available to the Senate Student Discipline Committee as set out in Appendix 3 of the *Disciplinary Procedures*. In these circumstances a student may appeal to the Senate Student Discipline Appeals Committee against the finding and /or the penalty.

(3) Level 3 Offence

The relevant Director of University Services shall refer the student's case to a Senate Student Discipline Committee as set out in the *Disciplinary Procedures*.

(s) Illegibility of Examination/Course Test Scripts and Gratuitously Offensive Material in Work Submitted for Assessment

Students are expected to present examination or course test scripts in legible handwriting (unless individual arrangements are approved by the Learning and Teaching Committee of Senate for the use of a computer) and should not include gratuitously offensive material in any work (including coursework) submitted for assessment.

(i) Where a marker finds a section of an examination or course test script is illegible or contains what is considered to be gratuitously offensive material in an examination or course test script or other form of assessed work, they shall mark the parts of the script that are legible or do not contain gratuitously offensive material and refer the whole script to the Chair of the Board of Examiners responsible for the module concerned.

(ii) In the light of (s) (i), the Chair shall:

either

(a) confirm that the section of the script is illegible or that the work submitted for assessment is gratuitously offensive

or

(b) decide that the script is legible that the material is not gratuitously offensive and ask a second marker to mark the script or work in question

(iii) In the event that the Chair confirms that a section of a script is illegible or that the work submitted for assessment is gratuitously offensive, the Chair, informed by the marker, shall:

(a) decide whether the illegible or gratuitously offensive part of the script or work submitted for assessment represents a minor or major proportion of the whole and whether any marks derived from this part would have a material impact on the module mark.

(b) If it is decided that the illegible section of a script or the gratuitously offensive part of the work submitted for assessment represents a minor proportion of the script and would not have a material impact on the module mark, a mark of zero shall be awarded for this section.

(c) If it is decided that the illegible section of a script represents a substantial proportion of the whole and/or would have a material impact on the module mark, the student will be invited to report to their School of Studies so that arrangements can be made to have their work legibly transcribed (by reading their answers under examination conditions);

(d) if it is decided that the gratuitously offensive section of work submitted for assessment represents a substantial portion of the whole and/or would have a material impact on the module mark, a mark of zero shall be awarded for this section and a report made to the Head of the relevant School for consideration for disciplinary action under General Regulation 13 (Attendance, engagement and progress) of the General Regulations for Students.

(iv) Where a marker finds that the *whole* of an examination or course test script is illegible (or such a substantial part that there is little material that can be marked) or contains gratuitously offensive material in work submitted for assessment, they shall refer the script or the work submitted for assessment to the Chair of the Module Assessment Board of Examiners responsible for the module concerned.

(v) In the light of (r) (iv) above, the Chair, informed by the marker shall:

either

(a) confirm that the whole script is illegible or that all the work submitted for assessment is gratuitously offensive

or

(b) decide that the script is legible or that the material is not gratuitously offensive.

(vi) In the event that the Chair confirms that:

(a) the script is illegible, the student will be invited to report to their School of Studies so that arrangements can be made to have their work legibly transcribed (by reading their answers under examination conditions);

(b) work submitted for assessment is gratuitously offensive, a mark of zero shall be awarded for the whole of the work in question and a report made to the Head of the relevant School with a recommendation that disciplinary action be taken under General Regulation 13 (Attendance, engagement and progress) of the General Regulations for Students.

(vii) Where an opportunity is provided to have an illegible script or part of a script legibly transcribed a student may:

(a) accept the offer and make arrangements with the School of Studies; or

(b) accept a mark of zero for the script or part of the script which has been deemed to be illegible.

(viii) In all cases where part or the whole of a script has been deemed to be illegible, or where a marker has concerns about the legibility of a script, the student shall be referred to the Academic Adviser for appropriate guidance and advice.

Procedure for marking offensive material

If offensive material is found in a student's assessed work and it is considered by the marker that disciplinary action should be taken, the matter will be referred to the Head of School for action under General Regulation 13.

(a) Regardless of any disciplinary action, the following process should apply when marking offensive material:

A marker should award the work a mark worthy of its academic merit and notwithstanding the inclusion of offensive material. If the work submitted has no academic merit and has not met the learning outcomes of the task set, a marker may award 0%.

(b) Where a marker is concerned that the offensive material causes him/her undue stress and may influence the marking, the matter shall be referred to the Chair of the Board of Examiners who will review the material and decide whether the material is such that the work should not be marked or that another marker should be asked to mark the work as much as possible. If the alternative marker declines to mark the work on the basis that the work, or part of the work contains gratuitously offensive material, the work or the relevant part(s) of the work shall be deemed unmarkable and a provisional mark of 0% recorded for those parts of the work that are deemed unmarkable.

- (c) If disciplinary action has been taken as part of the procedure for marking offensive material, marks awarded for assessments containing offensive material should be confirmed by the Board of Examiners once the disciplinary investigation/action has been concluded.

18. Plagiarism and/or Collusion

All students shall abide by the University's policy on plagiarism and/or collusion in coursework assessments (including, but not confined to: essays, reports, presentations, dissertations and projects) and in 'open-book' examinations. A student who is alleged to have committed plagiarism and/or collusion shall be dealt with in accordance with the policy (see the relevant section of the Calendar at: <https://www.uea.ac.uk/calendar>) and/or, if registered for a research degree programme, in accordance with the policy on Misconduct in Research which can be consulted at:

<http://www.uea.ac.uk/pgresearch/regsandforms/Section+5%3a+Allegations+of+Misconduct>

19. Students' Religious Beliefs and the Organisation of University Work

The University recognises that many faiths are practised within the student population and the University provides a range of practical facilities for observance of faith. Wherever possible, the University will arrange learning, teaching and assessment with minimal impact on religious practice and within the following guidelines:

- a. a student who for religious reasons is unable to carry out University work or examinations on Saturdays or on certain other days during the year is requested to give notice of this fact in writing to the relevant University Services Office on first registering at the University;
- b. it is the responsibility of such students to inform themselves concerning the work which has been done in classes from which they have been absent;
- c. students who feel they may be adversely affected by assessment or examination/course test arrangements should advise the relevant University Services Office in writing as soon as possible on receipt of notice of the relevant assessment or examination/course test arrangements;
- d. the relevant University Services Office will then make such reasonable adjustments as possible where these fall within the remit of the Office subject to (e) below and shall also advise the University Assessments Office of any students requesting special arrangements on religious grounds, where central timetabling processes are involved;
- e. the University will endeavour to make reasonable adjustments (which may be, for example and where practicable, avoiding holding examinations on those days for which students concerned have given notice in writing as described above) but University reserves the right to hold examinations/course tests on those days if no alternative time is practicable.

20. Conferment of Qualifications

- (1) No persons shall be entitled to describe themselves as holding a degree or other qualification granted by the University unless the qualification has been awarded in Congregation or by special resolution of the Senate.
- (2) Candidates for a degree, postgraduate certificate or diploma, Diploma or Certificate of Higher Education, or Higher National Diploma or Certificate may either present themselves in person at Congregation or elect to have the qualification conferred *in absentia*.
- (3) Other diplomas or certificates shall be conferred *in absentia*.
- (4) Congregation shall be held at such times and places and in such manner as the Senate may from time to time prescribe.
- (5) Candidates who wish for a qualification to be awarded in Congregation either in person or *in absentia* must enter their names in the form and at the time prescribed by the Registrar and Secretary (or nominee).

Regulations relating to University Property
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21. Library Rules

All students shall comply with the Library Rules currently in force. See the section of the Calendar headed 'Library Rules'.

22. Computing Facilities

All students shall comply with the Conditions of Computer Use currently in force. These can be found at <http://www.uea.ac.uk/is/itregs/usepols>.

23. Electronic Resources, Databases and Electronic Journals

In order that the University may comply with its Licenses for access to electronic resources, students shall ensure the security and confidentiality of the electronic resources made available to them, whether accessed via University-provided PCs, or via their personally owned PC connected to the network. In addition, students shall ensure that any information derived from these resources is used only for the purpose defined in the Licenses. Copies of these Licences, which include details of copyright restrictions, are available for inspection on application to the Main Library.

24. Intellectual Property

A student shall comply with the University's Intellectual Property Regulations. See the section of the Calendar headed 'Intellectual Property Regulations'.

25. Copyright

In order that the University may comply with the law relating to copyright, students may not make copies of copyright-protected work beyond the limits set by statute, by such licences as the University holds or by guidelines

published by the University. Copying is defined as reproducing the work in any material form, including storage in any medium by electronic means.

26. Data Protection

In order that the University may comply with the law relating to Data Protection:

- (1) students may not construct, maintain or use computer or manual files of personal data relating to living individuals for use in connection with their study or research without the written authorisation of their Adviser or Supervisor, who will send a copy of that authorisation to the University's Information Policy and Compliance Managers
- (2) when giving such authority the Adviser or Supervisor will make the student aware of the requirements of the Data Protection Act 1998 and the appropriate security arrangements which should apply;
- (3) students must abide by the Data Protection Principles whenever they use personal data held by the University.
- (4) under the Data Protection Act 1998 students have a right of access to their own personal data held by the University. Students wishing to exercise this right should contact the Information Policy & Compliance Managers

The University may share some student information with external bodies as required, and in accordance with the Data Protection Act 1998. A list of third parties with whom we share information can be found at <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/data-protection/dpa-information-for-students>

27. Car Parking

No student shall drive or park a motor vehicle on premises owned, controlled or managed by the University except as permitted by the University's Vehicle Regulations, copies of which are obtainable from The Lodge or on-line at <https://www.uea.ac.uk/Estates/transport>.

Fees and Charges

- 1 The attention of students is drawn to the General Regulations of the University concerning the payment of fees.
- 2 Cheques, postal orders and money orders should be made payable to "The University of East Anglia".
- 3 The University reserves the right to revise fees and charges at any time.
- 4 There shall not normally be any refund of fees in respect of periods of absence.
- 5 Fee liability for withdrawals and intercalations (an approved interruption to the period of study):

Full-time Undergraduate and Postgraduate Taught Programmes

Students who withdraw from the University or who begin a period of intercalation on or before 31 October in an academic year will not be required to pay fees for that academic year. Those who withdraw or intercalate after that date will be charged fees on a pro rata basis for the period of their attendance based on 'cut-off' dates published by the University for the relevant academic year.

For courses commencing other than at the start of the academic year, students who withdraw from the University or who begin a period of intercalation within the first five weeks of the course will not be liable for fees. Those who withdraw or intercalate after that date will be charged fees on a pro rata basis for the period of their attendance based on 'cut-off' dates published by the University for the relevant academic year.

Visiting Students who withdraw from the University will have their fee liability assessed on a case by case basis.

Repeat Periods of Study

Full-time undergraduate and taught postgraduate students undertaking a repeat period of study of 6 weeks or more will be charged an additional 25% of the annual fee. This fee may be waived at the request of the school.

Part-time Undergraduate Taught Programmes (excluding the Centre for Continuing Education)

Single Semester Modules – students who withdraw from a module before the end of Week 5 of the semester will not be liable for fees. Those who withdraw from the module from Week 6 onwards will be charged for 50% the module fee.

Year Long Modules – students who withdraw from a module on or before 31 October in an academic year will not be liable for fees. Those who withdraw after that date will be charged fees on a pro rata basis for the period of their attendance based on 'cut-off' dates published by the University for the relevant academic year.

Part-time Postgraduate Taught Programmes

Students who withdraw from the University or who begin a period of intercalation on or before 31 October in an academic year will not be required to pay fees for that academic year. Those who withdraw or intercalate after that date will be charged fees on a pro rata basis for the period of their attendance based on 'cut-off' dates published by the University for the relevant academic year.

In some schools of study fees are charged by the module. Where this is the case the following will apply for students who withdraw from a module:

Single Semester Modules – students who withdraw from a module prior to completing 50% of the module, will not be liable for fees. Those who complete 50% or more before withdrawing from the module will be charged half of the module fee.

Year Long Modules – students who withdraw from a module will be charged fees on a pro rata basis for the period of their attendance based on 'cut-off' dates published by the University for the relevant academic year.

Research Postgraduate Programmes

Students who withdraw from the University or who begin a period of intercalation within the first five weeks of the course will not be liable for fees. Those who withdraw or intercalate after that date will be charged fees based on each month (or part thereof) that has been completed.

- 6 Except where otherwise stated all fees are payable annually and are inclusive fees covering all charges for registration, tuition, examination, graduation, and membership of the Union of Students, but not fees for late registration, late or change to module enrolment, re-examination fees, nor fees for examinations taken overseas (where permission has

been granted). Certain courses incur additional expenses (for example, for field work or field courses). These additional fees and charges are listed in paragraphs 16, 17 and 18 below.

- 7 Fee levels and payment arrangements for online courses or other services related to and arising from online provision will be specific to that course and/or service. Full details regarding fee levels and any payment requirements (such as payment in advance of registration) will be provided to applicants in advance of any decision to register.
- 8 For students spending a required intercalated year of study abroad or industry placement, fees are payable as follows:

For Old-Scheme students, who started their course prior to September 2012:

- (a) for Home/EU students: 50% of the normal annual composite fee.
- (b) for Home/EU students eligible for financial support on a full year ERASMUS exchange: no fee (provided that the full year is spent with an ERASMUS partner in the EU; for further details of institutions to which this arrangement applies please check with the Teaching Hubs or the Study Abroad Office).
- (c) for Home/EU students spending one semester abroad and the other at UEA tuition fees are payable in full.
- (d) for international students: 25% of the normal annual composite fee for international students is payable. In the case of a semester abroad, then 25% fees are payable for the semester abroad and fees at the full rate for the semester at UEA.

For New-Scheme students, who started their course on or after September 2012:

- (a) for Home/EU students: 15% of the normal annual composite fee.
- (b) for Home/EU students eligible for financial support on a full year ERASMUS exchange: 15% of the normal annual composite fee (provided that the full year is spent with an ERASMUS partner in the EU; for further details of institutions to which this arrangement applies please check with the Teaching Hubs or the Study Abroad Office).
- (c) for Home/EU students spending one semester abroad and the other at UEA tuition fees are payable in full.
- (d) for international students: 25% of the normal annual composite fee for international students is payable. In the case of a semester abroad, then 25% fees are payable for the semester abroad and fees at the full rate for the semester at UEA.

(The University will meet tuition fees charged by approved institutions abroad attended in accordance with the Regulations of the School of Study concerned.)

- 9 Fieldwork: For full-time research students spending an approved period of study abroad in excess of three months in a continuous period, fees are payable as follows for the period of fieldwork:
 - (1) for those continuing to be supervised from UEA: one-third the normal annual composite fee;
 - (2) for those being supervised locally: one twelfth the normal annual composite fee.
- 10 Every student following a full or part-time course of study for a degree, diploma or certificate of the University is required to be a member of the Union of Students, the charge for which is contained within the inclusive fee.
- 11 Students registered for Research degrees who are allowed extensions to the period of advanced study and research in accordance with the University Regulations shall pay fees for each month or part month of the period of extension, as appropriate.
- 12 Research students who complete the approved period of advanced study and research shall be liable to pay continuation fees at the rates shown below until such time as they present a thesis or withdraw their candidature:

For 2015-16 academic year:

First year of registration-only period	£250
<i>(Payable at the end of 12 months but waived if submission made before the end of this period)</i>	
Second Year (or part year) of registration-only period:	£500
All subsequent years or part years:	£1000

From 2016-17 academic year:

First year of registration-only period	£360
<i>(Payable at the end of 12 months but waived if submission made before the end of this period)</i>	
Second Year (or part year) of registration-only period:	£720
All subsequent years or part years:	£2026

For research students with a combined period of study and post-registration (ClinPsyD, BBSRC DTP, for example):

If thesis is not submitted at the end of this period	£360
First Year (or part year) of registration-only period:	£720

All subsequent years or part years: £2026

In cases where extensions to the period of registration within which a thesis is to be submitted are granted on the grounds of prolonged serious illness or issues beyond the student's control the period of such extension shall not count towards the calculation of continuation fees.

- 13 In most cases full-time students not registered for a qualification of the University shall pay the same fees as full-time students registered for a qualification.
- 14 The Registrar and Secretary (or nominee) in consultation with the Head of the School concerned shall determine the fees for any courses or periods of study not provided for in these Regulations, for example when students undertake part of their period of study at another approved location.
- 15 Where special rates of fees for international students are not given, such students shall pay the same fees as home students.

16 The following additional fees shall be payable:

(1) Registration

(a) **New Students**

An additional fee of £15 shall be charged to all new full-time or part time students who do not register with the University within 7 calendar days of the registration date advised to them by the Learning and Teaching Service.

(b) **Returning Students**

An additional fee of £15 shall be charged to all returning full time or part time students who do not register with the University within 7 calendar days of the registration date advised to them by the Learning and Teaching Service.

Beyond Late Registration, a further fee of £5 per day shall be charged until such time as the student registers.

(2) **Late Module Enrolment**

An additional fee of £10 shall be charged for making or changing a module enrolment after the enrolment deadline.

(3) **Accounts**

Fees and charges which have not been paid by the due date may be subject to a late fee which shall be on the following scale:

Debt	Late Fee
< = £20	Amount outstanding

£20.01 to £25.99	£20
£26 to £100.99	£25
£101 to £500.99	£30
£501 to £1,000	£40
> £1,000.01	£50

(4) Extension Fee

Students who are granted an extension to the time allowed for payment of fees and charges shall pay an additional fee of £10 per invoice.

(5) Campus Card

All users who require a replacement card shall pay a fee of £10.

(6) Payment Method

An administration charge of £10.00 will be made for any change requested and made to the method of payment.

(7) Unpaid Cheque/Direct Debit

There will be an administration charge made of £15.00 for any unpaid cheque(s)/direct debit.

17 The following re-examination/reassessment fees shall be payable:

Undergraduate Reassessment £70 per module or part thereof

Postgraduate Reassessment £70 per module or part thereof

On resubmitting a thesis £140

For second oral examination or written Examination £110

Other re-examination/reassessment fees are available on application to the Fees Officer.

Delayed first sit examinations at an overseas centre: £100.

Reassessment at an overseas centre: £175 for the first module and £70 for each additional module.

18 Charges

(1) Breakage and other deposits and charges

(a) Undergraduate and graduate students in any School or Centre may, at the end of any course, be charged for breakages, loss or damage of apparatus or equipment due to negligence or carelessness, and for keys issued to them which have not been returned.

(b) The following specific deposits and charges are required by the Schools of Study:

(i) *School of Biological Sciences*: breakage and key deposit (undergraduate students) £10

(ii) *School of Chemistry and the School of Pharmacy*: graduate students and other research workers on receipt of locker or laboratory keys £10, breakage and key deposits (undergraduate students) £25

(iii) *School of International Development Studies*: undergraduate students taking laboratory courses £12

(iv) *School of Literature and Creative Writing*: students taking the MA in Creative Writing - for photocopying up to £25

(c) If at any time before the completion of the programme of study a breakage deposit has been fully committed the student may be required to make a further payment of the sum originally required.

(d) Deposits paid on receipt of keys shall be refunded on return of the key and the balance of breakage or other deposits at the end of the period of study.

(2) Transcripts

Charges are payable in advance and additional delivery charges may apply.

(a) For students graduating or leaving UEA for other reasons from 2005-06 onwards, one transcript (EU Diploma supplement) shall be made available, free of charge, to each student.

(b) Additional copies shall be charged at £8.00 per copy.

(c) An administration charge of £4.00 shall be payable for the provision of each signed and sealed envelope.

(d) Up to five Transcript Request Forms from other institutions will be completed free of charge. A charge of £2.00 shall be made for each additional form.

(3) "To Whom It May Concern" letters

Charges are payable in advance and additional delivery charges may apply.

Up to five "To Whom It May Concern" letters will be provided free of charge. A charge of £3.00 shall be made for each additional letter.

(4) Replacement and Certified Photocopies of Parchments

Charges are payable in advance and additional delivery charges may apply.

(a) A charge of £30.00 shall be made for providing a replacement parchment which is identical to that originally produced. In the case of a student who subsequently to registration for, and conferment of, their award requests a name change a replacement parchment a charge of £120 will be made

(b) Up to five photocopies of parchments will be certified free of charge. A charge of £3.00 shall be made for the certification of each additional photocopy.

(5) Faxed Transcripts, “To Whom It May Concern” letters and Parchments

Faxed copies of documents, undertaken in addition to postal delivery, shall be charged at £6.00 per fax.

(6) Scanned and emailed Transcripts, “To Whom It May Concern” letters and Parchments

Scanned and emailed copies of documents, undertaken in addition to postal delivery, shall be charged at £6.00 per email address.

(7) Residences

There are University residences on University Plain, University Village and Mary Chapman Court, Norwich. Accommodation is allotted on the basis of an agreement between the student and the University, subject to the terms and conditions of a License to Occupy or Assured Tenancy Agreement and subject to the availability of any particular type of accommodation.

The charges for 2015-16 are available at:

<http://www.uea.ac.uk/accommodation/accommodation-options>

(8) Additional Expenses

Students are advised that, where they are obliged to attend field work or field courses or where there is an optional or required year abroad, they will incur additional expenditure. Postgraduate students in Science Schools may be charged a non-refundable bench fee as a contribution towards the cost of laboratory consumables and running costs, and in the Schools in the Faculty of Medicine and Health Sciences may be charged for clinical supervision.

Students who enrol on field course modules offered in the Faculty of Science are entering into a financial commitment to pay for their travel, accommodation and food costs. Students who are thus enrolled when accommodation and/or flights are booked will be liable to reimburse these costs in full to the School should they decide not to attend the field course.

Further information and advice may be obtained from Schools of Study.

(9) Freedom of Information Act: Fee schedule

The Planning and Resources Committee has approved the following schedule of fees to be charged to people who make requests for information under the Freedom of Information Act:

	From European Union countries	From non-European Union countries
Access to electronic resources on UEA external website	No charge	No charge
Print copy of material available on UEA external website	£15.00 per single document flat fee (black and white, A4, single-sided)	£25.00 per single document flat fee (black and white, A4, single-sided)
Print copy of material which is only available in print form	£15.00 per single document flat fee (black and white, A4, single-sided)	£25.00 per single document flat fee (black and white, A4, single-sided)

Library Rules 2015-16

These rules are designed to safeguard the common interests of all Library users.

All users are admitted on the understanding that they have read and will observe Library rules. Infringement of these rules could result in suspension or withdrawal of borrowing privileges, formal disciplinary procedures or other penalties as imposed by the Director of Information Services.

1. Membership

1.1 All staff and registered students of UEA are members of the Library. Other groups eligible to borrow from the Library include:

- Joint students at associate colleges studying on UEA award-bearing courses
- Employees of organisations who are closely associated with the University or whose work is associated with the University, for example Norwich Research Park
- Associate staff teaching on UEA award-bearing courses at designated institutions

1.2 Others wishing to use the Library for study or research purposes may be granted limited borrowing facilities on written application. They may be required to restrict their use of Library materials and to observe any other regulations which may be imposed by the Director of Information Services.

1.3 Visitors should report to the Library Reception and show a form of photographic ID, e.g. Driving Licence, and proof of address to apply for a day pass.

1.4 Unaccompanied children under the age of 16 will not be admitted to the Library. Any children entering the building must be under the direct supervision of an adult at all times.

1.5 Anyone entitled to borrow and wishing to do so must obtain a UEA campus card or Library card. The card is not transferable and must be produced each time items are borrowed.

1.6 Users must produce a valid UEA campus card or Library card each time they wish to enter the Library. Access without a valid card is at the discretion of the Director of Information Services, or their representative.

1.7 Users must produce their campus card or Library card if requested to do so by a member of Library staff. Cards remain the property of the University and can be retained by staff if necessary. Old cards must be returned to the Helpdesk based in the Library prior to a new card being issued; failure to do so will result in a replacement card charge being levied.

1.8 The loss of a campus or Library card should be reported immediately to the Helpdesk based in the Library.

2. General

2.1 We aim to treat all our users with respect and according to their needs. Similarly, all Library users are expected to treat Library staff and other Library users with respect. Any user displaying rude, aggressive or other inappropriate behaviour may be asked to leave and, if appropriate, referred to the University's Disciplinary Officers.

2.2 The Library welcomes comments and constructive criticism of our services and aims to provide an appropriate and timely response. Full details of our complaints procedure are available at our service points and on our website.

2.3 Smoking, including e-cigarettes, anywhere in the Library building and the adjacent walkways is prohibited.

2.4 In order to ensure we can maintain a clean and tidy work environment and reduce waste, consumption of cold snacks and non-alcoholic drinks is only allowed on Floor 0 and Floor 1 of the Library. Bottled water or drinks in 'lidded cups' may be consumed in other areas but food is not allowed on any other floor. Please eat all hot food outside of the Library building.

2.5 In the interests of other Library users, study spaces must be left clean and tidy at all times and all litter placed in the appropriate recycling or general waste (landfill) bins provided. The named individual booking any study facility will be held responsible for ensuring this regulation is adhered to.

2.6 The Library is intended to be a silent space for study. Stairwells can be used for short, quiet phone conversations. For lengthy phone conversations or skype calls, users are asked to use spaces outside the library building to avoid disturbing other users or blocking the stairwells. You must not disturb other Library users and should observe the silence rule in designated areas. You may be required to leave if you disturb or cause offence to other Library users.

2.7 All visitors to the Library should make themselves aware of the nearest available fire exits and evacuate the building immediately the fire alarm is activated.

2.8 Use of computer facilities and computer terminals located in the Library is subject to the existing UEA conditions of computer use available on the website at <http://www.uea.ac.uk/is/itregs/cocu-pdf>. Users are reminded that computer facilities are provided primarily for legitimate academic purposes such as learning, research or personal educational development. You may be required to leave if you disturb or cause offence to other Library users.

2.9 In order to ensure fair access to study spaces in the Library, seats may not be reserved for prolonged periods. Library staff may clear away any personal

property left on tables or in study rooms in order to make spaces available to other users.

2.10 The Library is a public building. Personal belongings should not be left unattended at any time. If you choose to bring personal possessions into the Library this is at your own risk.

2.11 Animals and pets, with the exception of guide dogs and assistance dogs, are not permitted in the Library building.

3. Borrowing

3.1 No item may be removed from the Library until it has been borrowed. Illicit removal of items from the Library will be treated as a serious disciplinary offence. All items, both Library and private, must be shown on request at the exit.

3.2 Some Library items may not be borrowed and may not be removed from the Library. These include periodicals (journals), theses and reference only items.

3.3 Items must be returned or renewed on or before the due date or a fine will be payable. If items are recalled they must be returned by the new due date. Users are responsible for ensuring they are aware of the due dates of items borrowed, both normal due dates and revised due dates for recalled items. Failure to comply with a recall will incur a fine.

3.4 Library notices will only be sent by email, normally to UEA email addresses (or personal email addresses for external members). Failure to receive notices for whatever reason cannot be accepted as reason for late return. Users are therefore advised to check their Library account regularly.

3.5 Users are responsible for all transactions on their Library account and are advised to ensure they close their Library record at the end of any transactions undertaken on the self-service equipment or computers in the library, or when remotely logging in to their Library account. Library/campus cards are not transferable and must not be used by anyone other than the registered member. If you believe your card has been used fraudulently you must report it to the Library as soon as possible who will advise you on our procedures and our Alleged Misuse of Card policy.

3.6 Fines are charged for the late return of all Library material. Users are encouraged to speak to Library staff as there are a range of extenuating circumstances when we may be able to reduce or waive the fine charged. Borrowing rights will be suspended when an item becomes overdue or charges accrued reach £10. All fines must be paid within 4 weeks. Where fines remain unpaid for more than 4 weeks or where there are outstanding overdue items an invoice will be raised including a non-refundable handling charge. If an invoiced item is returned the cost of the item will be refunded but fines and the handling charge remain payable.

3.7 Prolonged or wilful failure to return Library material, including items borrowed from other libraries on the user's behalf may result in an invoice being raised for the replacement cost of the material, any outstanding fines and a non-refundable handling charge. It may also be treated as a disciplinary offence and referred to the University's Disciplinary Officers.

3.8 Individuals must return all items and pay any charges before the end of their course or, in the case of staff, before they leave the University or Institute or cease teaching courses franchised or validated by the University. External members must return all items by the expiry date on their campus card.

3.9 Items must be returned via the self-service machines or placed in the designated returns letterbox. Should neither option be available, items must be handed to Library staff at service points. Items remain your responsibility until they appear as returned on the Library system. Users are liable for the cost of repair of any item damaged or any item lost while the loan remains on their account.

3.10 With the exception of High Demand, video and DVD material, items on loan that are not reserved for another user may be renewed. Library staff will confirm how many times different categories of borrower may renew. Postal renewals and e-mail requests cannot be accepted. The renewal limits may vary according to the borrower's status.

3.11 Standard loan items borrowed by UEA students and staff over some vacation periods will be issued for an extended period covering the vacation. Vacation borrowing will normally start 5 working days before the end of each teaching period. The loan lengths of DVDs, Videos, 7 day loan and High Demand items do not change during vacations and are not extended.

3.12 Material in the Library's special collections is subject to special regulations regarding its use.

3.13 Audio Visual material is for academic use only, i.e. not for recreational purposes.

4. Borrowing from other sources

4.1 Inter-library loan facilities are available to UEA staff in academic schools and all registered UEA undergraduate and postgraduate students. All undergraduate students, and postgraduate students in some schools, should have their requests signed by an appropriate member of academic staff. Details of which schools require a signature are here: <https://www.uea.ac.uk/is/interlending>

4.2 Inter-library loan material is subject to any conditions imposed by the lending library or by the Director of Information Services and failure to comply with such conditions may lead to the suspension of borrowing privileges.

Conditions of Computer Use

Policy and guidelines governing use of all University IT and network facilities

Approved by the Information Strategy and Services Committee 9 June 2015

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1. Purpose and Scope

These Conditions of Computer Use are a formal statement of what is acceptable and unacceptable when using the University's IT facilities and network. They aim to encourage responsible behaviour and good practice, thus assisting the University in maintaining a secure, safe and robust IT environment. The conditions detailed here apply to all using the University's IT facilities whether a member of staff, a student, or a person from outside the University who has been authorised to use facilities.

All those using the University's IT facilities and network should be aware of these conditions and abide by them. Contravention of these conditions could lead to loss of access to IT facilities and disciplinary action. If you are unsure about any aspect of these Conditions of Use or your use of UEA's IT facilities, it is your responsibility to seek clarification by contacting the University's IT Helpdesk (see [section 7](#) for contact details).

Information Services will make all users aware of these Conditions of Computer Use when they are issued an IT account. Reminders will also be communicated on a regular basis. It is also the responsibility of each Faculty or Division and their constituent Schools/Departments to ensure that this document is brought to the attention of users within their domain during induction processes for new staff and students and at other times when appropriate.

- a) The term **IT facilities** is defined to cover computing equipment such as servers, PCs, laptops, tablets, smartphones and printers; software, data and information held on those systems; information systems used for administrative and other purposes; network access via wired and wireless connections; online services; and the user credentials used to identify you and manage access to facilities.
- b) The Conditions of Computer Use apply to all IT facilities owned by the University as well as those owned by third parties for which access has been facilitated by the University. They also apply to personally-owned equipment used to access any of the University IT facilities.

2. Summary Conditions

- a) Your UEA password is confidential and you must never disclose it to others, or let anyone else access services and systems using your password. Disclosing your password to others contravenes the Conditions of Computer Use and could lead to disciplinary action and loss of access to IT facilities. **YOU SHOULD NOT RESPOND TO ANY REQUEST TO DISCLOSE YOUR PASSWORD INCLUDING THOSE PURPORTING TO COME FROM THE UNIVERSITY OR INFORMATION SERVICES.** [See 3.4j](#).
- b) Be aware of relevant legislation. In particular, if you work with personal information about individuals, you must be aware of and comply with the Data Protection Act. You should also be aware that University computer



communication systems are dependent on the Joint Academic Network (Janet) and all use must comply with Janet's Acceptable Use Policy. See [section 3.2](#)

- c) Computing facilities are provided for University work purposes. Limited personal use is permitted, provided it is not illegal, does not adversely affect other users, does not interfere with work or studies, or in any other way breach the Conditions of Computer Use. Staff should not use the University email service for personal (non-work related) emails. [See section 3.3.](#)
- d) Care must be taken to ensure you do not create, transmit or publish any material that is illegal, offensive, abusive, or whose effect is to bring the University into disrepute. [See section 3.4.](#)
- e) Files are private. You must not attempt to access files or computer systems which you are not authorised to access. [See 3.4i.](#)
- f) Electronic media are subject to copyright. It is illegal to make an electronic copy (e.g. by scanning, downloading, copying from disk etc.) unless you have the appropriate copyright authorisation. [See section 3.7.](#)
- g) Software is subject to copyright and licensing restrictions. Software provided by the University should only be used by members of the University for University purposes and in accordance with licence conditions of the software. You should not install, copy or distribute it to others unless authorised to do so. [See section 3.8.](#)
- h) Care must be taken when introducing software/data into the University. Only those using approved processes or authorised to do so¹ should install data or software onto University-owned devices and they should ensure it has been checked for viruses or other malware. Where necessary, administrative rights may be granted to permit users to install software on University devices following processes described at <http://www.uea.ac.uk/is/itregs/itcpolicies/PC+and+Laptop+Admin+Rights>.
- i) Do not transmit files/data to others without first checking for viruses or other malware. [See section 3.9](#)
- j) If you are responsible for supporting others and the systems and services they use, you have an additional responsibility to ensure that those systems and services are secure, and should encourage good practice in those that use them. Ensure computer systems in your care are secure against unauthorised access, have up to date operating system and application software security patches applied and where feasible anti-virus/anti-malware software is installed and is up to date. [See section 3.14.](#)
- k) All personally-owned electronic devices² connected to the network must be registered following processes described at <http://www.uea.ac.uk/is/itregs/equipreg>. Where a device has been registered

¹ Authorised by the IT or information (data) asset owner. See GISP17 for further details. <https://intranet.uea.ac.uk/is/strategies/infregs/infosec/GISP17>

² In this document, 'device' is used to refer to all equipment which can be connected to the UEA network including PCs, servers, laptops, as well as mobile devices such as phones, tablets and so on. 'Computer' is used to refer to PCs, desktop systems, servers, laptops and notebooks.



using an authorised self-registration process (e.g. in student residences) the owner is responsible for security of that system and any activity on it. Should inappropriate activity be detected arising from the device, the registered owner will be held responsible for that activity. The owner should ensure that the system has up to date operating system and application software security patches applied and where feasible up to date anti-virus/anti-malware software is installed. [See section 3.10.](#)

- l) Use of University computer systems and the network is monitored. The University has the right to access files, intercept communications, or monitor usage where there are grounds for suspecting misuse. In cases where illegal activity is involved copies of relevant information may be handed to the Police. [See section 4.](#)

3. Conditions of Use

3.1 Access to University IT facilities

Use of the University's IT facilities is restricted to the following registered users authenticating by means of a UEA IT account:

- a) Students registered with the University for a programme of study.
- b) Staff holding a contract of employment with the University.
- c) Other individuals who have been sponsored by the relevant Head of School/Department, or their nominated deputy.

Access to specific IT facilities is authorised by the facility owner.

Limited access to the University's IT facilities is available to users authenticating by other means such as Eduroam.

Further information on the above and the facilities and services that they are entitled to use, are detailed in the Information Services Directorate (ISD) User Entitlements Policy which is available at <https://www.uea.ac.uk/is/strategies/User-Entitlements-Policy>.

3.2 Relevant legislation

All users of the University's IT facilities are bound by current relevant legislation and by the Janet (Joint Academic Network) Acceptable Use Policy. It is the responsibility of the University to ensure that its members use Janet services in accordance with their AUP and current legislation. Further information is available from <http://www.uea.ac.uk/is/itregs/legislation>.

3.3 Acceptable use

- a) Computing facilities are provided for the pursuit of legitimate University activities:
 - i. Teaching and learning.



- ii. Research.
 - iii. Personal educational development.
 - iv. Administration and management of University business.
 - v. Any other lawful activity in furtherance of the mission of the University.
- b) Limited use of the University network and IT facilities for personal purposes other than UEA work or study, for instance access to the internet, is permitted. However such use must not interfere with work or studies, must be legal and must be strictly in accordance with the requirements laid down in these Conditions of Computer Use.

3.4 Unacceptable use

All of the following are expressly forbidden when using the University's network and IT facilities:

- a) Any illegal purposes. The Police will be informed where there is evidence of illegal activity.
- b) Accessing, creating, storing or transmitting (other than for properly supervised and lawful purposes³) offensive, obscene or indecent data or images, or data from which such material could be derived, or material that might be subject to the provisions of counter-terrorism legislation⁴.
- c) Creation or transmission of material which is designed or likely to annoy, harass, bully, inconvenience or cause needless anxiety.
- d) Creation or transmission of material with the intent to defraud.
- e) Creation or transmission of defamatory, discriminatory or libellous material, or material whose effect is to bring the University into disrepute.
- f) Transmission (including downloading, uploading, and streaming) of material that infringes the copyright of another person.
- g) The unauthorised distribution to third parties of any information in which the University and/or partner organisations such as research funders have intellectual property rights.
- h) Unauthorised interception or hacking of communications over the network including but not limited to e-mail and telephone messages.

³ Lawful purposes include approved teaching or research, or in the course of an investigation by authorised personnel into suspected abuse of University facilities.

⁴ Where academic use is likely to include such material, authorisation should first be sought from the Head of School and the relevant research or ethics committee and the Information Services Assistant Director Strategy, Policy and Compliance made aware. Consultation with external authorities may be required and is advisable under certain circumstances depending on the nature of the activity. In particular, all use of material subject to counter-terrorism legislation shall be used only in accordance with the [Counter-Terrorism and Security Act 2015](#) and following UUK guidance on the handling of security sensitive material

<http://www.universitiesuk.ac.uk/highereducation/Pages/OversightOfSecuritySensitiveResearchMaterial.aspx>.



- i) Transmission of unsolicited commercial or advertising material either within the University or externally, unless authorised to do so on behalf of the University and where that material relates to a service to which the recipient has subscribed.
- j) Unauthorised access or attempting to gain unauthorised access to IT facilities or services both within and outside the University⁵.
- k) Disclosing your UEA password to others, or letting others use your UEA IT account⁶, irrespective of whether they are members of the University.

Users are responsible for the security of their password and should under no circumstances disclose this to others, whether in response to an e-mail, by visiting a web page, in person, or over the telephone; neither should they allow others to use their IT account (including members of UEA or external parties). Failure to comply with this may result in loss of access to facilities and/or disciplinary action. If a user has previously been detected as having disclosed their password to others and after having been duly warned is discovered to have disclosed their password on a subsequent occasion, they will lose access to IT facilities and the matter will be reported to the appropriate University disciplinary authority for further action.

- l) Deliberate activities having or likely to have any of the following characteristics:
 - i. Corrupting or destroying others users' data.
 - ii. Violating the privacy of others.
 - iii. Disrupting the work of others.
 - iv. Causing annoyance to others by inappropriate or inconsiderate use of computing facilities (e.g. internet phones in IT areas).
 - v. Using applications for non-academic purposes which are likely to result in excessive network traffic causing disruption to others.
 - vi. Denying service to others.
 - vii. Continuing to use an item of software/hardware after Information Services has requested that such use cease.
 - viii. Other misuse of University IT facilities or resources, such as the introduction of malicious software, in such a manner that it compromises the security of University systems and the network.
- (b) Where the University network is being used to access another network, any deliberate or persistent breach of the acceptable use policy of that network.

⁵ The University may perform authorised vulnerability tests on its IT systems. Any such external tests must be reported in advance to Janet CSIRT.

⁶ Where an individual is absent from work for a prolonged period, or leaves the institution without first passing on their digital assets and access to their IT account is required in order to progress University business, access to another authorised individual can be granted if authorised by the relevant Head of School or Department. (When a member of staff leaves, their account is frozen, and deleted 100 days after their contract end date.)



3.5 Data protection and security

The University is required to keep certain personal data about staff and students in order to fulfil its objectives and to meet legal obligations. The law requires that this data must be collected and used in a fair manner, be accurate and up to date, stored securely for no longer than needed to fulfil its stated purpose and not disclosed to any other person unlawfully.

- a) No user may use the University's computer systems to hold or process personal data except in accordance with the provisions of the Data Protection Act (DPA) 1998.
- b) Staff must not construct or maintain computer or manual files of personal data unless required to do so as part of their work responsibilities and as approved by their manager.
- c) Students must not construct or maintain computer or manual files of personal data for use in academic studies or research without the express authority of an appropriate member of staff, normally their supervisor or Head of School.
- d) Those in the University who have data in their care, or who are authorised by the University to process personal data, should ensure that they are aware of their obligations under the Data Protection Act and comply with the Data Protection principles. These principles along with more information about the Act and its applicability at UEA can be found at <http://www.uea.ac.uk/is/strategies/infregs/dp>. In particular, the removal of personal data from the University should be minimised. Encryption must be used when taking personal data off site by any means including use of mobile devices, removable storage or emails to external email addresses to avoid the possibility of inadvertent and unintended disclosure to unauthorised third parties (the seventh data protection principle). Personal data must only be transmitted or transported in an encrypted form.⁷
- e) If you share personal data with third parties external to the University, a data sharing agreement must be in place to govern the sharing. Contact the Information Policy and Compliance Managers for advice (dataprotection@uea.ac.uk).
- f) Where users have data in their care relating to University research, teaching or administration, they should also be aware of and comply with the following:
 - i. The University's General Information Security Policy - see <http://www.uea.ac.uk/is/strategies/infregs/infosec/gisp>.
 - ii. All data should be assessed on its strategic value and level of confidentiality and stored and handled in accordance with policies and controls detailed in the Information Classification and Data Management Policy. See <http://www.uea.ac.uk/is/strategies/infregs/Information+classification+policy>.

⁷ Further information on encrypting data sent by email is available at <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/data-protection/data-protection-act-faqs#Q.18>



- g) Managers of staff with data responsibilities must ensure that their staff follow University security policies and advice, and in general adopt good practices in this regard.
- h) Users using devices configured to synchronise with or link to any University IT service (such as the Exchange server or filestore) must set security on the device to prevent unauthorised access. Staff using their own personally-owned devices for conducting University business including receipt of emails should ensure that the devices and the data held on them are secured to the same standard as defined in the University's information security policies.
- i) Users should not root or jailbreak (i.e. circumvent the security) any University-owned devices. Devices operated in this state are liable to be more easily compromised. Any attempt to bypass the security built into a device is potentially an offence under the Computer Misuse Act 1990.

3.6 Freedom of information

The Freedom of Information Act (FOIA) 2000 gives everyone both in and outside the University a right of access to any recorded information held by the University. In order to meet its obligations under the Act, the University must respond in an appropriate and professional manner to all FOIA requests. All University staff, particularly those with responsibilities for recorded information, should therefore be aware of and follow the guidelines at <http://www.uea.ac.uk/is/foi/guidance-for-staff>, and note that FOIA applies to all recorded information held electronically or in physical form including documents, records, notebooks, voicemails, videos, photos and emails.

3.7 Copyright

- a) Copyright material may only be copied if the copyright owner has granted permission, either directly or through a licensing scheme. 'Copying' includes scanning, recording, streaming, and downloading, and covers print, digital and web-based material.
- b) Copyright material should not be networked or otherwise shared with multiple recipients without first getting the rights owner's permission or ensuring that such action is covered by an appropriate licence.

For more guidance on copyright see the web page at <http://www.uea.ac.uk/is/strategies/infregs/copyright>.

3.8 Software

- a) Software is subject to copyright and licensing restrictions and persons involved in the illegal reproduction of software can be subject to civil damages and criminal penalties.
- b) Software provided by the University must only be used in accordance with licence conditions of the software. You must not copy or distribute it to others unless authorised to do so.



- c) In general, all users are expected to honour any agreements or contracts made by the University concerning any computer software or data that they use and to abide by the general principles as detailed in the Software Copyright Acknowledgement document which is available at <http://www.uea.ac.uk/is/itregs/softwarecopyright>.
- d) Software Licence Agreements vary. The principal user of a single user system or the manager of a multi-user or networked system is responsible for the software loaded on that system and ensuring that it is used in accordance with the licence agreement.
- e) Software provided by the University should not be installed, removed, disabled or altered, other than by approved methods.
- f) Users must co-operate with persons employed by the University to carry out software and data audits, and where required follow software registration procedures.
- g) Schools/Departments must keep an up-to-date inventory of all software installed on their computer systems and ensure that no software is installed for which the University does not have a current licence.
- h) Schools/Departments must also ensure that any University licensed software is returned by leaving members of staff or students and any copies are removed from computers within their care, prior to leaving the University.

3.9 Computer security

- a) All access to computers and the network should be authenticated by means of a Username and Password.
- b) Strong passwords should be used following advice published at <http://www.uea.ac.uk/password> and complying with the University's password policies as defined in GISP5 of the General Information Security Policy at <https://intranet.uea.ac.uk/is/strategies/infregs/infosec/GISP5>. Passwords must be changed at least every 12 months to maintain security.
- c) All IT equipment under the University's care should be maintained in a secure manner in accordance with the [General Information Security Policy and Security Manual](#). IT support personnel have a particular responsibility in this regard.
- d) All devices connected to the University's campus wired network should run a currently supported operating system. "Currently supported" means within the product lifecycle, i.e. the operating system must have been released, not preview or beta, and still be in receipt of security patches from the software vendor. All devices should have up-to-date operating system and application software security patches applied and where feasible anti-virus/anti-malware software installed, irrespective of whether they are owned by the University, or personally owned. For University-owned systems, these should be installed and configured according to Information Services' recommendations with auto updating enabled and following guidelines and policies defined in the General Information Security Policy.



- e) Only those authorised to do so⁸ should install data or software onto University-owned devices and they should ensure it has been checked for viruses or other malware. Where necessary, administrative rights may be granted to permit users to install software on University devices following processes described at <http://www.uea.ac.uk/is/itregs/ictpolicies/PC+and+Laptop+Admin+Rights>. Users should not transmit files/data to others, without first checking for viruses or other malware.
- f) Information Services reserves the right to disconnect any computer from the network that is discovered to be infected with malware (e.g. viruses, trojans), that is suspected of being compromised or being involved in activities in breach of these Conditions of Computer Use, or which does not have adequate virus-checking software installed. The associated password should be reset on an uninfected machine. Once cleaned, the device can be reconnected to the network.

3.10 Connecting equipment to the network

- a) All devices connected to the University's network must follow the University approved policies and processes detailed at <http://www.uea.ac.uk/is/itregs/equipreg>.
- b) No equipment connected to the network (whether University or user owned) should be used to extend or provide additional connections, for example via wireless transmitters or routers, unless approved for this purpose by Information Services.
- c) User-owned computers which have been authorised or registered using self-registration processes detailed at <http://www.uea.ac.uk/is/itregs/equipreg> must also comply with the additional Self-registered Equipment Terms and Conditions detailed at <http://www.uea.ac.uk/is/itregs/selfregtc>.
- d) The University reserves the right to prohibit the use of equipment which is likely to cause interference on frequency ranges used by the University's wireless network.
- e) The registered owner of a device will be held responsible for any inappropriate activity arising from that device⁹. In the case of personally-owned systems the owner is responsible for ensuring that the device has up to date operating system and application software security patches applied, and where feasible (i.e. where such software is available) up-to-date anti-virus/anti-malware software is installed.

⁸ Authorised by the IT or information (data) asset owner. See GISP17 for further details.
<https://intranet.uea.ac.uk/is/strategies/infosec/infosec/GISP17>

⁹ For University owned/managed desktop computers where more than one user shares the system and the computer is registered with an IT support manager or deputy, the system must be set up in such a manner any user responsible for inappropriate activity can be identified.



3.11 Electronic mail

- a) Only Information Service's approved and provided systems should be used by staff for e-mail communications concerning University matters¹⁰. For a list of approved systems see <https://intranet.uea.ac.uk/is/itregs/ictpolicies/staffemail>.
- b) Staff must regularly access their UEA e-mail account mailbox to manage any received correspondence.
- c) Where practical, staff should not use University e-mail systems for sending personal messages unrelated to University matters¹¹.
- d) E-mail systems provide a written record and care should be taken when composing and sending messages to ensure that the intended meaning is conveyed and the message is delivered to the intended recipients. Good practice guidelines on using e-mail are published at <https://intranet.uea.ac.uk/is/itregs/userguide/emailguide>.
- e) The Data Protection and Freedom of Information Acts also apply to e-mails. Such e-mails must be stored and processed in accordance with the Data Protection Act and may have to be released in response to Freedom of Information Act requests. For more information on these Acts see [sections 3.5 and 3.6](#).
- f) E-mails which infringe the copyright of another person should not be passed on.
- g) Anything sent electronically, including e-mail, is susceptible to interception. Users should whenever possible avoid sending highly confidential or sensitive information by e-mail. If it is essential to do so, the information should be contained within a password protected file attached to the message. The password should conform to the University's password policies and guidelines detailed at <http://www.uea.ac.uk/password> and should be communicated to the intended recipient by other means.
- h) Users should never send their UEA password in an e-mail. Any e-mail which asks for your password is a hoax.
- i) Before sending an e-mail users should assess whether the message is representing University views and whether the information is confidential, and make this clear within the message. A liability disclaimer and confidentiality statement should be added to the message if appropriate; links to recommended text for these are provided at <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/it-regulations-and-policies/user-guidelines>.
- j) Only a user's UEA assigned e-mail address will be used to send e-mail messages from the University to the user. Undergraduate and post graduate (PGT and PGR) students wishing to read their e-mails from the University using an external

¹⁰ In cases where a member of UEA staff is working in another associated or affiliated institution for a significant period of time, and where they wish to have access to their UEA emails from within their mailbox provided by that institution, requests for automatic forwarding of UEA emails will be considered by Information Services.

¹¹ Staff wishing to send or receive personal e-mail messages whilst at work should use a web-based external email service such as those provided by Google, Yahoo, or Microsoft etc.



service provider's e-mail system are responsible for changing the settings on their UEA e-mail account so that messages are automatically forwarded to the external service provider's system. Staff should also be aware of 3.11a above. Students are reminded that the University's General Regulations for Students require them to be in a position to respond to any notice or communication directed to them within 48 hours of it being made available to them i.e. of it being posted on a notice board, on their University e-mail account or in their pigeonhole.

- k) Users should note that their use of the University e-mail system is not private and that whilst continuing to maintain the privacy of personal mail, the University reserves the right to inspect and disclose the contents of e-mails under special circumstances as declared in [section 4 'Monitoring and Privacy'](#).
- l) Files downloaded from the internet, including mobile code¹² and files attached to electronic mail, must be treated with the utmost care to safeguard against both malicious code and inappropriate material. Such files, or any others not known to come from a trusted source, must be scanned for possible malicious code before being opened.

3.12 Internet publishing

The University adheres to principles of academic freedom of expression. However, those publishing information via the internet should note the following.

- a) Users should be aware that posting information to any extended group including but not limited to discussion forums, websites, social media sites, news feeds and blogs, or even to a list of recipients, is considered to constitute its publication. Likewise, placing information onto a computing system in such a way as to make it accessible to the general public via the internet is considered to constitute its publication.
- b) No item should be published using the University's IT facilities that could be considered to be defamatory, discreditable or injurious to the University's reputation, that in any way contravenes current legislation, or that could result in any violation of the Janet Acceptable Use Policy. The University reserves the right to remove or request the removal of any such material and to remove access rights in order to prevent further publishing of such material.
- c) Students are advised to consult the guidance on the use of social media published by the Dean of Student's Office as part of their bullying and harassment policy¹³.
- d) Any social media accounts and blogs affiliated to the University must take note of guidance published by the University Marketing Team at <https://portal.uea.ac.uk/arm/digital-marketing/social-media>, and should be

¹² Programs, often in the form of scripts or applets, which are downloaded across the network and run on a local machine are often referred to as mobile code.

¹³ <https://portal.uea.ac.uk/dos/advice-and-guidance/student-conduct-and-harassment/bullying-and-harassment>



confirmed and registered with the Social Media Co-ordinator via tweet@uea.ac.uk as soon as they are created.

- e) Before creating a new website affiliated with the University, the user must consult the Digital Marketing Team at digitalmarketing@uea.ac.uk and follow guidance and advice given to be compliant with UEA policy. (Domain registrations will be considered and approved by the Digital Marketing Team and set up and administered by ISD via digitalmarketing@uea.ac.uk.)
- f) The University may allow users to publish information over which it does not exercise any specific editorial control. However, unless the user has been duly authorised to act officially on behalf of the University, it disclaims all responsibility for such publications and asserts that the user will be held responsible for any infringements of law or applicable regulation, and for any consequent claims.
- g) Where the University has not duly authorised the user to act officially on its behalf, the user must make it clear that the views they express are their own and do not reflect those of the University or their individual School/Department. An explicit disclaimer should be included unless it is clear from the context that the author is representing the University or their School/Department. A standard disclaimer for addition to e-mails sent to external parties is available from <https://intranet.uea.ac.uk/is/itregs/userguide/emaildisclaim>.
- h) Users should ensure that any information that is posted on a University website is accurate and reviewed regularly (at least on an annual basis).

3.13 Use of services provided by others

- a) If a service provided from outside the University is accessed by means of University facilities then users must also abide by that provider's conditions of use, code of conduct, policies or rules relating to the use of that service.
- b) In order that the University may comply with its licences for access to electronic resources (including databases and electronic journals), users shall ensure the security and confidentiality of the electronic resources made available to them. In addition, users shall ensure that any information derived from these resources is used only for the purpose defined in the licences which includes non-commercial use only. Copies of these licences, which include full details of copyright restrictions, are available for inspection on application to the Main Library.
- c) The University is not liable for any financial or material loss to an individual user in accessing the internet for personal use. In particular, if a user connects to external services using the University network and internet connection in order to carry out personal transactions such as purchase of goods or banking transactions, the University accepts no liability for those transactions, or for the security of any personal data transmitted.

3.14 Staff providing IT and service support

It is recognised that in the course of their duties University staff providing IT support, or support for University provided services, may have access to confidential information stored on computer systems. IT support staff also have special



responsibilities in regard to ensuring security of computer systems within their care. The conditions detailed below apply to all staff that provide IT support, or support for IT based services and are in addition to those conditions listed elsewhere in this document:

- a) Support staff will only actively seek information on a computer that is relevant to the work being carried out. Specifically they will not open files or e-mails on a user's computer, or in a user's computer account, unless necessary to solve the problem being investigated.
- b) Support staff will maintain strictest confidence and will not divulge confidential information stored on a computer or in a computer account to others unless they suspect that illegal activity or activity that contravenes the Conditions of Computer Use has occurred. Note, monitoring of access to UEA centrally provided services such as e-mail and the network is undertaken by IT support staff in order to maintain service efficiency and prevent problems. Such monitoring will not involve access to a user's computer account/resources unless authorised by the Assistant Director Strategy, Policy and Compliance or a member of the ISD Management Team who will be responsible for overseeing such activity.
- c) When a computer system is temporarily removed from a user's office in order to carry out work on it, IT support staff will ensure that the equipment is housed in a secure environment so as to prevent unauthorised access or theft.
- d) Users' passwords will not be reset or divulged to others, except:
 - i. Where a reset is required for security reasons.
 - ii. Where the user is unable to access their account because they have forgotten their password. In this case their password will be re-set and communicated to them
 - iii. Where a member of staff is absent and the Head of School or Department, or their deputy, requests access to the user's account in order to carry out the business of that Department. In this case the password will be reset and this conveyed to the appropriate person requiring access.
- e) Support staff should not expect or request that a user should disclose their password.
- f) 'Administrator' passwords should not be divulged to anyone except authorised staff engaged in support work where that work cannot be done without such access. Additionally, administrator privileges should not be assigned to any individual's IT account unless they are authorised to undertake work which requires this. An auditable log must be maintained of those issued with Administrative passwords and the password reset whenever a person is taken off this list or leaves the University.
- g) Permissions and privileges giving access to a user's computer, IT account, e-mail account, or stored files and data must not be altered unless for good reason and with the knowledge and agreement of the user, except where requested to do so for investigative purposes and with approval of the appropriate persons (see section 4 'Monitoring and Privacy').



- h) IT support staff will not connect to a computer over the network without the prior agreement of the system owner or, in their absence and for operational reasons, the Head of the Department concerned or their deputy. This includes mapping network drives with Administrator passwords and connection to PCs using remote desktop tools. If such a connection is required for investigative purposes, this must be authorised by the Assistant Director Strategy, Policy and Compliance or a member of the ISD Management Team.
- i) IT support staff will only dispose of unwanted computers or data storage devices using the disposal service included within the University's Managed Service for PC Procurement contract. This service will guarantee that all data is deleted in such a manner that it cannot be recovered. Details about the service will be published on the Purchasing Office web pages (<https://www.uea.ac.uk/fin/purchasing>).
- j) If a computer or data storage device is transferred within UEA for use by another user or department, any data stored on the system should be erased in accordance with HMG Infosec Standard 5 Enhanced¹⁴ criteria to ensure any previous owner's information cannot be recovered.
- k) IT support staff are responsible for the good security of systems within their care and for encouraging where possible the good security practice of individuals using those systems. Policies and controls as detailed in the General Information Security Policy and in the Security Manual should be adhered to. If requested by a user to undertake work which they feel would compromise security, they should advise against this and if appropriate discuss with their line manager and/or the user's line manager.

3.15 Visitors

The Conditions of Computer Use as they apply to visitors to the University may be summarised as follows:

- a) Visitors must not intentionally contravene these University Conditions of Computer Use in any way.
- b) If residing in University residences, visitors must not contravene the Self-Registered Equipment Terms and Conditions at <http://www.uea.ac.uk/is/itregs/selfregtc>
- c) A visitor's IT equipment must not be used on the University network without having been registered for such or authenticated via Eduroam.
- d) A visitor's computer must not be connected to the University network without up-to-date anti-virus/anti-malware software being installed and operational.
- e) Visitors must not attempt to run any software whose use is prohibited by the University, either on their own system connected to the University network, or on University-owned systems.

¹⁴ A standard for erasure of data determined by the Computer-Electronics Security Group (CESG) which is part of the UK Government Communications Headquarters (GCHQ).



- f) Visitors must not disclose to anyone else passwords which have been allocated to them for the purpose of authorised access to University IT and computer systems.
- g) Visitors must not take any action to circumvent any University security control that is in place.

4. Monitoring and Privacy

- a) The University reserves the right to monitor use of the University network, associated telecommunication systems and the Internet by users and, if necessary, to withdraw access if it is felt that it is being used excessively for purposes unconnected with and/or to the detriment of work/studies.
- b) Routine monitoring takes place for maintenance, fault-finding purposes and enforcement of these Conditions of Computer Use, which may reveal unencrypted data and sites visited by users to operational staff. More detailed monitoring may also be undertaken if there are reasonable grounds to believe that a user has committed a criminal offence or is otherwise in breach of the Conditions of Computer Use.
- c) Users should note that University IT facilities are provided primarily for University work, study and business purposes and that whilst continuing to maintain the privacy of personal information, the University reserves the right to process information stored on University IT systems, including the content of e-mails, web pages and files under the following circumstances:
 - i. To locate substantive information that is required for University, School or Department business.
 - ii. To determine the dates when email, network and the campus card were last used in support of the missing person's protocol.
 - iii. To set up an automatic reply or forward mail if members of staff are unexpectedly absent or have gone on leave without making forwarding arrangements.
 - iv. In the course of an investigation triggered by indications or allegations of misconduct, misuse, or illegal activity reported by managers or colleagues, monitoring processes, or some other legitimate and objective complaint or incident.
 - v. To respond to legal processes, or to fulfil the University's obligations to third parties or in other exceptional circumstances, e.g. medical emergency.
 - vi. Electronic correspondence will only be intercepted in exceptional circumstances, and only with lawful authority.
- (b) All access and monitoring will be undertaken in accordance with the Human Rights Act 1998, Data Protection Act 1998, Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 and the Regulation of Investigatory Powers Act 2000.



5. Breaches of these Conditions of Use

- a) If there are reasonable grounds for suspecting that a user is engaging in activities which are in breach of the Conditions of Computer Use, the University reserves the right to investigate fully, including directly monitoring use of the network and computing facilities by the user. The University also reserves the right to withdraw (either temporarily or permanently) the authority of any user to use any system in such circumstances. Direct monitoring of individual use and/or withdrawal of services in such circumstances may be authorised only by the Director of Information Services, or their authorised deputies, in consultation with the Human Resources Division (or the Dean of Students' Office in the case of student users).
- b) A breach of these conditions of use may lead to disciplinary proceedings and/or disconnection from the data network. In serious cases, this could result in dismissal for staff or exclusion for students. (A significant breach of these conditions of use is likely to be regarded as serious or gross misconduct.) A breach of these conditions of use may also constitute a criminal offence and the University will report the matter to the Police where appropriate.
- c) The University reserves the right to charge users for the restitution costs, as determined by the University, in relation to any damage they wilfully cause to any IT facilities.
- d) The University also reserves the right to seek reimbursement of any costs arising from legal actions taken against the University caused by any failure of a user to comply with the requirements of these Conditions of Computer Use, where this has been due to wilful neglect, deliberate avoidance or criminal act.

6. Reporting Computer Misuse

Computer misuse is any activity involving the University's IT facilities which is illegal, contravenes these Conditions of Computer Use, or has any of the following characteristics:

- Compromises the security of the University's IT systems or its data.
- Breaches the [University's Information Security Policies](#).
- Results in a formal complaint from a member of the public or another member of the University.
- Is part of a Police enquiry.

If a member of the University becomes aware of such activity, they have a responsibility to report this to either the Information Service's Assistant Director Strategy, Policy and Compliance, or in their absence the Director of Information Services¹⁵. If appropriate, they will initiate any investigative action and will inform and engage with the Human Resources Division, Dean of Students' Office and/or Head of

¹⁵ Contact information for these people can be found at <http://www.uea.ac.uk/is/contacts>



Department as appropriate. All information received will be treated in a confidential manner, only involving other individuals where strictly necessary to any investigation.

A form has been setup on the University's website for reporting misuse:

<http://www.uea.ac.uk/is/itregs/misuse>.

7. Advice and Clarification

Information Services are responsible for ensuring regular monitoring and updating of these Conditions of Computer Use on behalf of the University.

Should you need any advice and/ or clarification of these Conditions of Computer Use then please contact the IT Helpdesk in the first instance:

- Tel. 01603 59 2345 or e-mail it.helpdesk@uea.ac.uk

8. Document Review and Communication

Information Services is responsible for the review and communication of these Conditions of Computer Use. There will be an annual mini-review in order to keep up to date with changes in legislation and technology, and a major review every five years¹⁶. The review will be overseen by a team consisting of representatives from Information Services, the Human Resources Division and the Dean of Students' Office. The IT and Computing Forum, IT support managers, student representatives and staff trade unions will also be consulted as necessary. Revisions to the Conditions of Computer Use will be submitted to the Information Strategy and Services Committee for their consideration and approval as a University policy prior to the start of each academic year.

The Conditions of Computer Use will be published on ISD's website at <http://www.uea.ac.uk/is/itregs/usepols> and all registered IT account holders will receive an e-mail at the start of the academic year reminding them of the Conditions of Computer Use and their obligations.

¹⁶ Last major review was in 2015.



Submission of Work for Assessment (Taught Programmes):

- ❖ **Submission of Anonymised Work for Assessment,**
- ❖ **Word Limits and Penalties**
- ❖ **Extensions Penalties for Unauthorised Late Submission**
- ❖ **Provisional Marks and Feedback**
- ❖ **Retention of Coursework**

*Summative coursework is defined as work that is taken into account by a Board of Examiners for the purposes of progression and/or for an award. Formative coursework is defined as work that is not taken into account by a Board of Examiners for the purposes of progression and/or for an award.

Submission of Anonymised Work for Assessment

1 All written coursework, project reports and dissertations submitted by undergraduate and taught postgraduate students for assessments that have a summative component should be identified by a student's registration number and not by their name.

2 Coursework which is entirely formative – i.e. is to help the development of a student and which does not count towards decisions regarding progression or the conferment of an award – need not be anonymised.

3 In some circumstances, even though a piece of coursework is identified only by a student registration number, the first marker may know the identity of the student because of the nature of the assessment - e.g. because of the personalised form of teaching, or because a student has been given specific advice by a marker on a reassessment, and because supervisors will know the real identities of their project and dissertation students. It is also possible in these circumstances that a second marker may know the identity of the student. External examiners or moderators will not, however, be aware of the identity of the student.

4 If a marker considers that a written assignment should not be anonymised, s/he should consult the appropriate Faculty Associate Dean (Learning, Teaching and Quality), who may discuss the circumstances with the Academic Director of Taught Programmes.

5 Markers are reminded that they should not break trust with students by seeking to identify them from their registration number at the point of marking coursework.

Word Limits

6 Information on the word limit of each item of coursework (whether formative or summative) shall be published to students. The word limit will be clearly stated in the title of the written assignment, project, report and dissertation. For example, an essay may have the title ' Essay 1 (2500 words)', where the number in brackets indicates the word limit. (There will be obvious exceptions,

for example, where the assignment requires formulae or computer code rather than text).

7 The word count for coursework, written assignments, projects, reports and dissertations shall include: Footnotes and endnotes, references (in the main text), tables and illustrations and if applicable the abstract, title page and contents page. Any appendicised material and the bibliography or reference list shall be excluded from the word count. Where it is agreed that bibliographic referencing will take the form of footnotes and/or endnotes this will not be included in the word count - any additional notes within the body of the text will be counted.

8 Students should declare the word count of the text of their assignment on the coversheet (electronic or hard copy) submitted with their piece of work.

9 Markers who suspect an assignment is over the word limit should assign it an un-penalised mark, and return it to the Learning and Teaching Hub, flagged appropriately, for investigation and application of any resulting penalty. Penalties will be applied if work exceeds the word limit, with a 10% tolerance allowance.

10 Students are required to submit an electronic version of the originally-submitted work in a format which can be checked for word count (for example Word or Excel) when requested by Learning and Teaching Service staff to do so, when the marker has raised a suspicion that the student has exceeded the word count.

11 Failure to submit an electronic version of the work for checking will result in the mark for the assignment being capped at the pass mark.

12 Cases of intentional misrepresentation of the word count will result in the mark being capped at the pass mark.

13 When an assignment is excessively over the word limit, the marker is obliged to read up to the limit but is not obliged to read beyond it. It is recommended that a 10% allowance is made in determining the cut-off point, which should be clearly identified on the script by the marker. The awarded mark will reflect the assignment content up to that cut-off point. In addition, this awarded mark will have a 10 mark deduction penalty applied by Learning and Teaching Service staff. For Pass/Fail assignments where the word count is found to exceed the word limit plus 10%, the judgement on whether the grade is a pass or a fail should be made only on the text up to the word limit plus 10%.

Penalties for exceeding the word limit

14 The penalties for exceeding the word limit are:

Up to 10% over word limit	No Penalty
10% or more over the word limit	Deduction of 10 marks off original mark
Failure to provide an electronic	Mark capped to the pass mark

copy when requested	
Intentional misrepresentation of the word count on the coversheet	Mark capped to the pass mark
NOTE:	
1. When the original mark is within 10 marks of the pass mark, the penalty will be capped at the pass mark	
2. Original marks below the pass mark will not be penalised	

Arrangements for Submission of Work for Assessment

15 The method of submission for assignments will be published to students, for example through the Student Information System's web interface.

16 For the majority of assignments, students will submit their work electronically. Where electronic submission is set up for a module assignment it will be the *only* method to submit the assignment; hard copies will not be accepted.

17 For some modules electronic submission is not appropriate, and the work should be submitted to the relevant Learning and Teaching Service Hub.

18 Students will only be required to submit one copy of their coursework for assessment, although two copies may be required for projects and dissertations.

19 The deadline for submission will be 15.00 on the specified date.

20 Students should be reminded, when work for assessment is set, that the deadline for a piece of work is the last possible time for the work to be submitted without penalty for late submission (in the absence of extenuating circumstances) and not the preferred time for the work to be submitted, the earliest time for submission being one week ahead of the deadline

21 The specified date for submitting work for assessment should be a Monday, Tuesday, Wednesday or Thursday and may include vacations. ..

22 Work submitted after the published deadline may be submitted up to 20 days after the published deadline. The method of submission will be the same as for pre-deadline submission. Late submission in the absence of acceptable extenuating circumstances will be subject to a penalty as set out below.

Confirmation of Submission

23 Submission confirmation details will be published to students (through the Student Information System's web interface) at the point of uploading, for electronic submissions, and on the day after the deadline, for hard copy submissions that have been submitted by the deadline.

Extensions for Late Submission of Work for Assessment

24 Each Semester, submission and return deadlines should be published to students, for example through the Student Information System's web interface

25 Students who have a valid reason for needing an extension may self-certify on one occasion per year, subject to certain conditions as detailed in the Extenuating Circumstances Regulations: [http://www.uea.ac.uk/calendar/section3/regs\(gen\)/Extenuating+Circumstances+\(Taught+Programmes\)](http://www.uea.ac.uk/calendar/section3/regs(gen)/Extenuating+Circumstances+(Taught+Programmes))

26 A request for an extension to a deadline for the submission of work for assessment should be submitted by the student in accordance with the regulations covering Extenuating Circumstances [http://www.uea.ac.uk/calendar/section3/regs\(gen\)/Extenuating+Circumstances+\(Taught+Programmes\)](http://www.uea.ac.uk/calendar/section3/regs(gen)/Extenuating+Circumstances+(Taught+Programmes))

27 Where extenuating circumstances prevented the student from applying for an extension in advance of the submission deadline, work submitted after the deadline should be accompanied by a completed University Extension Request Form. Allowance will be given for acceptable extenuating circumstances and in such cases penalties for late submission will not be applied.

Penalties for Unauthorised Late Submission of Work for Assessment

28 The penalties for **late submission of numerically marked work for assessment** in the absence of acceptable extenuating circumstances are:

<i>Work submitted</i>	<i>Marks deducted</i>
After 15:00 on the due date and before 15:00 on the day following the due date	10 marks
After 15:00 on the day following the due date and before 15:00 on the third day after the due date	20 marks
After 15:00 on the third day after the due date and before 15:00 on the 20 th day after the due date.	all the marks the work merits if submitted on time (i.e. no marks awarded)
After 20 working days	work will not be marked and a mark of zero will be entered.

Saturdays and Sundays will **NOT** be taken into account for the purposes of calculation of marks deducted.

Note

The penalties assume the work will have a maximum of 100 possible marks. The penalties should be adjusted pro-rata for any other (numerical) marking scheme.

29 **Late submission of pass/fail marked work for assessment** in the absence of acceptable extenuating circumstances will be awarded a fail mark.

30 All submitted work for assessment up to 20 working days after the published deadline will be marked normally and a non-penalised mark recorded on the script/coversheet. The Learning and Teaching Service staff will deduct any penalty for late submission where there are no accepted extenuating circumstances and record this on the coversheet. Any work submitted for assessment more than 20 working days after the published deadline (where there are no extenuating circumstances and where an extension has not been approved) will not be marked and will receive an automatic mark of zero / fail. This will apply to work submitted beyond an approved extension date, if the submission date is more than 20 working days after the published deadline.

31 The Academic Appeals Procedure may be used where a request for an extension to a deadline has been denied. However penalties are not open to appeal. Further information about the Academic Appeals Procedure is available at:

[https://intranet.uea.ac.uk/calendar/section3/regs\(gen\)/academic-appeals-and-complaints-procedure](https://intranet.uea.ac.uk/calendar/section3/regs(gen)/academic-appeals-and-complaints-procedure)

32 The unauthorised late submission of work or exceeding the word limit are the only circumstances in which marks may be deducted from the merit mark. Where medium level plagiarism or collusion is detected an adjusted mark reflecting the merit of the work actually undertaken by a student will be awarded. Where a student does not achieve an intended learning or assessment outcome the marks awarded or withheld will reflect this. Negative marking is not permitted.

Provisional Marks and Feedback

33 Feedback on assessed work will cover essays, reports, exercises, presentations, performance and practice placements. It will take account of the learning outcomes of the assignment and the relevant marking criteria. Comments may be subject specific and/or generic, and will include the relevant feedback form where appropriate.

34 The deadline for return of feedback and provisional marks on larger pieces of work, notably essays, will where possible be set sufficiently in advance of the deadline for handing in a further piece of work of the same kind to ensure students can benefit appropriately from the feedback.

35 The University norm is that feedback and provisional marks on summative coursework are returned to students no later than 20 working days after the published deadline for submission. Normally this is the return of the marked

and annotated submitted coursework. Provisional marks will also be published on the Students' eVision pages.

36 Because of their nature, Dissertations, Placement Reports, Projects, and Portfolios at undergraduate and at Master's level, are not covered by the 20-working day turnaround guidelines.

37 The norm applies to all Faculties, with the exception of specifically-identified modules.

38 Where, exceptionally, turnaround times for specifically-identified pieces of work cannot meet the 20 day norm, a full explanation of the reason for this will be provided to students by the relevant School Director of Learning, Teaching and Quality, endorsed by the Faculty Associate Dean (LTQ), at the start of each academic year. In such circumstances, collective feedback, verbal or otherwise, must be provided within 20 working days.

39 It is recognised that illness or other unforeseen circumstances may delay turnaround time beyond the 20 working days deadline: where this occurs students affected by the delay should be informed.

40 Where the 20 working day deadline for feedback and provisional marks falls in a University Vacation Period, the work should normally be returned during week 1 of the following Teaching Period.

41 Where a student, under the informal stage of the academic appeals procedures, requests that a single-marked piece of summative coursework be second marked, the outcome should normally be available within a further 10 working days.

42 Where a student has been given an extension to submit coursework after the deadline, feedback and provisional marks will normally be provided to that individual within 20 working days of the new submission date. Where an approved extension to the deadline exceeds the published deadline for feedback and provisional marks, a module organiser or teacher who has set the original piece of work will set an alternative assignment (consistent with the learning outcomes for the original piece of work) so as not to compromise a fair assessment opportunity.

43 Feedback in the form of basic statistics (e.g. average marks and standard deviations) will be made available to student cohorts, where appropriate, so that students may gauge their performance against that of their peers (no individual will be identified).

44 Students will be given advice on the academic support available to them in the event of feedback indicating areas for improvement and enhancement.

45 Students are expected to retain a copy of all their summative coursework in all years of their course in case this needs to be recalled for scrutiny by Boards of Examiners as part of their decision-making processes for

progression to the next Stage and/or degree classification and for moderation purposes with regard to academic standards of awards.

46 Marks for summative coursework remain provisional and subject to change until confirmed by the relevant Board of Examiners.

Return and Retention of Coursework

47 The method of return of coursework will be published to students. Methods include collection from designated coursework boxes in the Hub, and from Module Organisers in class.

48 Work returned via the Hub will be available for one week, after which time it will be sent to the students' advisers to return to their advisees.

49 Uncollected work and electronic copies of work will be disposed of after the end of the academic year the work was completed in.

Archived Document

UEA Policy on Internal Moderation and Double Marking

1 Moderation of Assessed Work

- 1.1 Moderation is important in assuring that examiners apply marking criteria consistently, and that there is a shared understanding of the academic standards students are expected to achieve.
- 1.2 It is essential that marked coursework and exam scripts are properly scrutinised in order to ensure that staff, students, external reviewers, external partners and stakeholders (and the wider public) can have faith and confidence in the marks awarded and the awards conferred on students.
- 1.3 The aims of moderation are to:
 - provide a reliable check that assessment has been marked in accordance with the aims and learning outcomes of the assignment, and according to marking criteria;
 - ensure that teaching and marking standards have been applied consistently within and across modules, programmes, Schools and Faculties across the whole University;
 - ensure equality and thus fairness of treatment for students.
- 1.4 Moderation should be constructive and developmental. Besides being an element of assurance of standards and quality, it may also provide peer support and staff development for academic staff.
- 1.5 Moderation can take place in a number of ways and at UEA two major ways of dealing with moderation have been identified as set out below. The directions below represent a minimum requirement and Schools are free to carry out additional moderation if they wish.
- 1.6 Marking takes place before moderation, i.e. each submission is considered and a mark is awarded based on the marking criteria.

2 Blind/unseen double marking

- 2.1 Definition: Two examiners/assessors mark the assignment independently and subsequently agree a mark.
- 2.2 Blind/unseen double marking should be used for supervised projects or dissertations worth at least 40 credits.
- 2.3 Blind/unseen double marking should also take place where an assignment is the sole summative assessment for a module worth at least 40 credits.

- 2.4 Summative presentations/oral examinations which are worth more than 10% of the module assessment weighting should be double marked (by means of two markers attending the presentation/oral examination) or recorded¹ for purposes of moderation and/or remarking as necessary.
- 2.5 Where a station/item for an assessment by an Objective Structured Clinical Examination (OSCE) or Objective Structured Practical Examination (OSPE) is double marked (i.e. two assessors are present at the station), further moderation is not required.
- 2.6 Where a station/item for an assessment by an Objective Structured Clinical Examination (OSCE) or Objective Structured Practical Examination (OSPE) is assessed by a single marker, a suitable moderation process should be in place; for example:
- identified individuals appointed to oversee and observe the assessment practice across a sample of stations and assessors;
 - video or sound recording² of a sample of stations for later review;
 - post-assessment analysis of assessor behaviour using relevant data.
- 2.7 Summative assessment of Work-based learning (practice assessment): Where student performance is measured in the workplace, assessor behaviour will be triangulated using a range of methods of data capture.
- 2.8 Copies of each submission are marked 'blind' or 'unseen' by two or more independent markers. If markers disagree, they can change/alter marks on an individual submission. If the markers cannot agree, an appropriate third party will adjudicate.
- 2.9 The adjudicator should be an appropriate office holder within the School, for example:
- Chair of the Board of Examiners
 - School Director of Learning and Teaching
 - Assessment coordinator/lead or equivalent position
- 2.10 Adjudication duties may be shared so that the same person does not have to oversee every case within a School or within a module. The adjudicator considers the 'case', rather than the script. The adjudicator should consider the marks and comments of the two markers, and take advice from a third party as needed in order to determine the final mark for the assignment.

¹ Please note: students must consent to any recording.

² Please note: students must consent to any recording.

- 2.11 The method by which an agreed mark is arrived at should be recorded and should be transparent.
- 2.12 Where work has been double marked as set out above further moderation is not required.
- 2.13 Where work has been double marked as set out above a student is not eligible to apply for a remark or to appeal the mark (though a student may be eligible to submit an appeal relating to the assignment on other grounds, for example, inadequate supervision of a project).

3 Examinations

- 3.1 Schools must choose how to manage the marking process with regard to examinations by adopting A or B below:
- A Blind double mark scripts where a sufficient marking resource is available
- B Moderate a sample of scripts in line with the Moderation Policy
- 3.2 Schools should communicate to students the method pertaining to the Exam(s) in question.

4 Internal moderation

- 4.1 The module organiser shall be responsible for ensuring that moderation is carried out.³
- 4.2 Assessed work (including reassessed work) at levels 3 (Foundation year level), 4, 5, 6 and 7 that has not been double marked should be moderated (i.e. should have the marking process checked) by means of reviewing samples as follows:
- at least one item of assessment for each module
 - all assignments which contributes at least 30% to the overall module mark
 - if there are a large number of markers in the pool (4 or more) then moderation should be required regardless of the percentage weighting of the assessment item
 - assessment tasks marked by new or less experienced markers (i.e., those with less than 2 years' experience of marking in HE setting)
 - where concerns or issues have been raised through quality assurance processes or professional body requirements. Issues may include, but are not restricted to:

³ In other circumstances a suitable alternative person shall be responsible (for example, in the Norwich Medical School this may be the assessment lead). Depending on circumstances, the module organiser or other responsible person may not be directly involved in the sampling or moderation process, but shall be responsible for ensuring that it is done.

- high failure rates or otherwise poor performance
 - an unusual distribution of marks, e.g. a large number of extreme marks
 - concerns raised by student evaluation
 - concerns raised by External Examiners
- 4.3 For any given assignment, where no sample of work is selected for moderation, the assignment is deemed to be single marked, but where a sample of work is reviewed, the assignment is deemed to be moderated.
- 4.4 The sample of work taken for moderation will take account of the following:
- submissions across the full range of marks
 - all submissions with a fail mark
 - submissions marked by each marker
 - for modules with 10 students or fewer, all submissions should be moderated
 - for modules with more than 10 students, at least 10% of all work submitted or 10 submissions, whichever is the higher number.
- 4.5 The internal moderator should be an experienced marker (i.e. have at least 2 years' experience of marking work at HE level, or other relevant experience or training).
- 4.6 In some circumstances, because the School does not have the relevant subject or language expertise, it may not be possible to double mark or moderate assignments internally. In such cases, the School should make a case to the relevant Faculty Associate Dean for Teaching and Learning for the assignment to be reviewed externally. Where approval has been granted by the Associate Dean, the School will appoint an external moderator/assessor with the relevant expertise. The marked work should be returned to the Hub/students but the marks are provisional. Copies of the work and the distribution of marks will be sent to the external moderator for review.
- 4.7 The moderator will check the application of marking criteria (The UEA Senate Scale/s or bespoke criteria relating to the exercise, specifically devised/set by the tutor) by each marker and consider the overall distribution of marks and complete a Moderator's report.
- 4.8 If the moderator identifies significant inconsistencies (i.e. where there is a variation of 10% or more between the original mark and the mark the moderator would award in at least 10% of the moderated submissions, or where there is a discrepancy in the means of the two markers which is greater than 5%) or an

anomalous distribution of marks, s/he can suggest remarking or a suitable adjustment of marks:

- for all submissions, i.e. not for individual submissions (except where a pass is felt by the moderator to be a fail and there are implications for a student's fitness to practise);
- for all of the work marked by individual markers, but not individual submissions;
- for sections within a submission for all submissions (for example, where a problem is identified relating to one question on an examination paper).

Any adjustment of marks should be recorded on the Moderator's report.

- 4.9 If the concerns relate to one submission only or to particular parts of the distribution or where there is disagreement between the moderator and the marker, an appropriate third party will adjudicate.
- 4.10 The adjudicator should be an appropriate office holder within the School, for example:
- Chair of the Board of Examiners
 - School Director of Learning and Teaching
 - Assessment coordinator/lead or equivalent position
- 4.11 The adjudicator should consider the Moderator's report and may consult the External Examiners. The adjudicator shall be responsible for making the final judgement.
- 4.12 Internal moderation must be completed before marked work is returned to the Hubs/students.
- 4.13 Where work has been single marked or moderated as set out above a student may be eligible to apply for a remark or to appeal the mark, see 8 below.

5 External examiners and external moderation

- 5.1 An external examiner has the right to see the assessed work of all students on any of the modules/programmes for which they are responsible. However, Schools will normally make available a sample of assessed work, sufficient to ensure that an external examiner can reach a judgement on the appropriateness of marking and other academic standards.

<https://www.uea.ac.uk/learningandteaching/documents/assessment/CoPEExternalExaminerSystem>

6 Module Assessment Board

- 6.1 All marks are provisional until these have been confirmed by the Board of Examiners or appropriate sub-group at a Module Assessment Board.
- 6.2 The Board of Examiners or appropriate sub-group shall receive the marks presented for each module, and contributing components, which is being assessed and for which it is responsible.
- 6.3 It is the role of the Board of Examiners or appropriate sub-group to confirm that internal and external moderation has been completed and that the marking standards for the module are appropriate.

[http://www.uea.ac.uk/calendar/section3/regs\(awards/Regulations+for+Bachelors+and+Integrated+Masters+Awards+2013/Regulations+for+Bachelors+and+Integrated+Masters+Awards+2013](http://www.uea.ac.uk/calendar/section3/regs(awards/Regulations+for+Bachelors+and+Integrated+Masters+Awards+2013/Regulations+for+Bachelors+and+Integrated+Masters+Awards+2013)

7 School review of assessment and moderation

- 7.1 Schools shall review their assessment strategies, and review and analyse information relating to module assessment with a view to:
 - ensuring a coherent approach (i.e. avoiding bunching of deadlines, an appropriate mix of assignments, meeting programme as well as module level learning objectives)
 - identifying and addressing (via adjustments in assignment types or changed marking criteria) any anomalous module marks or variations in marking levels across programmes that might result in inequalities in the treatment of students
 - ensuring that the assessment strategy ensures that the programme meets external expectations (QAA benchmarks, professional body requirements)This review should form part of the School's Quality Assurance processes.
- 7.2 Schools may use their existing structures to support this review process (i.e. Boards of Examiners, Teaching Committees/Executives), or they may convene a dedicated 'Assessment Group', the composition of which should reflect the structure/diversity of the subjects and programmes offered by School.
- 7.3 The Assessment Group or an equivalent body shall receive and consider moderators' reports and external examiners' reports.
- 7.4 The Assessment Group or its equivalent shall usually hold a main annual meeting after the stage and Final Examination Boards. LTS staff shall support and assist Schools in convening

such reviews and shall provide information that enables anomalies and variations to be identified and discussed in order to be addressed for the following year.

(https://www.uea.ac.uk/learningandteaching/staff/courses_modules/modulemonitoring)

8 Student requests for a remark and student appeals

- 8.1 Where assignment has been blind/unseen double marked (unseen), a student cannot request a remark or appeal the mark. However, a student with concerns about the conduct of the marking process may submit an Academic Complaint setting out those concerns.
- 8.2 Where an assignment has been single marked (where no sample is reviewed) a student may request a remark within **10 working days** of publication of the mark on eVision.
- 8.3 Where an assignment has been moderated (where a sample has been reviewed, whether or not the student's submission was part of the moderation sample) a student may request a remark within **10 working days** of publication of the mark on eVision (except in the case of OSCEs and OSPEs; see 8.7 below and examinations; see 8.8 below).
- 8.4 Where a summative presentation/oral examination has been double marked, students may not apply for a remark. Otherwise a student may request a remark within **10 working days** of publication of the mark on eVision, and the recording of the presentation/oral examination will be used to remark the presentation/oral examination.
- 8.5 A student requesting a remark will need to provide justification (evidence is required):
 - the mark is significantly at odds with the student's past marks
 - the mark is not consistent with the feedback given
 - feedback suggests that part of the student's submission has not been considered
 - other
- 8.6 Students are expected to discuss their mark with the relevant marker or with their academic advisor before asking for a remark.
- 8.7 Where an Objective Structured Clinical Examination (OSCE) or Objective Structured Practical Examination (OSPE) has been double marked, or has been moderated in accordance with 2.6 above, students may not apply for a remark, but may submit an Academic Appeal.
- 8.8 Where an examination assignment has been moderated (where a sample has been reviewed, whether or not the student's

submission was part of the moderation sample) a student may not request a remark, but may submit an Academic Appeal.

- 8.9 Where an assignment has been double marked (either originally or as the result of a remark request) the student cannot appeal the mark. However, a student with concerns about the conduct of the marking process may submit an Academic Complaint setting out those concerns.

(<https://www.uea.ac.uk/learningandteaching/students/appealsandcomplaints/postsep12>)

Appendix One

1. The internal moderation policy is published in the Calendar, available at [http://www.uea.ac.uk/calendar/section3/regs\(gen\)/Internal+Moderation+Policy](http://www.uea.ac.uk/calendar/section3/regs(gen)/Internal+Moderation+Policy)
2. Where there is a requirement to moderate assessed work, as stated in 4.2 of the Policy, the sample of work taken for moderation will take account of the following:
 - a. Submission across the full range of marks
 - b. All submissions with a fail mark
 - c. Submissions marked by each marker
 - d. For modules with 10 students or fewer, all submissions should be moderated
 - e. For modules with more than 10 students, at least 10% of all work submitted or 10 submissions, whichever is the higher number.
3. Where at least 10% of all work, or 10 submissions, whichever is the higher number, **has** been submitted by the deadline, moderation of these submissions is sufficient and no moderation of late work need be undertaken. The sample size must be 10% of the expected total number of pieces of work, not 10% of those pieces submitted by the deadline. The exception to this is where all the work assigned to a particular marker or markers has been submitted late and is not included in the moderated sample of work submitted on time. (In this case, the work of the marker(s) should be moderated in addition to the initially-submitted work, but this can be after the on-time work has been returned to students, if necessary).
4. Where at least 10% of all work, or 10 submissions, whichever is the higher number, **has not** been submitted by the deadline, moderation cannot take place until enough pieces of work submitted after the deadline have been marked to increase the sample size for moderation to the required level. In this unlikely event, there will be a necessary delay in the return of work to students who submitted on time. Students

should be informed of the delay with an indication of when they can expect the work.

Archived Document

Extenuating Circumstances (Research Programme Assessment)

1 Purpose

1.1 The Regulations provide a definition of extenuating circumstances, the guiding principles on which the regulations are based and the procedural framework within which extenuating circumstances which relate to Research Degree Programmes shall be managed, where those extenuating circumstances relate to assessment components managed by a Board of Examiners or by a course team on behalf of the Board of Examiners. Research degrees in this category are currently the Doctorate in Clinical Psychology (ClinPsyD) and the Doctorate in Education (EdD, MEd). All other extenuating circumstances (i.e. affecting the student's general registration and/or thesis element) should be handled via the postgraduate research student concessions process.

2. Definition of Extenuating Circumstances

2.1 An extenuating circumstance is:

2.1.1 An acute factor or an acute expression of a chronic condition that can be evidenced, is outside the student's control and which affects performance in and/or engagement with assessment;

2.1.2 Normally, a set of circumstances, the effect of which will impact the student within 3 weeks of the relevant assessment event;

2.1.3 Certain other circumstances that are explicitly referenced within the Extenuating Circumstances Regulations.

3. Principles

3.1 The University shall apply the following principles:

3.1.1 The minimisation of bureaucracy and assurance of timely consideration of cases;

3.1.2 The regulations have been designed to be reasonable, sensible, fair and student-focused;

3.1.3 The University shall adopt the extant list of extenuating circumstances provided by the Academic Registrars' Council (ARC). This list shall serve as a formal guide to the range of acceptable extenuating circumstances and can be found at:

<http://www.arc.ac.uk/uploadedfiles/documents/ARCAppealsExtCircs.pdf>

4 Extenuating Circumstances

4.1 Extenuating circumstances may be considered for assessment components managed by or on behalf of a Board of Examiners in relation to:

4.1.1 Extension requests for those items of assessment classified as 'Deadline' (Coursework, Written Assignment, Dissertation, Project, Presentation);

4.1.2 Requests for Delayed Assessment for those items of assessment classified as 'Event' (Examination, Course Test, Objective Structured

Clinical Examination, Objective Structured Pharmacy Examination, Practical);

4.1.3 Decisions about progression and/or final classification

4.2 There shall be an Extenuating Circumstances Panel (ECP) for each Board of Examiners covering research degree programmes in the School of Study.

4.3 Each ECP shall consist of a pool of 4 academic members (one of whom will act as Chair) appointed by the Head of School.

4.4 The Chair of the ECP shall be a member of the relevant Board of Examiners within the School of Study.

4.5 Chairs of Boards of Examiners shall not be permitted to act as the ECP Chair for the Board of Examiners of which they are the Chair, but may be a member of the ECP.

4.6 A minimum of 2 members of the ECP are required to engage in the consideration of cases, with the exception of the pre-Board ECP meeting, where at least 3 members must be in attendance.

4.7 The consideration of extenuating circumstances need not involve a physical meeting of members of the ECP if alternative methods of discussion and mutual deliberation are available.

4.8 There shall be time limits for the reporting of extenuating circumstances by students that will vary according to the type of adjustment being sought.

4.9 Students should report any circumstances affecting their study as soon as possible and no later than the deadlines detailed below.

4.10 Students must report any circumstances that they wish to be considered to the PGR Service.

4.11 Where a student is unable to supply all relevant evidence at the point of reporting the extenuating circumstances, the student shall normally provide any outstanding evidence within 10 days of application.

4.12 The Chair of the relevant ECP may grant further time (beyond 10 days) to obtain evidence where good reasons for needing the additional time are provided.

4.13 Notwithstanding the requirement detailed at 4.10 above, where a student believes that the relevant circumstances are of a highly confidential nature, s/he may report the circumstances to the Dean of Students.

4.14 Where a student reports circumstances as permitted under 4.13 above, the Dean of Students shall either:

Confirm the confidential nature of the circumstance and provide the ECP with a statement of its severity. The substantive detail of the circumstances shall remain confidential to the Dean of Students.

OR

Determine that the nature of the circumstances does not merit the confidentiality of treatment detailed at 4.13 above and advise the student that they should report their extenuating circumstances to the PGR Service, in accordance with 4.9-4.11 above.

5 Consideration of Extenuating Circumstances

5.1 Extension Requests (deadline assessments)

5.1.1 Extensions of 7 working days shall be approved automatically on receipt of a self-certification form on one occasion in an academic year per student. There shall be no requirement for supporting evidence and the student may treat the request as approved on submission of the form.

5.1.2 The restriction to one occasion in each academic year may include a single request relating to a single extension period of 7 days but applying to more than one item of assessment, where a student has multiple coincident submission deadlines.

5.1.3 Where students request more than one extension within an academic year, any additional applications must be supported by acceptable evidence.

5.1.4 Additional applications that meet the ARC criteria may be approved by the member of PGR Service staff acting as Secretary to the Board of Examiners.

5.1.5 Additional applications that cannot be mapped to the ARC criteria or do not have clear evidence shall be considered by the relevant EC Panel.

5.1.6 Consideration may be undertaken by an ECP Panel comprising a minimum of 2 members.

5.1.7 ECPs shall reach a decision and advise the student of the outcome, normally within 3 working days of the request being received by the PGR Service.

5.1.8 Where an extension will impact on the dates of period of study/registration or the order in which placements are taken, the ECP may need to additionally recommend that the student applies for a concession and follows the postgraduate research student concessions process.

5.2 Delayed Assessment/Reassessment (DA/R) Requests (event assessments)

5.2.1 Students may be permitted to repeat an 'event' assessment due to circumstances beyond their control that affect performance or attendance at the event.

5.2.2 Students may be offered a Delayed Assessment (where circumstances affected the initial assessment), Delayed Reassessment (where circumstances affected the reassessment attempt) or Further Reassessment (where circumstances affected the assessment or reassessment but are not deemed sufficient for a Delayed Reassessment).

5.2.3 A Delayed Assessment cancels the assessment that it replaces. A Further Reassessment provides an additional opportunity without cancelling the original assessment attempt.

5.2.4 Where an application for a DA/R is approved, s/he may choose whether or not to take the new assessment and replace their existing mark, which shall be voided.

5.2.5 Where a student does take the new assessment, the recorded mark shall be the mark received for the new assessment and not the better of the 2 marks achieved.

5.2.6 A DA/R may be considered where:

- the student failed to attend;
- the student attended the assessment but believes that s/he did not have a fair attempt due to extenuating circumstances
 - the delivery of the programme has hampered the ability of students to be assessed fairly.

5.2.7 Where the request for DA/R rests on medical circumstances, students must seek medical evidence on the day of the assessment, unless prevented from doing so.

5.2.8 A request for a DA/R must be submitted within 48 hours of the assessment.

5.2.9 All relevant supporting evidence, including, where appropriate, explanations of any failure to obtain medical evidence in accordance with 5.2.7 above, must normally be submitted not later than 10 working days after the request for DA/R is received by the PGR Service.

5.2.10 The Chair of the ECP may approve a later deadline for the provision of supporting evidence.

5.2.11 Bad weather conditions are acceptable for DA/R only where advice to the public has been to avoid unnecessary journeys and where public transport is not running.

5.2.12 DA/R requests shall be considered by the member of PGR Service staff acting as Secretary to the Board of Examiners in the first instance with reference to the ARC guidance noted above.

5.2.13 Cases which do not meet the ARC criteria, are complex or where rejection is recommended shall be referred to the relevant ECP.

5.2.14 Where an extension will impact on the dates of period of study/registration or the order in which placements are taken, the ECP may need to additionally recommend that the student applies for a concession and follows the postgraduate research student concessions process.

5.3 Pre-Board ECP Meetings

5.3.1 The purpose of a Pre-Board ECP meeting is to consider extenuating circumstances that may impact on decisions about progression or classification.

5.3.2 All extenuating circumstances and associated adjustments shall be reported to the Pre-Board ECP.

5.3.3 Where extenuating circumstances have already been considered and adjustments made (previous extension and/or DA/R requests), the ECP shall consider whether any additional adjustments may be appropriate.

5.3.4 Students must report extenuating circumstances to the PGR Service not later than 10 days prior to the meeting of the Pre-Board ECP.

5.3.5 Date of Pre-Board ECP meetings will be publicised to students.

5.3.6 ECPs shall determine the severity of impact and make a recommendation to the Board of Examiners on how the impact of the extenuating circumstances should be accommodated.

5.3.7 Recommendations may include:

- Award of a higher classification;
- Permission to progress within the constraints of the relevant regulations for the award;
- Where progression requirements have not been met, permission to retake the year or a part of the year, with or without a period of intercalation;
- Assessment, reassessment or further assessment;
- That a student applies for a concession following the postgraduate research student concessions process;
- That a student be transferred to an alternative course.

5.3.8 The actual adjustment shall be determined by the Board of Examiners.

5.3.9 When making decisions regarding appropriate adjustments, the Board of Examiners shall demonstrate that it has fully considered the recommendations of the Pre-Board ECP.

5.3.10 Adjustments must comply with PSRB requirements (e.g. maximum length of registration), where applicable.

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Extenuating Circumstances for Taught Programmes

1 Purpose

- 1.1 The Regulations provide a definition of extenuating circumstances, the guiding principles on which the regulations are based and the procedural framework within which extenuating circumstances in relation to Taught Programmes shall be managed.

2 Definition of Extenuating Circumstances

- 2.1 An extenuating circumstance is:
- 2.1.1 An acute factor or an acute expression of a chronic condition that can be evidenced, is outside the student's control and which affects performance in and/or engagement with assessment
 - 2.1.2 Normally, a set of circumstances, the effect of which will impact the student within 3 weeks of the relevant assessment event
 - 2.1.3 Certain other circumstances that are explicitly referenced within the Extenuating Circumstances Regulations

3 Principles

- 3.1 The University shall apply the following principles:
- 3.1.1 The minimisation of bureaucracy and ensure timely consideration of cases;
 - 3.1.2 The regulations have been designed to be reasonable, sensible, fair and student-focused;
 - 3.1.3 The University shall adopt the extant list of extenuating circumstances provided by the Academic Registrars' Council (ARC). This list shall serve as a formal guide to the range of acceptable extenuating circumstances and can be found at:
<http://www.arc.ac.uk/uploadedfiles/documents/ARCAppealsExtCircs.pdf>

4 Extenuating Circumstances

- 4.1 Extenuating circumstances may be considered in relation to:
- 4.1.1 Extension requests for those items of assessment classified as 'Deadline' (Coursework, Written Assignment, Dissertation, Project, Presentation);

- 4.1.2 Requests for Delayed Assessment for those items of assessment classified as 'Event' (Examination, Course Test, Objective Structured Clinical Examination, Objective Structured Pharmacy Examination, Practical);
- 4.1.3 Decisions about progression and/or final classification
- 4.2 There shall be an Extenuating Circumstances Panel (ECP) in each School of Study.
- 4.3 Each ECP shall consist of a pool of 4 academic members (one of whom will act as Chair) appointed by the Head of School.
- 4.4 The Chair of the ECP shall be a member of a Board of Examiners within the School of Study.
- 4.5 Chairs of Boards of Examiners shall not be permitted to act as the ECP Chair for the Board of Examiners of which they are the Chair, but may be a member of the ECP.
- 4.6 A minimum of 2 members of the ECP are required to engage in the consideration of cases, with the exception of the pre-Board ECP meeting, where at least 3 members must be in attendance.
- 4.7 The consideration of extenuating circumstances need not involve a physical meeting of members of the ECP if alternative methods of discussion and mutual deliberation are available.
- 4.8 There shall be time limits for the reporting of extenuating circumstances by students that will vary according to the type of adjustment being sought.
- 4.9 Students should report any circumstances affecting their study as soon as possible and no later than the deadlines detailed below.
- 4.10 Students must report any circumstances that they wish to be considered to their Learning and Teaching (LTS) Hub.
- 4.11 Where a student is unable to supply all relevant evidence at the point of reporting the extenuating circumstances, the student shall normally provide any outstanding evidence within 10 working days of application.
- 4.12 The Chair of the relevant ECP may grant further time (beyond 10 working days) to obtain evidence where good reasons for needing the additional time are provided.
- 4.13 Notwithstanding the requirement detailed at 4.10 above, where a student believes that the relevant circumstances are of a highly confidential nature, s/he may report the circumstances to the Dean of Students.
- 4.14 Where a student reports circumstances as permitted under 4.13 above, the Dean of Students shall either:

Confirm the confidential nature of the circumstance and provide the ECP with a statement of its severity. The substantive detail of the circumstances shall remain confidential to the Dean of Students.

OR

Determine that the nature of the circumstances does not merit the confidentiality of treatment detailed at 4.13 above and advise the student that they should report their extenuating circumstances to their LTS Hub, in accordance with 4.9-4.11 above.

5

Consideration of Extenuating Circumstances

5.1 Extension Requests (deadline assessments)

Extensions of five working days shall be approved automatically on receipt of a Extenuating Circumstances form on one occasion in an academic year per student. There shall be no requirement for supporting evidence and the student may treat the request as approved on submission of the form. (A request must be submitted to the relevant hub in advance of the submission deadline in order to be treated by way of automatic approval.) The restriction to one occasion in each academic year may include a single request relating to a single period of five working days extension but applying to more than one item of assessment where a student has multiple co-incident submission deadlines. Students may only use self-certification in support of the first extension request in any academic year. Where students request more than one extension within an academic year, any additional applications must be supported by acceptable evidence.

5.1.4 Additional applications that meet the ARC criteria may be approved by LTS Co-ordinators.

5.1.5 Additional applications that cannot be mapped to the ARC criteria or do not have clear evidence shall be considered by the relevant EC Panel.

5.1.6 Consideration may be undertaken by an ECP Panel comprising a minimum of 2 members.

5.1.7 ECPs shall reach a decision and advise the student of the outcome within 3 working days of the request being received in the LTS Hub.

5.1.8 Where extension requests are supported by a medical certificate they shall be approved by the relevant LTS Coordinator. This

includes retrospective requests where the medical certificate clearly covers the period to which the extension request relates.

5.2 Delayed Assessment/Reassessment (DA/R) Requests (event assessments)

5.2.1 Students may be permitted to repeat an 'event' assessment due to circumstances beyond their control that affect performance or attendance at the event.

5.2.2 Students may be offered a Delayed Assessment (where circumstances affected the initial assessment), Delayed Reassessment (where circumstances affected the reassessment attempt) or Further Reassessment (where circumstances affected the assessment or reassessment but are not deemed sufficient for a Delayed Reassessment).

5.2.3 A Delayed Assessment cancels the assessment that it replaces. A Further Reassessment provides an additional opportunity without cancelling the original assessment attempt.

5.2.4 Where an application for a DA/R is approved, s/he may choose whether or not to take the new assessment and replace their existing mark, which shall be voided.

5.2.5 Where a student does take the new assessment, the recorded mark shall be the mark received for the new assessment and not the better of the 2 marks achieved.

5.2.6 A DA/R may be considered where:

- the student failed to attend;
- the student attended the assessment but believes that s/he did not have a fair attempt due to extenuating circumstances
- the delivery of the programme has hampered the ability of students to be assessed fairly

5.2.7 Where the request for DA/R rests on medical circumstances, students must seek medical evidence on the day of the assessment, unless prevented from doing so.

5.2.8 A request for a DA/R must be submitted within 48 hours of the assessment.

5.2.9 All relevant supporting evidence, including, where appropriate, explanations of any failure to obtain medical evidence in accordance with 5.2.7 above, must normally be submitted not later than 10 working days after the request for DA/R is received in the LTS Hub.

5.2.10 The Chair of the ECP may approve a later deadline for the provision of supporting evidence.

- 5.2.11 Bad weather conditions are acceptable for DA/R only where advice to the public has been to avoid unnecessary journeys and where public transport is not running.
- 5.2.12 DA/R requests shall be considered by LTS co-ordinators in the first instance with reference to the ARC guidance noted above.
- 5.2.13 Cases which do not meet the ARC criteria, are complex or where rejection is recommended shall be referred to the relevant ECP.

5.3 Pre-Board ECP Meetings

- 5.3.1 The purpose of a Pre-Board ECP meeting is to consider extenuating circumstances that may impact on decisions about progression or classification.
- 5.3.2 All extenuating circumstances and associated adjustments shall be reported to the Pre-Board ECP.
- 5.3.3 Where extenuating circumstances have already been considered and adjustments made (previous extension and/or DA/R requests), the ECP shall consider whether any additional adjustments may be appropriate.
- 5.3.4 Students must report extenuating circumstances to their LTS Hub not later than 10 working days prior to the meeting of the Pre-Board ECP.
- 5.3.5 Date of Pre-Board ECP meetings will be publicised to students.
- 5.3.6 ECPs shall determine the severity of impact and make a recommendation to the Board of Examiners on how the impact of the extenuating circumstances should be accommodated.
- 5.3.7 Recommendations may include:
- Award of a higher classification;
 - Permission to progress within the constraints of the relevant regulations for the award;
 - Where progression requirements have not been met, permission to retake the year or a part of the year, with or without a period of intercalation;
 - Assessment, reassessment or further assessment;
 - For students in Stage 0 or Stage 1, provisional progression pending the successful outcome of the delayed assessment. This adjustment is available only where a student has failed only one module and has approval for a delayed sit for the failed item(s). Assessment must be completed by the deadline set annually by LTS;
 - That a student be transferred to an alternative course

- 5.3.8 The actual adjustment shall be determined by the Board of Examiners.
- 5.3.9 When making decisions regarding appropriate adjustments, the Board of Examiners shall demonstrate that it has fully considered the recommendations of the Pre-Board ECP.
- 5.3.10 Adjustments must comply with PSRB requirements (eg maximum length of registration), where applicable.

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University Policy on Plagiarism and Collusion

A. STATEMENT OF POLICY

1 Introduction

The University takes allegations of plagiarism or collusion seriously. Students who plagiarise or collude threaten the values and beliefs that underpin academic work and devalue the integrity of the University's awards, whether or not such plagiarism or collusion is intentional. Where plagiarism and/or collusion has occurred, offenders may be punished, and the punishment may extend to failing their degree, temporary suspension or permanent expulsion from further study at the University. Suspected plagiarism and/or collusion, at any point of a student's course, whether discovered before or after graduation, will be investigated and dealt with appropriately by the University.

All summative and formative work submitted for assessment by students is accepted on the understanding that it is the student's own effort and written from their own understanding, without falsification of any kind. Students are expected to offer their own analysis and presentation of information gleaned from research, even when group exercises are carried out. In so far as students rely on sources, they should indicate what these are in accordance with the appropriate convention in their discipline.

2 Definitions

Plagiarism and collusion are defined as follows:

2.1 Plagiarism is presenting or submitting someone else's work (words or ideas) intentionally or unintentionally as one's own, i.e. without acknowledgement;

Collusion is working with others in an unauthorised manner.

2.2 Plagiarism

Plagiarism can take the following forms:

2.2.1 The reproduction, without acknowledgement, of work (including the work of fellow students), published or unpublished, either verbatim or in close paraphrase. In this context, the work of others includes material downloaded from computer files and the internet, discussions in seminars, ideas, text and diagrams from lecture handouts.

2.2.2 Poor academic practice which is unintentional.

2.2.3 The reproduction, without acknowledgement, of a student's own previously submitted work.

Plagiarism can occur in 'open-book' examinations and/or coursework assessments, which may take a variety of forms, including, but not

exclusively confined to, essays, reports, presentations, dissertations and projects.

2.3 Collusion

Collusion is a form of plagiarism, involving unauthorised co-operation between at least two people. Various forms of collaborative assessment undertaken in accordance with published requirements do not fall under the heading of collusion; please see further guidance on authorised collaboration in the “*Guidance Note – Assessing Group Work*” and “*Policy on the Use of Proof Readers*”:

<https://www.uea.ac.uk/learningandteaching/documents/assessment/GuidanceNoteonGroupwork>

<https://www.uea.ac.uk/learningandteaching/documents/assessment/PolicyonuseofProofreaders>

Collusion can take the following forms:

- 2.3.1 The conspiring by two or more students to produce a piece of work together with the intention that at least one passes it off as his or her own work.
- 2.3.2 The submission by a student of the work of another student in circumstances where the latter has willingly provided the work and where it should be evident that the recipient of the work is likely to submit it as their own. In such cases, **both** students are guilty of collusion.
- 2.3.3 Unauthorised co-operation between a student and another person in the preparation and production of work which is presented as the student’s own.
- 2.3.4 The commissioning and submission of work as the student’s own, where the student has purchased or solicited another individual to produce work on the student’s behalf.

3 Obligations of students

- 3.1 All students should be willing to sign a declaration on registration that the work they are submitting during that academic year (coursework, projects, dissertations, etc.) is their own work, that there is no unacknowledged use of another person’s work and that there has been no unauthorised co-operation between them and another person in the preparation and production of work. Even when this is not required, the assumption is that all submitted work is the student’s own.
- 3.2 Students are expected to familiarise themselves with, and make use of, the method(s) of citing other people’s work in accordance with the appropriate conventions in their discipline.
- 3.3 Students must not mislead examiners by submitting another person’s work for assessment in a way which intentionally and/or negligently and/or recklessly suggests that factual information has been collected and/or analysed which has not, in fact, been

collected and/or analysed by the student.

- 3.4 Research students are required to sign certifications of originality when submitting their theses. In circumstances where incidents of plagiarism or collusion for postgraduate research students appear to constitute misconduct in research, students may be referred to the Senate Student Discipline Committee (SSDC) for disciplinary action.

4 Graduates

Where plagiarism and/or collusion is found to have occurred in the work of a graduate of the University, the matter shall be referred by the member(s) of staff who has/have discovered the offence to the Head of the student's School of registration (or most appropriate successor) in accordance with the University's *Disciplinary Procedures*, which can be viewed at:

[http://www.uea.ac.uk/calendar/section3/regs\(gen\)/disciplinary-procedures](http://www.uea.ac.uk/calendar/section3/regs(gen)/disciplinary-procedures)

The Senate has the authority to reduce the classification of a Degree conferred, or to revoke a Degree, Diploma or Certificate or other distinction conferred by the University.

5 Use of Software for Matching Text to Detect Plagiarism

- 5.1 University approved text matching software (software that searches for text in work submitted to it that matches text contained in its databases to aid the detection of plagiarism) may be used for students taking undergraduate modules or postgraduate modules.

- 5.2 Schools that make use of University approved text matching software shall:

5.2.1 appoint a University approved text matching software specialist (a member of academic staff who shall be familiar with the use of approved text matching software and the interpretation of its reports);

5.2.2 monitor its use for equality impact assessment.

- 5.4 Schools may submit module batches into the University approved text matching software. Where Schools elect to use the University's approved text-matching software in this way to screen student submissions they shall ensure that:

5.4.1 Students are informed in advance of the assessments that will be subject to batch screening using the University's approved text-matching software;

5.4.2 An originality report is generated for **all** student submissions for the assessment in question, not just a sample of students from the cohort;

5.4.3 Staff involved in marking assessments which are subject

to batch screening should access the training provided in the use of the University approved text-matching software.

5.5 In cases where assessments are subject to batch screening, students on the module in question shall:

5.5.1 have access to the use of the University approved text matching software so that they can generate an originality report on a draft of their assessment prior to the submission deadline;

5.5.2 be provided with training by the Schools' Plagiarism Officer on how to access the University approved test matching software, how to generate an originality report of their draft submissions prior to the submission deadline and how to interpret and act on the information contained in the originality report;

5.5.3 have access to online guidance resources that address 5.5.2 above.

B. PROCEDURES FOR DEALING WITH SUSPECTED CASES OF PLAGIARISM AND/OR COLLUSION

1 Plagiarism Officer

The Head of each School shall appoint a Plagiarism Officer (who shall not be the Head of School) who is responsible for investigation into cases of suspected plagiarism and/or collusion in accordance with paragraphs 3, 4 and 5 below. The Plagiarism Officer shall consider alleged offences committed by students enrolled on the module(s) offered by the Plagiarism Officer's School.

2 Collection of Evidence

If a marker suspects plagiarism and/or collusion, s/he will continue to mark the work as if not plagiarised, keeping a separate copy of the annotated work as evidence. S/he will gather the necessary evidence to allow the Plagiarism Officer to pursue the appropriate investigation. Wherever possible or appropriate, the main evidence for plagiarism and/or collusion will be the original sources(s) that has/have been drawn on/copied from. In cases identified as Medium or High Level, the Plagiarism Officer may collect other work completed by the student, whether produced for modules located in their own School or produced for modules located in other Schools, and may seek help from the relevant School University approved text matching software specialist. Where an allegation of plagiarism and/or collusion concerns a module in a School other than the School in which the student is registered, the Plagiarism Officer of the School 'owning' the module shall deal with the allegation and, during the investigation, will liaise with the Plagiarism Officer in the School in which the student is registered. If the student's work completed within the Stage is to be recalled and is for a module(s) which is/are not located in the student's School of registration, the Plagiarism Officer in the student's School of registration will initiate the process of recalling the work. Subsequently, the Plagiarism Officer in the School in which the module(s) is/are located, will arrange for relevant Plagiarism/Collusion Meetings (as

detailed under B4) to be held and inform the Plagiarism Officer of the student's School of registration of the outcome(s) of the relevant Plagiarism/Collusion Meeting(s). This will allow the Plagiarism Officer in the student's School of registration to complete the investigation having knowledge of all the relevant information.

Where there is an allegation of plagiarism and/or collusion in respect of assessed work that has been submitted in word-processed format and University approved text matching software is used during the investigation for the particular module(s) under review, a student will be asked in writing (or by e-mail) by the relevant Office within the Learning and Teaching Service (LTS) or Postgraduate Research Office (PGR) to submit an electronic copy of the assessed work in question. The student will be given five working days from the date of the letter or e-mail of the request (Saturdays, Sundays and University closure days excepted) within which to provide an electronic copy. Where a student does not provide an electronic copy in word format of the assessed work in question within the required timescale and there are no extenuating circumstances to account for the delay or non-submission, an automatic mark of zero will be recorded for the assessment item. Where the electronic copy is corrupted or is different from the original submission, a mark of zero will be recorded for the assessed work in question.

If an internal marker suspects plagiarism and/or collusion but is unable to identify the original sources, s/he should collect what evidence is available and present it to the Plagiarism Officer, who will decide if there is a prima facie case for plagiarism and/or collusion which would warrant a School Plagiarism/Collusion Meeting. If a University approved text matching software report has been used as evidence to show that plagiarism and/or collusion has been committed, then this should be referenced within the Plagiarism Officer's hard copy report and should form part of the documentation for the School Plagiarism/Collusion Meeting.

3 Initial screening of evidence

The Plagiarism Officer shall review the evidence as presented by the marker or Module Organiser and classify as being of Low, Medium or High Level. For cases classified as Low Level, the Plagiarism Officer will proceed as stated in B5.2.1 below and may recommend an action plan setting out an appropriate learning package (to include referral to the Learning Enhancement Team in the Dean of Students Office) without having a formal School Plagiarism/Collusion Meeting. The student may either accept the action plan and learning package as offered by the Plagiarism Officer or can request that a formal School Plagiarism/Collusion Meeting takes place. In all other cases, a formal School Plagiarism/Collusion Meeting should be held.

4 Formal School Plagiarism/Collusion Meeting

Where a formal School Plagiarism/Collusion Meeting is held, the case shall be considered by a panel consisting of the Plagiarism Officer from the School and a Plagiarism Officer from another School, hereafter referred to

as the Panel. The student will be summoned to a meeting to discuss the alleged plagiarism and/or collusion for the module(s) in question, which may also include other work being recalled as set out under B2, by the meeting's Secretary, who shall normally be a senior member of administrative staff in the relevant Office within LTS or PGR. In addition to the summons, the student will be provided with a copy of the annotated work and the University approved text matching software report, if appropriate. The student will also be advised within the summons to bring along any supporting evidence to assist with the investigation (documents normally in hard copy format), including those relating to any mitigating circumstances. The summons shall be delivered to the student's pigeon-hole in his or her Faculty/School of Studies and/or University e-mail address at least five working days (Saturdays, Sundays and University closure days excepted) before the meeting. Alternative arrangements will be made for correspondence with students who are on placement or other permitted absence.

If a student wishes to appear and can prove that s/he is unable to appear at the School Plagiarism/Collusion meeting for good reason by notifying the Secretary of the Plagiarism/Collusion meeting at the earliest convenience, the meeting may be rescheduled or alternative arrangements made, e.g. by correspondence or video-conferencing facilities. If a student fails to appear at the meeting without providing good reason, the meeting shall proceed in the student's absence.

The meeting shall be chaired by the School Plagiarism Officer. If the School Plagiarism Officer is also the Module Organiser/internal marker, then a Plagiarism Officer from another School will act as Chair. The Plagiarism/Collusion Meeting should establish the relevant facts. The internal marker who has identified the alleged plagiarism and/or collusion shall also be in attendance. The student may, if s/he wishes, bring an accompanying person, who shall not take an active part in the proceedings. In all cases, the student themselves shall answer any questions raised in the meeting. The accompanying person shall not be a member of UEA academic staff. If, in the opinion of the Panel, the accompanying person is, or appears to be, interfering with the proper conduct of the business of the meeting, the Panel has the right to i) adjourn the meeting and reconvene it at a later date, and ii) exclude that person from attending the reconvened meeting. A record of the meeting shall be taken by the Secretary to the School Plagiarism/Collusion Meeting.

The meeting shall proceed in the following order:

- 2.1 the marker who has initially raised the suspicion of plagiarism/collusion presents their concerns but, however, is not part of the outcome decision-making process;
- 2.2 the Panel shall then provide the student with an opportunity to respond to the concerns of the marker;
- 2.3 the Panel may ask further questions;
- 2.4 the Panel shall advise the student that, where plagiarism/collusion is

- denied, the case shall be referred to a Senate Student Discipline Committee Panel and the student will be able to present their case at that time;
- 2.5 the marker, student and accompanying person shall then leave the meeting;
- 2.6 the Panel shall decide on the suitable outcome;
- 2.7 the student shall be advised of the outcome of the meeting in writing within five working days
- 2.8 the student can reconsider their plea within five working days of the formal meeting;
- 2.9 the Head of School shall be advised of the outcome.

5 Outcomes

- 5.1 In the event that the student **admits** plagiarism or collusion, the Panel shall determine the seriousness of the offence and classify it as a Low Level, Medium Level or High Level offence using the grid below as guidance. When making a judgement on the level of the offence, the Panel shall apply the principle of “balance of probability”, weighing-up all the evidence and reaching a judgement on what was the most probable scenario to allow classification of the plagiarism/collusion offence to be set at the appropriate level. The grid should be interpreted with reference to the associated guidance notes which can be viewed at:

https://www.uea.ac.uk/learningandteaching/documents/discipline/GuidanceforStaff_PolicyonPlagiarismandCollusion

Plagiarism/Collusion Classification Guide

Plagiarism and Collusion			
	Classification		
Criteria	Low Level	Medium Level	High Level
Experience of student <i>Considers the extent to which the University can expect that the student is aware of the requirements and expectations of academic writing, the nature of plagiarism and collusion and the</i>	Indicator: The University cannot rely on an assumption that the student is familiar with the requirements and expectations of academic writing	Indicator: The University is entitled to assume familiarity with the requirements and expectations of academic writing and the rules governing plagiarism and collusion but the student may be uncertain as to their	Indicator: The University is entitled to assume understanding of the requirements and expectations of academic writing and knowledge of the regulations governing plagiarism and collusion

<p><i>seriousness of their actions</i></p>	<p>For example:</p> <p>The student is unaware; has not been instructed, advised or informed about plagiarism and collusion;</p> <p>No instructions re groupwork were made known;</p> <p>Student(s) is/are in first year or first semester of their course;</p> <p>No previous record of plagiarism or collusion.</p>	<p>precise nature and application</p> <p>For example:</p> <p>The student has received guidance or instruction about plagiarism and collusion but has not fully understood or demonstrated its application;</p> <p>Instructions re groupwork are ambiguous, incomplete or unclear;</p> <p>Student(s) is/are in the second or later semester/term of their course;</p> <p>Student has transferred in from another course/institution;</p> <p>Student has completed known instruction(s) in avoiding plagiarism and/or collusion;</p> <p>Previous low level case detected.</p>	<p>For example:</p> <p>The student is aware, eg has undertaken instruction in plagiarism and collusion;</p> <p>Clear instructions re groupwork have been given but have been ignored;</p> <p>Student(s) has spent 2 years or more in UK HEI or similar;</p> <p>Previous medium or high level case detected.</p>
<p>Nature of plagiarism</p> <p><i>Nature of the breach of academic scholarship</i></p>	<p>Indicator:</p> <p>Poor academic practice;</p> <p>Plagiarism</p> <p>For example:</p> <p>Suspect text is incidental to fundamental argument and is largely descriptive rather than</p>	<p>Indicator:</p> <p>Bad academic practice;</p> <p>Plagiarism</p> <p>For example:</p> <p>Suspect text contributes to or supports analysis, argument or conclusions but student's own work</p>	<p>Indicator:</p> <p>Clear breach of acceptable academic practice;</p> <p>Plagiarism</p> <p>For example:</p> <p>Suspect text contributes the sole or greater part of analysis argument or conclusion and the student's own work</p>

	<p>analytical or supportive of argument or conclusions;</p> <p>Referencing or attribution of work is not clear or is inadequate, or has numerous errors;</p> <p>Inappropriate paraphrasing.</p> <p>Collusion</p> <p>For example:</p> <p>Misunderstanding of what constitutes collective activity;</p> <p>Lending own work to another student in the belief that it will not be copied;</p>	<p>can be identified and is of greater or at least comparable significance;</p> <p>Failure to reference and/or cite adequately;</p> <p>Copying phrases, sentences or paragraphs of material from websites, book or other publications;</p> <p>Writing style improved beyond proof-reading limits.</p> <p>Collusion</p> <p>For example:</p> <p>Copying segments of other students' assignment work;</p> <p>Lending own work to another student in the knowledge that it may be copied.</p>	<p>cannot readily be discerned;</p> <p>Fabricated references or citations;</p> <p>Whole work is copied (from other students without their knowledge or consent or from other sources published or unpublished);</p> <p>Writing style improved far beyond proof-reading limits;</p> <p>Collusion</p> <p>For example:</p> <p>Whole/substantial parts of the work is copied from other students without their knowledge/consent;</p> <p>The sharing of work or content in the knowledge that it will be copied;</p> <p>Deliberate concealment of the collective activity.</p>
<p>Extent of plagiarism/collusion</p> <p><i>Amount or proportion of</i></p>	<p>Indicator:</p> <p>Suspect text constitutes less than 5% by volume of the whole.</p>	<p>Indicator:</p> <p>Suspect text constitutes more than 5% but less than 20% by</p>	<p>Indicator:</p> <p>Suspect text constitutes more than 20% by volume of the whole;</p>

<p><i>assessment item or work that is not the students' own;</i></p> <p><i>Extent to which the assessment process is compromised;</i></p> <p><i>Note: in determining the volume of work in question, it is likely that reliance will be placed on a University approved text matching software or similar plagiarism detection report.</i></p>	<p>For non-text content:</p> <p>One (minor) graphic;</p> <p>A few elements of computer source code;</p> <p>Simple mathematical or scientific proof/algorithm/formulae.</p>	<p>volume of the whole;</p> <p>For non-text content:</p> <p>More than one graphic;</p> <p>Several lines or segments of computer source code;</p> <p>Several or major/more complex mathematical or scientific proof/algorithm/formulae.</p>	<p>There is significant appropriation of ideas, artistic work or elements of the argument/conclusion.</p> <p>For non-text content:</p> <p>Multiple graphics copied;</p> <p>Little or no own work can be identified with certainty ;</p> <p>Complex, advanced proofs or algorithms have been copied.</p>
<p>Intent of student to cheat by way of plagiarism or collusion</p> <p><i>Intentionality of the act of plagiarism and/or collusion and intent to cheat by way of plagiarism and/or collusion</i></p>	<p>For example:</p> <p>On the balance of probability, intent to cheat is unlikely or doubtful;</p> <p>The evidence indicates that the act of plagiarism and/or collusion was unintentional or due to lack of knowledge.</p>	<p>For example:</p> <p>On the balance of probability, intent to cheat is probable but cannot clearly be substantiated;</p> <p>The evidence indicates that the act of plagiarism or collusion was as a result of negligence or carelessness;</p> <p>The student(s) will be aware of the nature of the offence of plagiarism or collusion but has/have disregarded or ignored it.</p>	<p>For example:</p> <p>On the balance of probability, intent to cheat is evidence and can be substantiated;</p> <p>The evidence indicates that the act of plagiarism and/or collusion was deliberate and planned;</p> <p>The student(s) will be aware of the nature of the offence of plagiarism or collusion but have deliberately attempted to conceal the activity.</p>

¹ UEA kindly acknowledges permission from Curtin University, Australia, to use its table of determining the seriousness of plagiarism as published in: *Dealing with Student Plagiarism: Guidelines for Staff* 2007.

In cases where the Panel is aware of any mitigating circumstances which should be taken into consideration before the outcome of the Plagiarism/Collusion meeting is conveyed in writing to the student, the School Plagiarism Officer should bring these to the attention of the Head of the School. Where a Head of School (or Head of School designate) believes that the mitigating circumstances should reduce the level of an offence from High Level to Medium Level or from Medium Level to Low Level, the Chair of the SSDC should be consulted for a view to ensure consistency of practice across UEA.

5.2 After classification of the offence, the following outcomes should apply:

5.2.1 **LOW LEVEL** (technical breach to be dealt with educatively)

The Plagiarism Officer shall not impose a marks penalty and the student may be given the opportunity of resubmitting the work as if for the first time to be submitted not later than five days after the adjudication of the decision, regardless of whether it is a summative or formative assessment item. In order to help the student avoid plagiarism and/or collusion in future assignments, the student shall be offered support which may be in the form of an appropriate learning support package.

5.2.2 **MEDIUM LEVEL**

(a) Plagiarism:

This applies to any incident of plagiarism which occurs at a point where the University is confident that the student has received sufficient Plagiarism and Collusion training. The marker shall record a mark for a summative item of assessment which assesses the work as far as possible excluding the plagiarised material. This ensures that the recorded mark reflects the student's own work.

As no marks deduction is possible for a formative item of assessment, the offence should be recorded as a Medium Level plagiarism offence for future reference.

(b) Collusion (summative and formative work):

(i) Summative work

Where two or more students have worked together and it is impossible to determine who has produced the work, the pieces of work will be marked as they stand and the highest mark of those awarded will be divided equally among the number of students deemed to have colluded.

If, however, it is clear that one of the students has produced most/all of the work and lent it to the others, the Plagiarism

Officer shall record marks to take account of the effort put in by the student who produced the work, and the lack of effort from the other students who colluded.

(ii) Formative work

If possible, determine which student has produced which proportion of the work, note the proportion of work attributable to each student and record this as a Medium Level collusion offence for future reference.

5.2.3 HIGH LEVEL

(a) Serial plagiarism or collusion

This applies to any incident of plagiarism and/or collusion which occurs at a point where the University is confident that the student has received sufficient Plagiarism and Collusion training.

(i) Summative work only

Where a High Level offence is judged to be the result of serial plagiarism and/or collusion, i.e. there have been previous instances of Medium Level plagiarism and/or collusion as set out below under 5.2.3(ii) the work should be marked in accordance with a Medium Level offence.

(ii) Formative and summative work

A formal judgement of serial plagiarism cannot result from previous work being identified as plagiarised without plagiarism in this work having been drawn formally to the student's attention either via the procedure as stipulated under paragraph B3 of this policy or via a formal School Plagiarism/Collusion Meeting (i.e. serial plagiarism cannot result from work having been recalled in accordance with B2 but in which plagiarism had not been identified at the time). An example of a serial offence being classed as a High Level offence will normally be at least three previous occasions of Medium Level offences relating to formative and/or summative work, all of which would need to have been formally drawn to the student's attention via a School Plagiarism/Collusion meeting.

(b) High Level – not serial plagiarism or collusion

Where the offence is serious and has been identified as a High Level offence but there is no evidence of serial plagiarism/collusion committed by the student, the Plagiarism Officer shall record a mark of 0% for summative work and record the offence as a High level offence for both summative and formative work.

(c) Disciplinary action

After identifying a High Level offence as described under

paragraphs 5.2.3(a) or 5.2.3(b) above, the Head of School in which the student is registered shall refer the case to the Senate Student Discipline Committee for further action, regardless of whether the work is of a summative or formative nature.

(d) Fitness to Practise Panel

Where programmes lead to professional qualifications, a Head of School may refer a student with a confirmed High Level offence to a Fitness to Practise Panel.

- 5.3 The documentation relating to (i) the record of the meeting, (ii) the assessed work in question, (iii) the findings and (iv) for summative work, the mark recorded by the Plagiarism Officer, shall be retained on the student's file in the appropriate Office within LTS or PGR (this shall be the case even where a student is found not to have plagiarised or colluded).

The student will be given a copy of the documentation relating to (i)–(iv) above. The Secretary of the meeting shall also inform the Head of School in which the student is registered by sending the documentation relating to points (iii) and (iv) to her/him.

The Secretary to the meeting shall ensure that, for summative work, the correct mark is recorded for the student to be forwarded for confirmation to the relevant Board of Examiners. The Board of Examiners may be made aware by the Chair of the Board of any marks recorded reflecting plagiarism and/or collusion. It is, however, the responsibility of the Chair of the Board of Examiners to ensure that any decisions on progression, classification or the award of academic qualifications are not further influenced by a student having plagiarised and/or colluded.

- 5.4 Where the student has decided not to proceed to a formal School Plagiarism/Collusion Meeting when a Low Level offence has been identified by the Plagiarism Officer, as described under paragraph B3 of this policy, the student will receive a paper copy of the action plan/learning package as identified by the Plagiarism Officer. A copy of the action plan/learning package shall be retained for the duration of the student's period of registration on the student's file in the appropriate Office within LTS or PGR.

6 Denial

In the event that a student denies that he or she is guilty of plagiarism or collusion after a Medium or High Level case of plagiarism or collusion has been identified by the School Plagiarism Officer, the case is referred to the Senate Student Discipline Committee for further action.

7 Appeals

A student may appeal against a **penalty** (i.e. the level and

consequences) applied under paragraphs B5.2 and should do so in writing to the Head of LTS for taught students and the Head of PGR for research students within ten working days of the notification of the outcome, setting out the grounds for the appeal. The appeal shall be heard at Stage 1 of the *Academic Appeals and Complaints Procedure*, which can be viewed at:

http://www.uea.ac.uk/learningandteaching/documents/appeals_complaints

8 Reporting Plagiarism

School Plagiarism Officers shall complete an annual report to the Learning and Teaching Committee of Senate which should include equality monitoring data and a summary of any use of University approved text matching software by the School for the year of the report.

Disciplinary Procedures

Index

These disciplinary procedures are separated into Preamble and Disciplinary Powers; Non-Academic Discipline Procedure; Academic Discipline Procedure; Appeals Procedures; arrangements for payment of fines; further right to appeal; and Appendices.

Commitments

- (i) The University will apply the *Disciplinary Procedures* and associated *Appeals Procedure* in accordance with its Equal Opportunities Policy. In particular, reasonable adjustments under the Disability Discrimination Act (2005) (as amended from time to time and superseded by the Equality Act 2010 on implementation), will be made for those with disabilities, specific learning difficulties or long-term medical conditions.
- (ii) All parties to these *Procedures* and individuals who have been involved in any related investigation and/or the management and/or administration of the *Procedures* will observe the requirements for confidentiality. Whilst confidential information may need to be disclosed in order appropriately to consider cases, this will only be to those staff involved in or relevant to the *Procedures*. In addition, confidential information may be disclosed to governmental, police or regulatory authorities as required by law or by relevant professional, statutory and/or regulatory bodies.
- (iii) All personal information will be processed by the University in accordance with the Data Protection Act 1998.
- (iv) Students who submit an appeal under these *Procedures* will not be disadvantaged for having done so. Any Student who believes that s/he has been disadvantaged by submitting a case should contact the Registrar and Secretary's Office immediately. The University expects that Students will not engage in frivolous or malicious appeals.

SECTION A: PREAMBLE AND DISCIPLINARY POWERS

Section A is currently under review

This section gives an overview of the University's approach to disciplinary matters and sets out the authority and powers of University Committees and Officers.

1 Preamble

1.1 All students of the University are bound by the University's Statutes, the Student Charter, Regulations, Codes of Practice, Rules and Procedures in force for the time being insofar as they concern students (the 'University Legislation'.)

1.2 The University Legislation - or notices of their whereabouts - are published annually in the University Calendar, a copy of which is available via the University website (<https://www.uea.ac.uk/calendar>) and which is also accessible to students via the Student Portal.

1.3 Senate is the committee of the University with authority for the oversight of the academic performance of the University and for the regulation and supervision of the education and discipline of students in accordance with Provision 7 of the University Charter. Serious breaches of any other Regulation, Code of Practice or Rule of the University to which the students are subject, excepting where the Senate has approved special and separate procedures, are also subject to these *Disciplinary Procedures*.

1.4 The application and operation of these *Disciplinary Procedures* in relation to students studying on validated or franchised programmes offered by affiliated institutions, Associate Colleges of the University or other recognised providers, shall be set out in the protocols governing those collaborations and summarised for students in relevant documentation.

1.5 Throughout these *Disciplinary Procedures*, unless otherwise indicated, references to the Head of the School include the Head's designated alternate.

1.6 Throughout these *Disciplinary Procedures*, the standard of proof to be taken into account in all cases shall be that of 'balance of probability'.

1.8 Hearings by a Student Discipline Panel and a Student Discipline Appeals Panel shall be held in closed session.

1.9 Disciplinary procedures started prior to a student's registration end date may continue after the registration end date and must normally be concluded prior to any degree or award being conferred.

1.10 ***Students who withdraw from the University***

(i) Where a student withdraws from the University at any point during the processes set out in these *Disciplinary Procedures* (except where a student has submitted an appeal to the Senate Student Discipline Appeals Committee, in which case the matter shall be referred to the Chair of that Committee) the matter shall be referred to the Chair of the Senate Student Discipline Committee. This shall include situations in which the University deems, due to non-response to communication that a student has *in fact*, although not in writing, withdrawn him or herself from the University. In such cases, the Chair of the Senate Student Discipline Committee (or the Chair of

the Senate Student Discipline Appeals Committee, as relevant) shall determine whether consideration of the case against the student should proceed.

(ii) In the event that the Chair determines that the case should proceed in these circumstances, but at any point in its consideration a decision cannot be reached (for example due to the non-engagement of the student in the process), consideration of the case may be suspended. Where consideration of a case is suspended in this manner, the University may refuse admission to any programme of study or the provision of any other service to the student concerned until consideration of the suspended disciplinary case is properly concluded.

(iii) The University will normally require the proper conclusion of a suspended case where it deems it necessary in order to safeguard (1) its own staff, students and property; (2) any members of the public (in particular patients, children and vulnerable adults) affected or potentially affected by the breach(es) in question; or (3) the codes of practice and/or standards established by professional, regulatory or statutory bodies. It will also enforce this provision concerning suspended consideration of cases where students withdraw in other circumstances, where it considers there is good cause to do so.

2 Disciplinary Powers

This paragraph explains the powers of various University bodies, Officers and other role-holders in relation to the operation of these disciplinary procedures.

2.1 *The Senate*

2.1.1 By the provisions of the University Charter (Provision 7) the Senate has responsibility for the 'regulation and supervision of the education and discipline of students'. The responsibility of students is set out in the University Legislation. In the event that a student withdraws prior to the application of or during disciplinary proceedings, the University may nevertheless proceed with the case in accordance with these Disciplinary Procedures where the Chair of the Senate Student Discipline Committee considers it necessary for the proper functioning of the University that such proceedings should be brought or be continued in accordance with the provision of Paragraph 5.26 below.

2.1.2 The Vice-Chancellor (or if absent or by reasons of conflict, a Pro-Vice-Chancellor) may act on behalf of Senate as set out in Paragraph 2.2 below.

2.2 *The Vice-Chancellor*

2.2.1 The Vice-Chancellor has disciplinary powers to refuse to admit any person as a student of the University and may temporarily exclude or permanently expel any student from any class or classes, and/or from any part of the University or its precincts. The Vice-Chancellor may act on behalf of Senate in any situation which in his or her judgement

constitutes an emergency and warrants immediate action. The Vice-Chancellor has the power without prejudice to paragraph 2.5.4:

- (1) to exclude or expel a student entirely or partially from his/her programme of study and from participation in any or all of the University's activities and/or
- 2) to exclude or expel a student from any or all property owned, controlled or managed by the University pending:
 - (a) the decision of the Senate Student Discipline Committee(s) which would be convened according to these *Disciplinary Procedures* as soon as possible following such a suspension to consider the case and/or
 - (b) the outcome of any criminal proceedings.

No exclusion or expulsion under this paragraph shall take effect unless the student has been given the opportunity to make representations in person or, if the Vice-Chancellor considers that the student is unable to attend in person, in written form excepting that, in cases of great urgency, the Vice-Chancellor has the power to exclude or expel a student with immediate effect, provided that the opportunities for oral representations are provided and the matter reviewed by the Vice-Chancellor within five working days. Such representations and review will relate only to the exclusion or expulsion and not to the substantive matter giving rise to the exercise of this power. He or she shall report any such exclusion or expulsion to the Senate at its next meeting. The Senate may, if it thinks fit, terminate such exclusion or expulsion on such date (not being earlier than the date of the said meeting) as it may determine.

2.2.2 The Vice-Chancellor shall review any exclusion or expulsion made under paragraph 2.2.1 every four weeks in the light of any developments and of any written representations made by or on behalf of the student.

2.2.3 The Vice-Chancellor may authorise a Pro-Vice-Chancellor to exercise these powers on his or her behalf.

2.2.4 The Registrar & Secretary (or nominee) is authorised by the Vice-Chancellor immediately to suspend any student who is not compliant with the extant requirements of the United Kingdom Border Agency (UKBA) with regard to Visa legislation and associated monitoring regimes. The obligation upon students to ensure compliance with UKBA requirements is detailed in General Regulation 13. Suspensions enacted under this regulatory provision shall not be subject to the constraints detailed at 2.2.2 above, but shall be subject to review only on receipt of evidence that the student has returned to full compliance with the requirements of UKBA.

2.3 *Office of the Dean of Students*

2.3.1 The Dean of Students has overall responsibility to the Senate for the welfare and discipline of students under the General Regulations **except for** academic discipline under the following General Regulations and related policies and procedures or as otherwise stated:

- (i) (i) General Regulation 1(4) (Obligations with regard to provision of information); 13 (Attendance, Engagement and Progress,); 14 (Professional Misconduct and/or Unsuitability); 15 (Conduct in Research); 17 (2)(q) (Conduct of Examinations and Course Tests); and 18
- (ii) (Plagiarism and/or collusion; and
(ii) cases that are referred to the Professional Misconduct and/or Unsuitability Panel (General Regulation 14).

2.3.2 Other than the exceptions noted in 2.3.1 above, the Dean of Students has overall responsibility for discipline in matters of principle and policy but shall delegate executive functions on a day-to-day basis and in all specific cases to the Disciplinary Officer - see paragraph 2.5 below.

2.3.3 Any incident which may constitute a breach of the University's Legislation (with the exception of matters of academic discipline or as otherwise stated, as noted in 2.3.1 above) shall be reported initially to the Senior Resident Tutor or deputised officer in his/her absence (being a member of the Office of the Dean of Students) who shall make enquiries as he /she sees fit. The Senior Resident Tutor or deputised officer shall have the power to access and process personal data for the purpose of the investigation. If the Senior Resident Tutor or deputised officer considers that there may be a case to answer, s/he may refer the matter to:

- (i) the University's Head of Security (if the incident involves a potentially criminal offence) – see paragraph 2.4 below;
- or** (ii) the Disciplinary Officer appointed by the Senate – see paragraph 2.5 below.

2.4 *Head of Security*

2.4.1 Any incident involving a student where a potentially criminal offence may have occurred may be investigated by the University's Head of Security (or such other officer as may be assigned responsibilities for security matters) subject to:

- (i) procedures set out in Notes of Guidance on the Conduct of Disciplinary Procedures;
- and** (ii) a Protocol with the police as approved by the University from time to time.

The Head of Security (or other such officer as may be assigned to the investigation) shall have the power to access and process personal data for the purpose of the investigation. If appropriate, the Head of Security shall make both documents available in advance to the student concerned.

2.4.2 The results of any investigation may be made known to the University's Disciplinary Officer via the Senior Resident Tutor and, if the matter is confirmed as a potentially criminal offence, to the police in accordance with the Protocol.

2.5 *Disciplinary Officer*

2.5.1 The Disciplinary Officer is appointed by the Senate and has the power to investigate, hear and determine any case which has been referred to him or her in accordance with these *Disciplinary Procedures*. The Disciplinary Officer shall have the power to access and process personal data for the purpose of the investigation. The Disciplinary Officer may at his/her discretion:

- (i) decide to hear and determine the case in person if the Disciplinary Officer considers the matter to concern a potentially minor breach of University Legislation falling under the responsibility of the Dean of Students' Office;
or
- (ii) refer the matter - with or without a prior interview of the student - to the Senate Student Discipline Committee; and/or
- (iii) refer the matter for consideration by the University with respect to the Licence/Assured Tenancy Agreement.

2.5.2 The Disciplinary Officer shall not normally hear or refer under these Procedures any case involving a breach of University Legislation arising (or which he or she has good reason to consider arises) from disability (including mental ill-health) unless requested to do so by the Dean of Students. The Dean of Students shall first take appropriate specialist medical advice before deciding the appropriate course of action in such cases.

2.5.3 If the University, acting solely in its role of landlord of residential accommodation, takes action against a student alleged to have contravened the Licence/Assured Tenancy Agreement to occupy accommodation, disciplinary proceedings under this Code may still be brought against the student where, in the opinion of the Disciplinary Officer, it is necessary for the proper functioning of the University that such proceedings should be brought.

2.5.4 If a student is alleged to have committed a regulatory breach as described in Section 1, and this act would also constitute an offence for which the student could be prosecuted before a court of law, then the Disciplinary Officer may take action under these Procedures where:

- i) the offence under the criminal law would be considered to be not serious and no criminal proceedings are being, or in the opinion of the Disciplinary Officer, are likely to be, brought against the student in respect of that offence. If, after proceedings against a student have been commenced under these Disciplinary Procedures, any criminal proceedings are commenced against the student in respect of the same incident, the disciplinary proceedings shall

- normally be suspended to await their outcome (including any appeal therefrom);
- (ii) in the case of all other offences under the criminal law, the matter has been reported to the police and either a decision to prosecute and such prosecution is concluded, or a decision not to prosecute has been taken.

If either of the conditions in 2.5.4 (i) or (ii) apply, disciplinary action under these Procedures in respect of the incident may then be taken where, in the opinion of the Disciplinary Officer, it is necessary for the proper functioning of the University so to do.

Where action is instituted under these Procedures:

- (i) it shall not be necessary for any party to prove again any fact already established in the criminal or civil proceedings;
- (ii) where a conviction has already occurred in a court of law in respect of the same facts, the court's penalty shall be taken into consideration in determining any penalty under these Procedures;
- (iii) where a student has been acquitted of an offence before a court, action under these Procedures may still be taken in relation to any other disciplinary aspects of the incident involving that offence;

2.6 *The Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee*

- 2.6.1 The Senate has established a Senate Student Discipline Committee and a Senate Student Discipline Appeals Committee (referred to in these Procedures as 'the student discipline committees'), which have responsibilities for matters relating to student discipline as set out in their terms of reference.

SECTION B: NON-ACADEMIC DISCIPLINE PROCEDURE

Section B is currently under review

This section sets out what happens where there is evidence that a student may have committed a breach of University Legislation which is considered to be non-academic.

- 3.1.1 The Disciplinary Officer shall hear cases in accordance with provisions set out in Notes of Guidance on the Conduct of Disciplinary Procedures which he or she shall make available to the student concerned in advance of the hearing. A written summons to a hearing shall be sent to the student required to appear before the Disciplinary Officer stating;
- (i) the alleged offence
 - (ii) the written evidence available relating to the alleged offence (and providing a copy of that evidence)
- and (iii) the date, time and place of the meeting

and (iv) the right of the Disciplinary Officer to reach a decision regarding a breach of the regulations and summarily to apply a penalty not exceeding £500 or other penalty in the student's absence, if having been properly summoned, the student fails to appear without good reason.

3.1.2 The Disciplinary Officer may in the summons give notice of the penalty for the breach on the evidence available which shall be applied should the student either not respond to the summons or waive their right to the hearing.

3.1.3 The summons shall be delivered to the University's email address and contact address at least 5 working days (Saturdays, Sundays and University closure days excepted) before the hearing.

3.2.1 Any student who contacts the Disciplinary Officer to state that he/she wishes to meet with the Disciplinary Officer on a time and date earlier than that given in the summons is deemed to have consented to waive the requirement that a hearing is held at least five working days ((Saturdays, Sundays and University closure days excepted) after the date of the summons. A student may waive their right to a hearing, in which case they accept the penalty stated in the written summons or consent for the Disciplinary Officer to summarily apply a fine not exceeding £500 or other penalty.

3.2.2 Students who respond after the forty-eight hour time-limit as defined in General Regulation 9 shall be dealt with at the discretion of the Disciplinary Officer and will be deemed to have breached General Regulation 9 which breach shall be taken into account by the Disciplinary Officer.

3.2.3 Students who fail to respond to the summons as directed by the Disciplinary Officer and in accordance with the requirements of General Regulation 9 before the time and date of the hearing shall be deemed to have:

- (i) accepted the summons and consented to appear as required and to have breached General Regulation 9
- or (ii) where the Disciplinary Officer gave notice of the penalty in accordance with Regulation 3.1.1 of this Disciplinary Procedure, accepted the penalty stated in the written summons.

3.2.4 If a student fails to appear at the hearing having been properly summoned, he/she shall be deemed to have breached General Regulation 13 (2) which breach shall be taken into account by the Disciplinary Officer.

3.3 The student shall have the right to be accompanied by friend, colleague or representative, provided that the Disciplinary Officer is informed of this and of the identity and standing of any friend, colleague or representative at least two working days before the interview (Saturdays, Sundays and University closure days excepted).

It is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the interview. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf. The Disciplinary Officer may be accompanied by a note taker.

- 3.4 The Disciplinary Officer may
- (i) exonerate the student; or
 - (ii) if finding that there has been a regulatory breach, impose a fine not exceeding £500, or other penalty, taking into account an assessment of the student's intent in the commission of the regulatory breach and any mitigating considerations; or
 - (iii) refer the matter - without a prior interview of the student if the Disciplinary Officer considers it reasonable in all the circumstances - to the Senate Student Discipline Committee; or
 - (iv) refer the matter for consideration by the University with respect to the Licence/Assured Tenancy Agreement.
- 3.5 The Disciplinary Officer shall notify the student in writing of the decision and any penalty imposed within five working days of the hearing. The Disciplinary Officer shall at his or her sole discretion and depending upon the nature of the regulatory breach copy the notification of penalty to the Head (and, if applicable, to the Senior Adviser) of the student's School and to the student's Adviser or Supervisor.
- 3.6 A student whose case is determined by the Disciplinary Officer and who has been informed of the decision of the Disciplinary Officer may in certain circumstances submit an appeal against the decision, as set out in the appeals procedure in Section D below. Where the student did not attend or waived their right to a hearing, the student should seek a hearing with the Disciplinary Officer before submitting an appeal.

SECTION C: SENATE STUDENT DISCIPLINE COMMITTEE AND SENATE STUDENT DISCIPLINE APPEALS COMMITTEE

Section C is currently under review

This section sets out the rules concerning membership of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee and how individual cases are heard by Panels established from amongst the members* of these Committees.

*(There are some exceptions for specific kinds of offences and these are set out below.)

4 Membership of the Senate Student Discipline Committee and Senate Student Discipline Appeals Committee

- 4.1 The membership of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee is set out in the Appendix to this policy.
- 4.2 The Vice-Chancellor shall not sit on either of the student discipline committees.
- 4.3 A Pro-Vice-Chancellor is eligible for appointment by the Senate to either of the discipline committees, although a Pro-Vice-Chancellor who has acted for the Vice-Chancellor in accordance with paragraph 2.2.2, or otherwise has prior involvement in a case, shall not sit on any committee or Panel convened to hear that case in accordance with paragraph 5.1 below.
- 4.4 Neither the Dean of Students nor any member of the Office of the Dean of Students is eligible for membership of either of the Senate student discipline committees.
- 4.5 The Student Officers of the Union of UEA Students and the President of the Graduate Students' Association are not eligible for membership of any of the student discipline committees.
- 4.6 Any member of a Student Discipline Panel or a Student Discipline Appeals Panel who considers that there is or there is the appearance of a conflict of interest or compromise in their serving on a particular Panel shall notify the Chair of the Senate Student Discipline Committee or Senate Student Discipline Appeals Committee as relevant. The Chair shall then seek approval from the Chair of Senate for a suitable replacement.
- 4.7 The Secretary of the Senate Student Discipline Committee and of the Senate Student Discipline Appeals Committee shall be the Registrar and Secretary or his or her representative. The Secretary shall act as note-taker and shall advise the Chair and members of the Senate Student Discipline (Appeals) Committee regarding procedural matters.
- 4.8 Allegations against individual students or groups of students which are referred to the Senate student discipline committees for consideration in accordance with the policies and procedures of the University shall be considered by panels drawn from members of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee as appropriate, which shall be convened in accordance with this Policy.

5 Student Discipline Panels

This section describes how Student Discipline Panels operate.

- 5.1 Student Discipline Panels are appointed from the membership of the Senate Student Discipline Committee, and where provided for under this Policy, from other appropriately-qualified persons, to hear allegations relating to student discipline, including allegations arising from professional misconduct and/or unsuitability.
- 5.2 Where the disciplinary policies and procedures of the University prescribe that a case should be heard by a Student Discipline Panel, a statement of the allegations against the student and all relevant supporting documentation shall be forwarded by the relevant Head of School or other member staff to whom this task has been delegated by the Head of School or by the Disciplinary Officer to the Secretary of the Senate Student Discipline Committee. The student shall be informed in writing by the Secretary of the Senate Student Discipline Committee that a referral to a Senate Student Discipline Panel has been made and that a hearing will be convened, subject to the provisions of Paragraph 5.5 below.
- 5.3 Where the statement of allegations involves more than one student, the Chair of the Senate Student Discipline Committee shall determine whether the cases should be heard by individual hearings of Student Discipline Panels or by a single hearing by one Panel for all the students. In the event of a single hearing for multiple students, the Chair shall determine any variations to these procedures which shall be required.
- 5.4 Where the allegations concern the attendance, engagement and/or progress of the student, the report of the Head of School shall include: the dates of any previous Formal Warnings; details of the student's academic performance in response to those warnings; in the case of a student who is referred to the Committee on the ground that his or her attendance is unsatisfactory, an appropriate attendance record certified by the members of faculty concerned; and any medical certificates and/or statements already submitted by the student. The Head of School may include a statement from the student's Adviser or any other member of faculty.
- 5.5 The Chair of the Senate Student Discipline Committee shall review each case received under these procedures in order to determine whether:
 - (i) the case should proceed to a hearing; or
 - (ii) a decision on the case can be reached by the Chair of the Senate Student Discipline Committee based on the papers in respect of allegations of use of unfair means in examinations or course tests that have been assessed as a Level 2 offence (General Regulation 17 (2))

(q) of the General Regulations for Students refers) and of cases relating to attendance, engagement and progress (General Regulation 13 (7) refers); or

(iii) other procedures for the consideration of the allegations have not yet been exhausted and/or that serious extenuating circumstances have come to light that were not known to the School or appear not to have been taken fully into consideration, in which circumstances, the case should be referred back to the relevant Head of School or the Disciplinary Officer for further action. Consideration of any case referred to a Head of School or the Disciplinary Officer in this way shall normally be completed within 15 working days (Saturdays and Sundays and University closure days excepted).

If a decision is taken that the case may be decided on the papers, a student may still request that this/her case be considered by a hearing before a Student Discipline Panel and any such request shall be accepted. (Paragraph 5.10 below sets out what information a student who is summoned before a Senate Student Discipline Panel, shall receive).

If the Chair proceeds to the determination of a case on the papers in accordance with paragraph 5.5 (ii) above, the Chair may reach a verdict and impose a penalty in respect of the allegations. In these circumstances, a student may appeal against the verdict and/or penalty to the Senate Student Discipline Appeals Committee (see Section D, paragraphs 7.1 to 7.22).

5.6 For each case that proceeds to a Senate Student Discipline Panel, the Chair of the Senate Student Discipline Committee shall confirm the mode of each hearing and approve the Chair and members of the Student Discipline Panel to hear the case, drawn from the members of the Senate Student Discipline Committee. The Secretary to the Senate Student Discipline Committee shall identify a Secretary to the Panel on behalf of the Registrar and Secretary (or nominee).

5.7 A Student Discipline Panel shall be convened in the mode most appropriate to the allegation(s) presented. The mode in which a Panel shall normally be convened is:

- **Mode A:** for cases arising under General Regulations 1, 8, 10, 11, 12, 19, 21, 22, 23, 24, 25 and 26; ;
- **Mode B:** for cases arising under General Regulations 13; 15; 16 17 (*concerning matters of academic assessment under the procedures relating to breaches of examination and course test regulations*); and 18

and

- **Mode C:** for cases arising under General Regulation 14 .

5.8 Wherever possible, one Panel will be convened to give a full hearing and determine penalties relating to the allegations presented against a

student. A panel convened in Mode C may, in addition to considering matters relating to professional misconduct and/or unsuitability, consider allegations and determine penalties relating to General Regulations 1, 8, 10, 11, 12, 13, 17, 18, 19, 21, 22, 23, 24, 25 and 26..

- 5.9 Additional information on the policies and procedures associated with each mode is set out in this policy and its appendices. Further information about the conduct of disciplinary meetings is also available at:

<http://www.uea.ac.uk/learningandteaching/documents/discipline/ProcedureforDealingwithAllegationsofPMU>

Notification to students and Schools concerning hearings of Student Discipline Panels (all modes)

- 5.10 The Secretary to the Panel shall send to any student required to appear before a hearing of a Student Discipline Panel a written summons stating:

- (1) the nature of the allegation, mode and membership of the Panel;
- (2) the name of the person, if any, who will present the case against the student and, as far as practicable, the names of any witnesses who are already expected to be attending the hearing;
- (3) the date, time and place of the hearing;
- (4) the information on the order of proceedings in hearings as set out in this policy;
- (5) the right of the Panel to proceed in the student's absence if, having been properly summoned, he or she fails to appear without providing prior good reason for absence. The decision of the Chair of the Panel as to whether to proceed in the student's absence shall be final.

- 5.11 The Secretary shall also enclose with the summons a full set of the documentation provided by the relevant Head of School or Officer concerning the alleged offence(s) which will be considered by the Panel.

- 5.12 The summons shall be delivered to the student's University email address and contact address at least:

- (i) For Cases being heard in Mode A or Mode B, 5 working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel.
- (ii) For Cases being heard in Mode C, 20 working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel.

- 5.13 A copy of the summons shall be sent to the Head and to the Senior Adviser of the student's School and to the student's Adviser or Supervisor.

General considerations for Hearings (all modes)

- 5.14 The Panel shall hear the case in accordance with provisions set out in the Notes of Guidance on the Conduct of Disciplinary Procedures which shall be made available in advance to the parties concerned. The ruling of the Chair on any point of procedure shall be final.
- 5.15 Where he or she determines that the nature of the case requires it, the Chair of the Panel may require the attendance of a Head of School, or of the Disciplinary Officer, or of another member of academic or non-academic staff (as appropriate) to present the case against the student.
- 5.16 If the student wishes, he or she may, prior to the hearing, provide to the Secretary a statement concerning the allegations presented against him or her and/or such additional written evidence as he or she considers is relevant to the case. Students are advised that information presented, including information relating to any personal or other circumstances which they consider are relevant to the case ('mitigating circumstances'), should wherever possible be supported by documentary evidence.
- 5.17 The Chair of the Panel may request or admit as evidence any additional written information which he or she deems relevant to the case.
- 5.18 All written evidence made available to the Panel will also be made available to the student and (where applicable) the person (if any) presenting the case against the student, wherever possible in advance of the hearing. The Panel may determine that some or all of the written evidence should be made available to each witness. The Chair may determine that a hearing should be postponed or adjourned if any written evidence is supplied without sufficient notice for it to be circulated and properly considered by all relevant parties.
- 5.19 The student required to appear before the Panel, the person (if any) presenting the case against the student, and the Chair of the Panel, may nominate witnesses to attend the hearing. The role of a witness is to inform the Panel's deliberations and the Chair of the Panel's decision as to whether to accept a nomination is final. Where practicable, the Secretary to the Panel shall inform all parties of the identity of any witnesses in advance of the hearing. It is the responsibility of the party calling the witness to ensure their attendance at the hearing, except where the witness is a member of the public. If the witness is a member of the public (being neither a student nor member of staff of the University) the party calling the witness must inform the Secretary as soon as possible. The Secretary will issue an invitation to attend, making clear who has requested their evidence and explaining the procedures. The Panel reserves the right to proceed in the absence of any witness and the ruling of the Chair of the Panel in this matter shall be final.

- 5.20 The ruling of the Chair of the Panel shall be final on the admission of all evidence for consideration by the Panel, including the admission of written evidence and of oral evidence from witnesses or other parties at the hearing. This shall include the power to refuse to admit evidence or hear witnesses on the basis of lack of relevancy.
- 5.21 The student required to appear before the Panel and any person presenting the case against the student shall have the right to be accompanied by a friend, colleague or representative provided that the Secretary is informed of this intention and of the identity and standing of any friend, colleague or representative at least two working days before the hearing. Any friend, colleague, or representative must have no connection with the allegations and thus no material interest in the matter. Where practicable, the Secretary to the Panel shall inform all parties in advance of the hearing of the identity of any friend, colleague or representative who will be in attendance. However, it is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the hearing. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf.
- 5.22 A hearing by a Student Discipline Panel shall be held in closed session.

Order of proceedings for hearings (all modes)

- 5.23 The hearing shall proceed as follows:
- i) the person (if any) presenting the case against the student shall set out the allegations and evidence in the case, answer questions from the Panel and student, and may call witnesses;
 - ii) the student (or person representing him or her) shall respond to the disciplinary charge(s) against him or her, answer questions from the Panel and the person (if any) presenting the case against him or her relating to the case, and may call witnesses;
 - iii) the Panel may call any witnesses not called by the other parties.
 - iv) the presentation of any closing statement by the person (if any) presenting the case against the student;
 - v) the presentation of any closing statement by the student (or person representing him or her).
- 5.24 All parties shall have an opportunity to ask questions through the Chair of all witnesses called.

Adjournment and reconvening of hearings of Student Discipline Panels (all modes)

- 5.25 The Chair of a Student Discipline Panel may, if he or she determines that there is good cause, adjourn a hearing for a period of not normally more than ten working days. Where a hearing is adjourned, the Secretary to the Panel shall notify all parties in writing (in the case of the student summoned before a Student Discipline Panel, via his or her University email address and contact address) of the date, time and place of recommencement of the hearing, giving notice of at least two working days (Saturdays, Sundays and University closure days excepted). A reconvened hearing may proceed in the absence of the student if the Chair is satisfied that due notice has been served of the recommencement.
- 5.26 Where the Chair of a Student Discipline Panel determines that the mode in which the Panel has been convened is not competent to hear the case presented at a hearing, he or she shall adjourn the hearing without reaching a judgement and refer the matter to the Chair of the Senate Student Discipline Committee. The Chair of the Senate Student Discipline Committee may determine that a new Panel is convened in another mode for the case to be reheard. Members of the original Panel may be appointed to the new Panel with the written agreement of the student.

Outcomes of hearings and treatment of mitigating circumstances: general considerations (all modes)

- 5.27 On the basis of the evidence available to it, a Student Discipline Panel may:
- (1) exonerate the student from the allegations presented against him or her;
 - (2) determine that, on the balance of probabilities, the student committed wholly or in part the alleged offence(s) and proceed to consider the appropriate penalty under Appendix 3 below.
- 5.28 Having reached a decision regarding commitment wholly or in part of the alleged offence(s), a Senate Student Discipline Panel will take into account its assessment of the level of offence in determining the penalty, having regard to indicators including the student's intention in the commitment of the regulatory breach, the severity of the breach, whether previous disciplinary breaches have occurred (of the same or of a different type) and the level of study of the student. Having determined the penalty which should be imposed for an offence, a Senate Student Discipline Panel may take into account any mitigating circumstances presented by students in explanation of their actions or circumstances, and vary the penalty if it deems it appropriate.

- 5.29 Where any penalty determined by a Panel requires or implies a concession or exemption under the University's regulations, this will be subject to approval by a Pro-Vice-Chancellor and the relevant Director of University Services.
- 5.30 The Panel shall normally inform the student in writing of its decision within five working days, giving reasons for its decisions, and shall copy this communication to the Head and to the Senior Adviser of the Student's School, the student's Adviser or Supervisor and the person (if any) presenting the case against the student at the hearing.
- 5.31 Where, in the opinion of a Senate Student Discipline Committee, a member of staff has acted inappropriately during a student disciplinary investigation which may have affected the student's behaviour during the investigation, the Chair of the Senate Discipline Committee shall inform the Head of School or Head of Division as relevant of this issue. The Dean of the relevant Faculty for staff falling under the Faculty's responsibility or the Registrar and Secretary (or nominee) for other staff shall also be copied into the communication between the Chair of the Senate Discipline Committee and the relevant Head of School/Head of Division. Subsequently, the Head of School or the Head of Division shall investigate the matter in accordance with relevant University procedures with advice from the Human Resources Division, informing the Dean of Faculty or Registrar and Secretary (or nominee) of the outcome of the investigation.

Outcomes relating to cases of professional misconduct and/or unsuitability (Mode C)

- 5.32 The following additional provisions apply to the outcomes to cases of professional misconduct and/or unsuitability (Mode C):
- 5.33 A Panel meeting in Mode C may determine that a student is guilty of professional misconduct and/or of professional unsuitability. In addition, it may determine that a student has contravened any of the University's regulations or policies relating to academic or non-academic discipline.
- 5.34 The Panel shall have the power temporarily to suspend or permanently to exclude from further study in the University any student it finds guilty of professional misconduct and/or of professional unsuitability. In addition, the Panel may impose any penalties with regard to academic or non-academic disciplinary offences which are in accordance with this policy. Permanent exclusion shall mean an interval of at least seven years before the University will consider any subsequent application for re-admission to the University and only then with the express permission of the Vice-Chancellor.
- 5.35 Where a the student is found guilty of professional misconduct and/or professional unsuitability, by a Panel the Head of the School in

consultation with the relevant Director of University Services shall decide whether a report should be made to the relevant professional, statutory or regulatory body.

Outcomes relating to cases of misconduct in research (Mode B)

5.36 The following additional provision applies to the outcomes to cases of misconduct in research Mode B:

As appropriate, a Panel, in addition to determining that a penalty should be applied in accordance with these Procedures, may recommend to the Registrar and Secretary (or nominee) that a report is made to an external body, which may include a professional body, a research ethics committee external to the University, or an employer.

SECTION D: APPEALS AGAINST THE OUTCOMES OF STUDENT DISCIPLINARY HEARINGS

Section D is currently under review

This section describes how a student may appeal against decision(s) made by the Disciplinary Officer and a Senate Student Discipline Panel. A student may decide to withdraw an appeal at any point during the appeal process, providing the relevant Director of University Services is notified in writing before the date of any appeal hearing.

6.1 Appeals Procedure relating to decisions made by the Disciplinary Officer

(See Section B, paragraphs 3.1 to 3.6)

6.1.2 Purpose

- (i) The Appeals Procedure comprises two parts: Stage One, in which the Dean of Students considers the appeal against a decision made by the Disciplinary Officer and Stage Two, which a Student may follow if dissatisfied with the outcome of the Stage One appeal. Stage Two appeals are considered by the relevant Director of University Services who may refer the appeal for further investigation.
- (ii) A decision by the Disciplinary Officer to refer a case to the Senate Student Discipline Committee may not be appealed against. An appeal against the outcome and penalty given by the Senate Student Discipline Committee would be considered at the Senate Student Appeals Committee. (See Disciplinary Procedures in Section 7 below).

* Students studying at UEA or registered for UEA programmes and based at UEA London or at Affiliated Institutes and students on validated, jointly validated or franchised at Associate Colleges/Partner Institutions wishing to

submit an appeal arising from Disciplinary Proceedings should use the relevant procedures at their place of study.

6.2 *Reason(s) for appeal*

Grounds for bringing an appeal are:

- correct procedure was not followed which undermined the validity of the verdict;
- prejudice and/or bias and/or the appearance of prejudice and/or bias on part of the Disciplinary Officer, Dean of Students or the relevant Director of University Services affected the verdict;
- evidence put forward was not fully and properly considered;
- new evidence or information has come to light that has not previously been considered;
- the student's behaviour was adversely affected by extenuating circumstances that were not taken into account or not fully taken into account.

A student may appeal against the verdict (i.e. that there was a disciplinary breach) and/or the penalty and must state in their case:

- a) whether the appeal is against the verdict; the penalty; or both;
- b) the grounds for bringing the appeal (which must relate to one or more of the above);
- c) the evidence in support of the appeal.

Stage One Appeal

6.3 *How a student submits a Stage One appeal*

- (i) A student must submit a completed Stage One Appeal Form (and any supporting evidence) to the relevant office as listed at the end of the form. Forms are available <https://www.uea.ac.uk/learningandteaching/documents/disciplin> or from the listed offices. All evidence previously submitted to the Disciplinary Officer by the Student will be provided to the Dean of Students under paragraph 3. 5. No evidence submitted can be anonymous;
- (ii) A student may decide to withdraw a Stage One appeal, providing the Dean of Students is advised in writing before a decision has been made.

6.4 *Response to the appeal*

- (i) The Dean of Students is responsible for responding to an appeal. If the Dean of Students is part of the subject of the appeal, or has been involved during the investigation phase of

the case, or is otherwise in a conflict of interest, a suitable substitution will be made by the Dean of Students' Office. Notwithstanding this provision, for ease of reference the person responsible for responding to the Appeal will be called the Dean of Students hereafter in this Procedure;

- (ii) The Dean of Students may delegate the initial investigation of an appeal to one or more members of the Dean of Students' staff who do not have a conflict of interest with respect to the appeal. In all cases the Dean of Students will retain responsibility for the decision reached at Stage One and will act in accordance with subsequent sections of the Appeals Procedure where required;
- (iii) The Dean of Students will determine whether the appeal meets one or more of the grounds set out in paragraph 6.2 above. The investigation having been completed, the Dean of Students will decide whether the decision of the Disciplinary Officer should be reviewed, whether any other action should be taken, whether the case should be referred back to the Disciplinary Officer, or whether the appeal should be rejected. The decision of the Dean of Students and the reason(s) for it will be communicated to the Student in writing;
- (iv) With limited exceptions (for example, where information cannot be disclosed because of the University's obligations under the Data Protection Act), all written material considered by the Dean of Students under this procedure will be accessible to the Student as accompanying evidence to the decision of the Dean of Students. In the first instance, the evidence will take the form of a list of the documents considered, included with the Dean of Students' response to the student. The following documents would normally be considered as evidence:
 - Stage One Appeal Form and any additional accompanying evidence submitted by the student;
 - statement from the Disciplinary Officer;
 - any original case evidence presented to and considered by the Disciplinary Officer;
 - statements from other appropriate parties;
- (v) The student may request in writing to the Dean of Students, a copy of the evidence considered;
- (vi) Each appeal will normally be considered individually, (though depending on circumstances, where a series of appeals involve the same incidence or individual(s), the University may consider such appeals collectively, subject to any confidentiality requirements).

6.5 *Timescales for Stage One*

- (i) The student must submit the completed Appeal Form and any supporting documents to the Dean of Students within 10 working days of the notification of the verdict/penalty. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email address.) Appeals submitted after this deadline with good reason for the delay may still be considered. The student should contact the Dean of Students if s/he is unable to meet this deadline in advance of its expiry. Disputes about whether an appeal submitted after the deadline should be accepted should be referred to the relevant Director of University Services.;
- (ii) The Dean of Students must advise the student of the outcome of the investigation into the Stage One appeal in writing within 15 working days of receipt of the Appeal Form, or advise the student within that time if more time is needed for referral or investigation.

6.6 *Actions and outcomes*

- (i) The Dean of Students, having considered the appeal may:
 - (a) confirm the decision and the penalty of the Disciplinary Officer;
 - (b) confirm the decision but require the Disciplinary Officer to reconsider the penalty (in so doing, the student shall not receive a harsher penalty);
 - (c) reject the decision;
- (ii) The Dean of Students will notify the student of the outcome of Stage One giving a full and clear explanation of the decision. The student may request a meeting with the Dean of Students to discuss the outcome;
- (iii) A student who is not satisfied with the outcome of the Stage One appeal may decide to move to Stage Two of the Appeals Procedure as described below under paragraphs 6.7 – 6.10 below.

Stage Two Appeal

6.7. *How a student submits a Stage Two appeal*

- (i) For a Stage Two appeal to be considered there must be at least one of the following grounds:
 - correct procedure was not followed in the conduct of the Stage One appeal;

- there was prejudice and/or bias and/or the appearance of prejudice and/or bias in the conduct of the Stage One appeal;
 - evidence put forward at Stage One was not fully and properly considered;
 - new evidence or information has come to light that was not known to the Disciplinary Officer or to the Dean of Students who investigated the original appeal;
 - the student's behaviour was adversely affected by extenuating circumstances that were not taken into account or not fully taken into account by the Disciplinary Officer or by the Dean of Students who investigated the original appeal;
- (ii) A student must submit a completed Stage Two Appeal Form (and any supporting evidence) to the relevant Director of University Services. Forms are available at: <https://www.uea.ac.uk/learningandteaching/documents/discipline> or from the listed offices. No evidence submitted can be anonymous;
- (iii) A student may decide to withdraw a Stage Two appeal, providing the relevant Director of University Services is advised in writing before a decision has been made.

6.8 *Response to the appeal*

- (i) The relevant Director of University Services is responsible for responding to a Stage Two appeal and will check whether the appeal meets at least one of the conditions in paragraph 6.7 above. If the student is part of the subject of the appeal or has been involved during the investigation phase of the case, or is otherwise in a conflict of interest, a suitable substitution will be made by the Registrar and Secretary (or nominee). Notwithstanding this provision, for ease of reference, the person responding to the appeal will be called the Director of University Services hereafter in this Procedure;
- (ii) If the appeal is accepted solely on the grounds that there is evidence that there was procedural irregularity in the conduct of the Stage One appeal, the relevant Director of University Services will refer the appeal back to the Stage One process;
- (iii) An appeal which the relevant Director of University Services does not believe meets any of the grounds for appeal specified at Paragraph 6.7 will be referred to one of the Learning and Teaching Academic Directors (normally the Director of Taught Programmes/Postgraduate Research Degree Programmes). The Director will review the decision and the student will be informed of the outcome within 15 working days of receipt (by

the relevant Director of University Services). If the appeal is rejected, this decision is final and there is no further right appeal in the University. Paragraph 6.11 below refers to how a complaint can be pursued outside the University;

- (iv) If the appeal is accepted on grounds other than or in addition to procedural irregularity, and, in the judgement of the relevant Director of University Services in consultation with the Academic Director of Taught Programmes or the Academic Director of Postgraduate Research Degree Programmes as appropriate, the evidence warrants (if for instance new information has been provided), the relevant Director of University Services may reconsider the Stage One decision, proceeding as in Paragraph 6.4 (with the relevant Director of University Services replacing the Dean of Students in the consideration). In such a case, the student will retain the right to proceed to a Stage Two hearing of his or her appeal should s/he be dissatisfied with the outcome;
- (v) If the appeal is accepted on grounds other than on or addition to procedural irregularity and the provisions of paragraph 6.8 (iv) above do not apply, the appeal will proceed to Stage Two;
- (vi) The relevant Director of University Services may delegate investigation of an appeal to one or more members of staff who do not have a conflict of interest with respect to the appeal. In such cases the relevant Director of University Services will retain responsibility for the decision reached at Stage Two and will act in accordance with subsequent sections of the Appeals Procedure where required;
- (vii) The appropriate Support Service will provide the relevant Director of University Services with the appeal documentation submitted by the student under Stage Two and will assist the relevant Director of University Services with an appropriate investigation. The relevant Director of University Services having completed the investigation will decide whether the decision of the Dean of Students taken at Stage One should be reviewed or whether any other action should be taken. The decision of the relevant Director of University Services and the reason(s) for it will be communicated to the student in writing;
- (viii) With limited exceptions (for example, where information cannot be disclosed because of the University's obligations under the Data Protection Act), all written material considered by the relevant Director of University Services under this procedure will be accessible to the student as accompanying evidence to the decision of the relevant Director of University Services. In the first instance, the evidence will take the form of a list of the documents considered, included with the relevant Director of

University Services's letter to the student. The following documents would normally be considered as evidence:

- Stage Two Appeal form and any additional accompanying evidence submitted by the student;
 - statement from the Disciplinary Officer;
 - any original case evidence presented to and considered by the Disciplinary Officer;
 - statement and decision from the Dean of Students;
 - statements from other appropriate parties;
- (ix) The student may request in writing to the relevant Director of University Services a copy of the evidence considered;
- (x) Each appeal will normally be considered individually, (though depending on circumstances, where a series of appeals involve the same incidence or individual(s), the University may consider such appeals collectively, subject to any confidentiality requirements).

6.9 *Timescales for Stage Two*

- (i) The student must submit the completed Stage Two Appeal Form and any supporting documents to the relevant Director of University Services within 10 working days of the notification of the result of the Stage One appeal. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email address.) Appeals submitted after this deadline with good reason for the delay may still be considered. The student should contact the relevant Director of University Services if s/he is unable to meet this deadline, in advance of its expiry;
- (ii) The relevant Director of University Services must advise the student of the outcome of the investigation into the Stage Two appeal in writing within 15 working days of receipt of the Stage Two Appeal Form, or advise the student within that time if more time is needed either for investigation.

6.10 *Actions and outcomes*

- (i) The relevant Director of University Services will notify the student of the outcome of Stage Two giving a full and clear explanation of the decision. The student may request a meeting with the relevant Director of University Services to discuss the outcome.

6.11 *Further right to appeal*

- (i) Following completion of Stage Two there is no further right to appeal within the University;
- (ii) Students who are dissatisfied with the outcome of their Stage Two appeal may complain to the Office of the Independent Adjudicator for Higher Education (OIA) (see Section F below). Details will be provided in the letter advising the student of the appeal's final outcome.

7 Appeals against (a) decision(s) made by a Student Discipline Panel.

(See Section C, paragraphs 4.1 to 5.36)

- 7.1 A student may appeal against decision(s) of a Student Discipline Panel. Any appeal must be lodged with the relevant Director of University Services within five working days (Saturdays, Sundays and University closure days excepted) of the notification of the decision(s) of the Student Discipline Panel. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email account.) An appeal will not normally be considered until a student has received a formal written statement of the decision of a Student Discipline Panel.
- 7.2 If a student decides to make an appeal, he or she must state whether the appeal is made against the finding of the Student Discipline Panel or the penalty imposed or both finding and penalty.
- 7.3 For an appeal to be considered, there must be at least one of the following grounds:
 - that evidence put to the Student Discipline Panel was not fully and properly considered;
 - that there was procedural irregularity in the conduct of the Student Discipline Panel hearing;
 - that there was prejudice and/or bias and/or the appearance of prejudice and/or bias in the conduct of the hearing by the Student Discipline Panel;
 - that the penalty imposed was excessive;
 - there is new information to be put forward that was not known to the Student Discipline Panel that for good reason was not presented to the original Student Discipline Panel;

Review of Appeals Submissions

- 7.4 The relevant Director of University Services will review each appeal received, and will check whether it has been submitted within the specified time limit or whether there is good cause to account for submission outside the specified time limit and whether or not it meets at least one of the conditions set out in paragraph 7.3 above.

- 7.5 If the appeal is accepted by the relevant Director of University Services, the student will be informed within 10 working days of receipt.
- 7.6 If the appeal is accepted by the relevant Director of University Services solely on the grounds that there is evidence that there was procedural irregularity in the conduct of a Student Discipline Panel, the relevant Director of University Services will refer the appeal to the Chair of the Senate Student Discipline Committee to remedy the procedural irregularity. Provided that there are no further procedural irregularities in this part of the process, there shall be no further right of appeal in the University. Section 9 below refers to how a complaint can be pursued outside the University.
- 7.7 If the relevant Director of University Services does not believe that the appeal meets any of the conditions set out in 7.3 above, and should therefore be rejected, the appeal will be referred to the Chair of the Senate Student Discipline Appeals Committee. The Chair will review the decision and the student will be informed by the relevant Director of University Services of the outcome within fifteen working days of receipt of the appeal form. If the rejection of the appeal is confirmed, this decision is final and there is no further right of appeal in the University. Section F below refers to how a complaint can be pursued outside the University.
- 7.8 If the appeal is accepted and proceeds to a hearing, the Chair of the Senate Student Discipline Appeals Committee shall review the appeal submission, shall confirm the mode of the appeal hearing (see paragraph 7.10 below) and approve the Chair and members to be appointed to the Student Discipline Appeals Panel, drawing these from amongst the members of the Senate Student Discipline Appeals Committee, plus additional members approved by the Chair, where appropriate, to hear the case. The mode of the hearing shall normally be the same as that of the original Student Discipline Panel. Members of the original Student Discipline Panel shall not be eligible to sit on the Student Discipline Appeals Panel considering any subsequent appeal.
- 7.9 The modes in which a Panel may be convened are:
- **Mode D:** for appeals relating to General Regulations 1, 8, 10, 11, 12, 19, 21, 22, 23, 24, 25 and 26 which were referred to a Student Discipline Panel;
 - **Mode E:** for cases arising under General Regulations 13; 15;16;17 (*concerning matters of academic assessment under the procedures relating to breaches of examination and course test regulations*); and 18
;
 - **Mode F:** for cases arising under General Regulation 14. .
- 7.10 Wherever possible, one Panel will be convened to give a full hearing to all aspects of an appeal. A panel convened in Mode F may, in addition

to considering appeals relating to professional misconduct and/or unsuitability (General Regulation 14), consider appeals relating to General Regulations 1, 8, 10, 11, 12, 13, 17, 18, 19, 21, 22, 23, 24, 25 and 26.

- 7.11 A Secretary shall be appointed to the Student Discipline Appeals Panel, who shall be the Registrar and Secretary or his/her representative. The role of the Secretary shall be as set out in 4.6 above.

Notification of students and Schools concerning hearings of Student Discipline Appeals Panels

- 7.12 The Secretary of the Panel shall send to the student required to appear before the Panel a written summons stating:

- (1) the nature and grounds of the appeal
- (2) the mode and membership of the Panel;
- (3) the name of the person, if any, who will present the case against the student and, as far as is practicable, the names of any witnesses who are already expected to be attending the hearing;
- (4) the date, time and place of the hearing;
- (5) the information on the order of proceedings in hearings set out in Paragraph 7.17 below;
- (6) the information set out in 17.15;
- (7) the right of the Panel to proceed in the student's absence or to determine that the appeal is abandoned and to confirm as a consequence the original decision without further hearing if having been properly summonsed, if the student fails to attend the hearing;
- (8) any additional evidence brought by the student forming part of his or her statement to the Senate Student Appeals Committee.

- 7.13 This summons shall be delivered to the student's pigeon-hole in his/her Faculty/School of Studies, University email address and contact address at least five working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel, or, in the case of an intercalating, registration-only, dormant or excluded student, despatched to the student's last known address at least five working days in advance. A copy of the summons shall be sent to the Head and to the Senior Adviser of the student's School and to the student's Adviser or Supervisor;

General considerations for Appeal Hearings (all Modes)

- 7.14 The student required to appear before the Panel and the person (if any) presenting the case against the student shall have the right to be accompanied by a friend, colleague or representative, provided that the Secretary is informed of this intention and of the identity and standing of any friend, colleague or representative at least two working days before the hearing. Any friend, colleague, or representative must have

no connection with the allegations and thus no material interest in the matter. Where practicable, the Secretary to the Panel shall inform all parties in advance of the hearing of the identity of any friend, colleague or representative who will be in attendance. However, it is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the hearing. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf.

7.15 The Panel shall receive all the written evidence which was before the Student Discipline Panel at the original hearing and the Secretary shall invite to appear before it all witnesses who gave evidence at the original hearing. It may also permit the presentation of such further evidence and the attendance of additional witnesses as it deems appropriate.

7.16 A hearing by a Student Discipline Appeals Panel shall take place in closed session.

Order of proceedings for Appeal Hearings (all Modes)

7.17 The hearing shall proceed as follows:

- i) the person (if any) presenting the case against the student shall set out the allegations and evidence in the case, answer questions from the Panel and student, and call witnesses;
- ii) the student (or person representing him or her) shall present his or her appeal and evidence for the appeal, answer questions from the Panel and the person (if any) presenting the University's case and call witnesses;
- ii) the Panel may call any witnesses not called by the other parties;
- iii) the presentation of any closing statement by the student (or person representing him or her);
- iv) the presentation of any closing statement by the person (if any) presenting the case against the student.

7.18 All parties shall have an opportunity to ask questions through the Chair of all witnesses called. The party calling the witness will normally ask the first questions of the witness.

Adjournment and reconvening of hearings of Student Discipline Appeals Panels (all modes)

7.19 The Student Discipline Appeals Panel, the person (if any) presenting the case or the student may request an adjournment of not normally more than ten working days, on which the ruling of the Chair as to whether to grant an adjournment, shall be final.

If the Chair determines that there is good cause, a hearing may be adjourned for a period of not normally more than ten working days. Where a hearing is adjourned, the Secretary to the Panel shall notify all parties in writing (in the case of the student summoned before a Student Discipline Appeals Panel, via his or her University email address and contact address) of the date, time and place of recommencement of the hearing, giving notice of at least two working days (Saturdays, Sundays and University closure days excepted). A reconvened hearing may proceed in the absence of the student if the Chair is satisfied that due notice has been served of the recommencement.

- 7.20 Where the Chair of a Student Discipline Appeals Panel determines that the mode in which the Panel has been convened is not competent to hear the case presented at a hearing, he or she shall adjourn the hearing without reaching a judgement and refer the matter to the Chair of the Senate Student Discipline Appeals Committee. The Chair of the Senate Student Appeals Discipline Committee may determine that a new Panel is convened in another mode for the case to be reheard. Members of the original Panel may be appointed to the new Panel with the written agreement of the student.

Outcomes of Senate Student Discipline Appeals Panels

- 7.21 Having considered all the evidence presented, the Senate Student Discipline Appeals Panel shall determine one of the following outcomes to the appeal in accordance with Appendix 4. It shall inform the student and the Presenter in writing of its decision within five working days (Saturdays, Sundays and University closure days excepted) shall copy this communication to the Head and to the Senior Adviser of the student's School, the student's Adviser or Supervisor and to the person (if any) presenting the case against the student at the hearing.
- 7.22 The decision of the Student Discipline Appeals Panel shall be final and not normally subject to further appeal within the University (see Section F below).

SECTION E: PAYMENT OF FINES

Section E is currently under review

This section explains how any fines imposed by the Disciplinary Officer, a Senate Student Discipline Panel or a Senate Student Discipline Appeals Panel are to be paid.

- 8.1 A fine imposed by the Disciplinary Officer, a Senate Student Discipline Panel or a Senate Student Discipline Appeals Panel must be paid to the Finance Office by the date prescribed by the person or body levying the fine.

SECTION F: FURTHER RIGHT TO APPEAL

Section F is currently under review

This section explains that a student may take a complaint outside the University – to the Office of the Independent Adjudicator for Higher Education – once the University's internal procedures have been completed.

- 9.1 Students who are dissatisfied with the outcome of their appeal or whose appeal was rejected without a hearing may complain to the Office of the Independent Adjudicator for higher Education (OIA). Details will be provided in the letter advising the student of the appeal's final outcome.

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APPENDICES

APPENDIX 1: MEMBERSHIP OF SENATE STUDENT DISCIPLINE COMMITTEE AND SENATE STUDENT DISCIPLINE APPEALS COMMITTEE

Chair and Members of the Senate Student Discipline Committee The Chair and members of the above Committee will serve for a period of three years. (A year after a member's name indicates that the term of office expires on 31 July of that year unless otherwise indicated) .

Chair of the Senate Student Discipline Committee

Professor Nigel Norris, EDU (2016)

Members of the Senate Student Discipline Committee, who may chair a Senate Student Discipline Panel (NB dates in brackets refer to the academic year membership finishes)

HUM

SCI

FMH

Mrs Rosie Doy, NSC (2017)

SSF

Dr Nalini Boodhoo, EDU (2017)

Mr Ian Dewing, NBS (2018)

Members (including existing members):

HUM

Dr Sanna Inthorn (2017)
Dr Rachael McLennan (2017)
Professor Andreas Musoiff (2017)
Dr Emma Long (2017)
Dr Gabrina Pounds (2017)
Dr Jeremy Noel-Todd (2017)
Dr Clive Matthews (2017)

SCI

Professor David Wright (2016)
Professor Dylan Edwards (2016)
Dr Graham Riley (2018)
Professor A. Ganesan (2018)
Professor Gary Rowley (2018)
Dr James Desborough (2018)

FMH

Ms Maggie Quinn (2018)
Ms Karen Bates (2018)
Ms Judy Barker (2018)
Dr Dominique Hubble (2018)
Mr Carl Philpott (2018)
Ms Jill Jepson (2018)
Dr V. Rodrigues (2018)
Emma Sutton (2018)

SSF

Duncan Watson (2017)
Mrs Sarah Allen (2017)
Dr Rebecca Westrup (2017)
Professor Duncan Sheehan (2017)
Ms Polly Morgan (2018)
Dr Maren Duvendack (2018)

Additional members will be appointed where a Senate Student Discipline Panel hears professional misconduct and/or unsuitability cases, in accordance with the provisions in the Disciplinary Procedures. The

Chair of the Senate Student Discipline Committee has the right to co-opt members.

Members of the Senate Student Discipline Appeals Committee

The members of the above Committee – one of whom shall be Chair – will serve for a period of three years. (A year after a member's name indicates that the term of office expires on 31 July of that year unless otherwise indicated) .

HUM

(Awaited: 2 vacancies)

FMH

Mr Rupert Wood (NSC)
(Awaited: 1 vacancy)

SCI

Dr Paul Hammerton (MTH)

SSF

Dr Sue Long (ECO)
Ms Ann McDonald (SWK)

Dr Mette Mogensen (BIO)

Additional members will be appointed where a Senate Student Discipline Appeals Panel hears professional misconduct and/or unsuitability cases, in accordance with the provisions in the Disciplinary Procedures. The Chair of the Senate Discipline Appeals Committee has the right to co-opt members.

APPENDIX 2: COMPOSITION OF SENATE STUDENT DISCIPLINE PANELS (MODES A TO C) AND OF SENATE STUDENT DISCIPLINE APPEALS PANELS (MODES D TO F)

<p>Student Discipline Panels</p> <p>Mode A Chair, one non-student member of the Senate Student Discipline Committee, one student member (normally identified from the pool nominated by the Union of UEA Students or by the Graduate Students' Association (GSA) , depending on the status of the student before the Panel. If a nomination is not able to be made by the GSA, a nomination shall be sought from the Union of UEA Students).</p> <p>Mode B Chair and two non-student members of the Senate Student Discipline Committee</p> <p>Mode C Chair, one non-student member of the Senate Student Discipline Committee, and one member of faculty with appropriate status within the relevant professional discipline (who does not need to be a member of the Senate Student Discipline Committee) and one external representative from the relevant profession in line with professional, statutory and/or regulatory body requirements where these exist.</p> <p>The Chair and members of the Student Discipline Panel shall have had no association with the teaching of the student appearing before the Panel. Wherever possible, the Panel shall be constituted with due regard to the need to ensure equality of representation.</p>
<p>Senate Student Discipline Appeals Panels</p> <p>Mode D Chair, one non-student member of the Senate Student Discipline Appeals Committee, one student (normally identified from the pool nominated by the Union of UEA Students or by the Graduate Students' Association (GSA), depending on the status of the student before the Panel. If a nomination is not able to be made by the GSA, a nomination shall be sought from the Union of UEA Students).</p> <p>Mode E Chair and two non-student members of the Senate Student Discipline Appeals Committee</p> <p>Mode F Chair, one non-student member of the senate student discipline appeals committee, one member of faculty with appropriate status within the relevant professional discipline (who does not need to be a member of the senate student discipline appeals committee) and one external representative from the relevant profession in line with professional, statutory and/or regulatory body requirements where these exist.</p>

The Chair and members of the Student Discipline Appeals Panels shall have had no association with the teaching of the student before the Appeals Panel nor shall they be the same persons who heard the original case. Where possible, the Panel shall be of mixed gender.

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APPENDIX 3: NORMAL PENALTIES OF PANELS RELATING TO MATTERS OF STUDENT DISCIPLINE

Student Discipline Panel : Mode A General Regulations relating to non-academic disciplinary matters
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A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Temporarily exclude a student, or permanently expel him or her, from further study in the University;
- 2 Temporarily exclude or permanently expel a student from the University, or any part thereof, or from any University activity;
- 3 In the event of damage to persons or property, require that such damage be made good at the expense of the student or students concerned, in whole or in part;
- 4 Impose a fine not exceeding £1000;
- 5 Where a panel determines that none of the above penalties would be appropriate, impose another appropriate penalty providing that where the penalty or exemption requires or implies a concession under University Legislation, approval shall be sought from the relevant Pro-Vice-Chancellor and the Head of the relevant central Division or the relevant Director of University Services who shall act on behalf of Senate and/or Council in deciding such requests.

Student Discipline Panel : Mode B General Regulations relating to academic disciplinary matters, misconduct in research and plagiarism and/or collusion
--

A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Temporarily exclude a student, or permanently expel him or her, from further study in the University;
- 2 Temporarily exclude or permanently expel a student from the University, or any part thereof, or from any University activity;
- 3 Determine that, as a consequence of an academic offence, a mark of zero be recorded for the whole or part of the work submitted by a student for assessment, and may in addition determine that the student be referred to reassessment (where normally permitted under the regulations governing the programme of study) and further, that the reassessment must be passed;
- 4 (For cases of misconduct in research) recommend to the Registrar and Secretary (or nominee) that a report is made to an external body, which may

include a professional body, a research ethics committee external to the University, or an employer.

- 5 Where a panel determines that none of the above penalties would be appropriate, impose another appropriate penalty providing that where the penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services who shall act on behalf of Senate in deciding such requests.

Senate will publish guidance to panels on the determination of penalties for academic disciplinary offences. This may be consulted at:

<https://www.uea.ac.uk/learningandteaching/documents/discipline/GuidanceNotesonDisciplinaryProcedure>

Student Discipline Panel : Mode C
General Regulations relating to Professional Misconduct and/or Unsuitability

A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Where a Panel finds a student guilty of professional misconduct and/or professional unsuitability under the regulations, the Head of the School in consultation with the relevant Director of University Services shall decide whether a report should be made to the relevant professional or statutory body.
- 2 On the basis of professional misconduct and/or unsuitability, a Panel may also temporarily exclude a student, or permanently expel him or her from further study in the University;
- 3 The Panel may also impose one or more of the penalties associated with Student Discipline Panels convened in **Mode B** providing that where the penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services who shall act on behalf of Senate in deciding such requests.

APPENDIX 4: NORMAL PENALTIES OF APPEALS PANELS RELATING TO MATTERS OF STUDENT DISCIPLINE

Senate Student Discipline Appeal Panel acting in all Modes (D, E and F)
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A Panel may:

- 1 Confirm the decision(s) of a Senate Student Discipline Panel; **or**
- 2 May substitute a lower penalty except that:
 - i) in so doing, the new, lower penalty must be consistent with the level of penalty imposed by a Senate Student Discipline Panel or the Senate Student Discipline Appeals Committee for (a) similar offence(s); and
 - ii) where any penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services who shall act on behalf of Senate in deciding such requests; **or**
- 3 On the basis of evidence of prejudice and/or bias and/or the appearance of prejudice and/or bias or procedural irregularity in the conduct of the original hearing, may:
 - i) notwithstanding this finding, confirm that the verdict and penalty should stand; **or**
 - ii) may set aside the verdict and penalty; **or**
 - iii) may find that the verdict was unsafe in part and find the student guilty of a lesser offence and impose a lesser penalty in accordance with 2i) and ii) above.

Senate will publish guidance to the Senate Student Discipline Appeals Committee on the determination of penalties. This may be consulted at:
<http://www.uea.ac.uk/calendar/section3/regs%28gen%29/disciplinary-procedures/sectiond>

APPENDIX 5

NSC FTP PANEL	LTS HUB	NMC
	Cause for Concern received in Hub	
Initial FTP Panel is held in accordance with standard NSC FTP procedures		
Panel confirms that report should be made to NMC		
Letter from Chair FTP to Secretary SSDC advising of report to NMC and need for suspension pending guidance from NMC		
Student is reported by Chair FTP to NMC		NMC complete Initial Assessment
		Interim Orders Hearing held within 2-4 Weeks
Letter sent to student by Chair NSC FTP advising student of his/her suspension and that s/he must:		
Advise NSC of the outcome of the Interim Orders Hearing		
Advise his/her employer of suspension and report to NMC		
	Receives notification of outcome of Interim Orders Hearing:	
	i) No Case to pursue	
	record on file	
	return student to programme	
	matter referred to FTP	
FTP considers case from School perspective		
Will consider any future similar incidents as evidence of 'failure to learn'		
	ii) Case to pursue but on 'managed risk' basis	
	record on file	

FTP advises on implementation of any conditions to practice		
If conditions prevent continuance on course the suspension remains in place		
If conditions allow then suspension may be lifted		
	iii) Case to pursue and student poses a risk	
	record on file	
	suspension remains in force	
		NMC Formal Hearing:
	student withdrawn from programme	i) Registration Removed
	student suspension continues until NMC restriction lifted.	ii) Registration suspended
FTP considers if the case has any University disciplinary implications other than PMU, which has already been covered by the NMC process		
	Subject to any additional disciplinary penalty concession will be sought if needed and if available to allow student's continuation on the course following lifting of suspension	
FTP considers if the case has any University disciplinary implications other than PMU, which has already been covered by the NMC process		iii) No restriction on practice
	Subject to any disciplinary penalties the student continues on their course	

Disciplinary Procedures

Index

These disciplinary procedures are separated into Preamble and Disciplinary Powers; Non-Academic Discipline Procedure; Academic Discipline Procedure; Appeals Procedures; arrangements for payment of fines; further right to appeal; and Appendices.

Commitments

- (i) The University will apply the *Disciplinary Procedures* and associated *Appeals Procedure* in accordance with its Equal Opportunities Policy. In particular, reasonable adjustments under the Disability Discrimination Act (2005) (as amended from time to time and superseded by the Equality Act 2010 on implementation), will be made for those with disabilities, specific learning difficulties or long-term medical conditions.
- (ii) All parties to these *Procedures* and individuals who have been involved in any related investigation and/or the management and/or administration of the *Procedures* will observe the requirements for confidentiality. Whilst confidential information may need to be disclosed in order appropriately to consider cases, this will only be to those staff involved in or relevant to the *Procedures*. In addition, confidential information may be disclosed to governmental, police or regulatory authorities as required by law or by relevant professional, statutory and/or regulatory bodies.
- (iii) All personal information will be processed by the University in accordance with the Data Protection Act 1998.
- (iv) Students who submit an appeal under these *Procedures* will not be disadvantaged for having done so. Any Student who believes that s/he has been disadvantaged by submitting a case should contact the Registrar and Secretary's Office immediately. The University expects that Students will not engage in frivolous or malicious appeals.

SECTION A: PREAMBLE AND DISCIPLINARY POWERS

Section A is currently under review

This section gives an overview of the University's approach to disciplinary matters and sets out the authority and powers of University Committees and Officers.

1 Preamble

1.1 All students of the University are bound by the University's Statutes, the Student Charter, Regulations, Codes of Practice, Rules and Procedures in force for the time being insofar as they concern students (the 'University Legislation'.)

1.2 The University Legislation - or notices of their whereabouts - are published annually in the University Calendar, a copy of which is available via the University website (<https://www.uea.ac.uk/calendar>) and which is also accessible to students via the Student Portal.

1.3 Senate is the committee of the University with authority for the oversight of the academic performance of the University and for the regulation and supervision of the education and discipline of students in accordance with Provision 7 of the University Charter. Serious breaches of any other Regulation, Code of Practice or Rule of the University to which the students are subject, excepting where the Senate has approved special and separate procedures, are also subject to these *Disciplinary Procedures*.

1.4 The application and operation of these *Disciplinary Procedures* in relation to students studying on validated or franchised programmes offered by affiliated institutions, Associate Colleges of the University or other recognised providers, shall be set out in the protocols governing those collaborations and summarised for students in relevant documentation.

1.5 Throughout these *Disciplinary Procedures*, unless otherwise indicated, references to the Head of the School include the Head's designated alternate.

1.6 Throughout these *Disciplinary Procedures*, the standard of proof to be taken into account in all cases shall be that of 'balance of probability'.

1.8 Hearings by a Student Discipline Panel and a Student Discipline Appeals Panel shall be held in closed session.

1.9 Disciplinary procedures started prior to a student's registration end date may continue after the registration end date and must normally be concluded prior to any degree or award being conferred.

1.10 ***Students who withdraw from the University***

(i) Where a student withdraws from the University at any point during the processes set out in these *Disciplinary Procedures* (except where a student has submitted an appeal to the Senate Student Discipline Appeals Committee, in which case the matter shall be referred to the Chair of that Committee) the matter shall be referred to the Chair of the Senate Student Discipline Committee. This shall include situations in which the University deems, due to non-response to communication that a student has *in fact*, although not in writing, withdrawn him or herself from the University. In such cases, the Chair of the Senate Student Discipline Committee (or the Chair of

the Senate Student Discipline Appeals Committee, as relevant) shall determine whether consideration of the case against the student should proceed.

(ii) In the event that the Chair determines that the case should proceed in these circumstances, but at any point in its consideration a decision cannot be reached (for example due to the non-engagement of the student in the process), consideration of the case may be suspended. Where consideration of a case is suspended in this manner, the University may refuse admission to any programme of study or the provision of any other service to the student concerned until consideration of the suspended disciplinary case is properly concluded.

(iii) The University will normally require the proper conclusion of a suspended case where it deems it necessary in order to safeguard (1) its own staff, students and property; (2) any members of the public (in particular patients, children and vulnerable adults) affected or potentially affected by the breach(es) in question; or (3) the codes of practice and/or standards established by professional, regulatory or statutory bodies. It will also enforce this provision concerning suspended consideration of cases where students withdraw in other circumstances, where it considers there is good cause to do so.

2 Disciplinary Powers

This paragraph explains the powers of various University bodies, Officers and other role-holders in relation to the operation of these disciplinary procedures.

2.1 *The Senate*

2.1.1 By the provisions of the University Charter (Provision 7) the Senate has responsibility for the 'regulation and supervision of the education and discipline of students'. The responsibility of students is set out in the University Legislation. In the event that a student withdraws prior to the application of or during disciplinary proceedings, the University may nevertheless proceed with the case in accordance with these Disciplinary Procedures where the Chair of the Senate Student Discipline Committee considers it necessary for the proper functioning of the University that such proceedings should be brought or be continued in accordance with the provision of Paragraph 5.26 below.

2.1.2 The Vice-Chancellor (or if absent or by reasons of conflict, a Pro-Vice-Chancellor) may act on behalf of Senate as set out in Paragraph 2.2 below.

2.2 *The Vice-Chancellor*

2.2.1 The Vice-Chancellor has disciplinary powers to refuse to admit any person as a student of the University and may temporarily exclude or permanently expel any student from any class or classes, and/or from any part of the University or its precincts. The Vice-Chancellor may act on behalf of Senate in any situation which in his or her judgement

constitutes an emergency and warrants immediate action. The Vice-Chancellor has the power without prejudice to paragraph 2.5.4:

- (1) to exclude or expel a student entirely or partially from his/her programme of study and from participation in any or all of the University's activities and/or
- 2) to exclude or expel a student from any or all property owned, controlled or managed by the University pending:
 - (a) the decision of the Senate Student Discipline Committee(s) which would be convened according to these *Disciplinary Procedures* as soon as possible following such a suspension to consider the case and/or
 - (b) the outcome of any criminal proceedings.

No exclusion or expulsion under this paragraph shall take effect unless the student has been given the opportunity to make representations in person or, if the Vice-Chancellor considers that the student is unable to attend in person, in written form excepting that, in cases of great urgency, the Vice-Chancellor has the power to exclude or expel a student with immediate effect, provided that the opportunities for oral representations are provided and the matter reviewed by the Vice-Chancellor within five working days. Such representations and review will relate only to the exclusion or expulsion and not to the substantive matter giving rise to the exercise of this power. He or she shall report any such exclusion or expulsion to the Senate at its next meeting. The Senate may, if it thinks fit, terminate such exclusion or expulsion on such date (not being earlier than the date of the said meeting) as it may determine.

2.2.2 The Vice-Chancellor shall review any exclusion or expulsion made under paragraph 2.2.1 every four weeks in the light of any developments and of any written representations made by or on behalf of the student.

2.2.3 The Vice-Chancellor may authorise a Pro-Vice-Chancellor to exercise these powers on his or her behalf.

2.2.4 The Registrar & Secretary (or nominee) is authorised by the Vice-Chancellor immediately to suspend any student who is not compliant with the extant requirements of the United Kingdom Border Agency (UKBA) with regard to Visa legislation and associated monitoring regimes. The obligation upon students to ensure compliance with UKBA requirements is detailed in General Regulation 13. Suspensions enacted under this regulatory provision shall not be subject to the constraints detailed at 2.2.2 above, but shall be subject to review only on receipt of evidence that the student has returned to full compliance with the requirements of UKBA.

2.3 *Office of the Dean of Students*

2.3.1 The Dean of Students has overall responsibility to the Senate for the welfare and discipline of students under the General Regulations **except for** academic discipline under the following General Regulations and related policies and procedures or as otherwise stated:

- (i) (i) General Regulation 1(4) (Obligations with regard to provision of information); 13 (Attendance, Engagement and Progress,); 14 (Professional Misconduct and/or Unsuitability); 15 (Conduct in Research); 17 (2)(q) (Conduct of Examinations and Course Tests); and 18
- (ii) (Plagiarism and/or collusion; and
(ii) cases that are referred to the Professional Misconduct and/or Unsuitability Panel (General Regulation 14).

2.3.2 Other than the exceptions noted in 2.3.1 above, the Dean of Students has overall responsibility for discipline in matters of principle and policy but shall delegate executive functions on a day-to-day basis and in all specific cases to the Disciplinary Officer - see paragraph 2.5 below.

2.3.3 Any incident which may constitute a breach of the University's Legislation (with the exception of matters of academic discipline or as otherwise stated, as noted in 2.3.1 above) shall be reported initially to the Senior Resident Tutor or deputised officer in his/her absence (being a member of the Office of the Dean of Students) who shall make enquiries as he /she sees fit. The Senior Resident Tutor or deputised officer shall have the power to access and process personal data for the purpose of the investigation. If the Senior Resident Tutor or deputised officer considers that there may be a case to answer, s/he may refer the matter to:

- (i) the University's Head of Security (if the incident involves a potentially criminal offence) – see paragraph 2.4 below;
- or** (ii) the Disciplinary Officer appointed by the Senate – see paragraph 2.5 below.

2.4 *Head of Security*

2.4.1 Any incident involving a student where a potentially criminal offence may have occurred may be investigated by the University's Head of Security (or such other officer as may be assigned responsibilities for security matters) subject to:

- (i) procedures set out in Notes of Guidance on the Conduct of Disciplinary Procedures;
- and** (ii) a Protocol with the police as approved by the University from time to time.

The Head of Security (or other such officer as may be assigned to the investigation) shall have the power to access and process personal data for the purpose of the investigation. If appropriate, the Head of Security shall make both documents available in advance to the student concerned.

2.4.2 The results of any investigation may be made known to the University's Disciplinary Officer via the Senior Resident Tutor and, if the matter is confirmed as a potentially criminal offence, to the police in accordance with the Protocol.

2.5 *Disciplinary Officer*

2.5.1 The Disciplinary Officer is appointed by the Senate and has the power to investigate, hear and determine any case which has been referred to him or her in accordance with these *Disciplinary Procedures*. The Disciplinary Officer shall have the power to access and process personal data for the purpose of the investigation. The Disciplinary Officer may at his/her discretion:

- (i) decide to hear and determine the case in person if the Disciplinary Officer considers the matter to concern a potentially minor breach of University Legislation falling under the responsibility of the Dean of Students' Office;
or
- (ii) refer the matter - with or without a prior interview of the student - to the Senate Student Discipline Committee; and/or
- (iii) refer the matter for consideration by the University with respect to the Licence/Assured Tenancy Agreement.

2.5.2 The Disciplinary Officer shall not normally hear or refer under these Procedures any case involving a breach of University Legislation arising (or which he or she has good reason to consider arises) from disability (including mental ill-health) unless requested to do so by the Dean of Students. The Dean of Students shall first take appropriate specialist medical advice before deciding the appropriate course of action in such cases.

2.5.3 If the University, acting solely in its role of landlord of residential accommodation, takes action against a student alleged to have contravened the Licence/Assured Tenancy Agreement to occupy accommodation, disciplinary proceedings under this Code may still be brought against the student where, in the opinion of the Disciplinary Officer, it is necessary for the proper functioning of the University that such proceedings should be brought.

2.5.4 If a student is alleged to have committed a regulatory breach as described in Section 1, and this act would also constitute an offence for which the student could be prosecuted before a court of law, then the Disciplinary Officer may take action under these Procedures where:

- i) the offence under the criminal law would be considered to be not serious and no criminal proceedings are being, or in the opinion of the Disciplinary Officer, are likely to be, brought against the student in respect of that offence. If, after proceedings against a student have been commenced under these Disciplinary Procedures, any criminal proceedings are commenced against the student in respect of the same incident, the disciplinary proceedings shall

- normally be suspended to await their outcome (including any appeal therefrom);
- (ii) in the case of all other offences under the criminal law, the matter has been reported to the police and either a decision to prosecute and such prosecution is concluded, or a decision not to prosecute has been taken.

If either of the conditions in 2.5.4 (i) or (ii) apply, disciplinary action under these Procedures in respect of the incident may then be taken where, in the opinion of the Disciplinary Officer, it is necessary for the proper functioning of the University so to do.

Where action is instituted under these Procedures:

- (i) it shall not be necessary for any party to prove again any fact already established in the criminal or civil proceedings;
- (ii) where a conviction has already occurred in a court of law in respect of the same facts, the court's penalty shall be taken into consideration in determining any penalty under these Procedures;
- (iii) where a student has been acquitted of an offence before a court, action under these Procedures may still be taken in relation to any other disciplinary aspects of the incident involving that offence;

2.6 *The Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee*

- 2.6.1 The Senate has established a Senate Student Discipline Committee and a Senate Student Discipline Appeals Committee (referred to in these Procedures as 'the student discipline committees'), which have responsibilities for matters relating to student discipline as set out in their terms of reference.

SECTION B: NON-ACADEMIC DISCIPLINE PROCEDURE

Section B is currently under review

This section sets out what happens where there is evidence that a student may have committed a breach of University Legislation which is considered to be non-academic.

- 3.1.1 The Disciplinary Officer shall hear cases in accordance with provisions set out in Notes of Guidance on the Conduct of Disciplinary Procedures which he or she shall make available to the student concerned in advance of the hearing. A written summons to a hearing shall be sent to the student required to appear before the Disciplinary Officer stating;
- (i) the alleged offence
 - (ii) the written evidence available relating to the alleged offence (and providing a copy of that evidence)
- and (iii) the date, time and place of the meeting

and (iv) the right of the Disciplinary Officer to reach a decision regarding a breach of the regulations and summarily to apply a penalty not exceeding £500 or other penalty in the student's absence, if having been properly summoned, the student fails to appear without good reason.

3.1.2 The Disciplinary Officer may in the summons give notice of the penalty for the breach on the evidence available which shall be applied should the student either not respond to the summons or waive their right to the hearing.

3.1.3 The summons shall be delivered to the University's email address and contact address at least 5 working days (Saturdays, Sundays and University closure days excepted) before the hearing.

3.2.1 Any student who contacts the Disciplinary Officer to state that he/she wishes to meet with the Disciplinary Officer on a time and date earlier than that given in the summons is deemed to have consented to waive the requirement that a hearing is held at least five working days ((Saturdays, Sundays and University closure days excepted) after the date of the summons. A student may waive their right to a hearing, in which case they accept the penalty stated in the written summons or consent for the Disciplinary Officer to summarily apply a fine not exceeding £500 or other penalty.

3.2.2 Students who respond after the forty-eight hour time-limit as defined in General Regulation 9 shall be dealt with at the discretion of the Disciplinary Officer and will be deemed to have breached General Regulation 9 which breach shall be taken into account by the Disciplinary Officer.

3.2.3 Students who fail to respond to the summons as directed by the Disciplinary Officer and in accordance with the requirements of General Regulation 9 before the time and date of the hearing shall be deemed to have:

- (i) accepted the summons and consented to appear as required and to have breached General Regulation 9
- or (ii) where the Disciplinary Officer gave notice of the penalty in accordance with Regulation 3.1.1 of this Disciplinary Procedure, accepted the penalty stated in the written summons.

3.2.4 If a student fails to appear at the hearing having been properly summoned, he/she shall be deemed to have breached General Regulation 13 (2) which breach shall be taken into account by the Disciplinary Officer.

3.3 The student shall have the right to be accompanied by friend, colleague or representative, provided that the Disciplinary Officer is informed of this and of the identity and standing of any friend, colleague or representative at least two working days before the interview (Saturdays, Sundays and University closure days excepted).

It is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the interview. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf. The Disciplinary Officer may be accompanied by a note taker.

- 3.4 The Disciplinary Officer may
- (i) exonerate the student; or
 - (ii) if finding that there has been a regulatory breach, impose a fine not exceeding £500, or other penalty, taking into account an assessment of the student's intent in the commission of the regulatory breach and any mitigating considerations; or
 - (iii) refer the matter - without a prior interview of the student if the Disciplinary Officer considers it reasonable in all the circumstances - to the Senate Student Discipline Committee; or
 - (iv) refer the matter for consideration by the University with respect to the Licence/Assured Tenancy Agreement.
- 3.5 The Disciplinary Officer shall notify the student in writing of the decision and any penalty imposed within five working days of the hearing. The Disciplinary Officer shall at his or her sole discretion and depending upon the nature of the regulatory breach copy the notification of penalty to the Head (and, if applicable, to the Senior Adviser) of the student's School and to the student's Adviser or Supervisor.
- 3.6 A student whose case is determined by the Disciplinary Officer and who has been informed of the decision of the Disciplinary Officer may in certain circumstances submit an appeal against the decision, as set out in the appeals procedure in Section D below. Where the student did not attend or waived their right to a hearing, the student should seek a hearing with the Disciplinary Officer before submitting an appeal.

SECTION C: SENATE STUDENT DISCIPLINE COMMITTEE AND SENATE STUDENT DISCIPLINE APPEALS COMMITTEE

Section C is currently under review

This section sets out the rules concerning membership of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee and how individual cases are heard by Panels established from amongst the members* of these Committees.

*(There are some exceptions for specific kinds of offences and these are set out below.)

4 Membership of the Senate Student Discipline Committee and Senate Student Discipline Appeals Committee

- 4.1 The membership of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee is set out in the Appendix to this policy.
- 4.2 The Vice-Chancellor shall not sit on either of the student discipline committees.
- 4.3 A Pro-Vice-Chancellor is eligible for appointment by the Senate to either of the discipline committees, although a Pro-Vice-Chancellor who has acted for the Vice-Chancellor in accordance with paragraph 2.2.2, or otherwise has prior involvement in a case, shall not sit on any committee or Panel convened to hear that case in accordance with paragraph 5.1 below.
- 4.4 Neither the Dean of Students nor any member of the Office of the Dean of Students is eligible for membership of either of the Senate student discipline committees.
- 4.5 The Student Officers of the Union of UEA Students and the President of the Graduate Students' Association are not eligible for membership of any of the student discipline committees.
- 4.6 Any member of a Student Discipline Panel or a Student Discipline Appeals Panel who considers that there is or there is the appearance of a conflict of interest or compromise in their serving on a particular Panel shall notify the Chair of the Senate Student Discipline Committee or Senate Student Discipline Appeals Committee as relevant. The Chair shall then seek approval from the Chair of Senate for a suitable replacement.
- 4.7 The Secretary of the Senate Student Discipline Committee and of the Senate Student Discipline Appeals Committee shall be the Registrar and Secretary or his or her representative. The Secretary shall act as note-taker and shall advise the Chair and members of the Senate Student Discipline (Appeals) Committee regarding procedural matters.
- 4.8 Allegations against individual students or groups of students which are referred to the Senate student discipline committees for consideration in accordance with the policies and procedures of the University shall be considered by panels drawn from members of the Senate Student Discipline Committee and the Senate Student Discipline Appeals Committee as appropriate, which shall be convened in accordance with this Policy.

5 Student Discipline Panels

This section describes how Student Discipline Panels operate.

- 5.1 Student Discipline Panels are appointed from the membership of the Senate Student Discipline Committee, and where provided for under this Policy, from other appropriately-qualified persons, to hear allegations relating to student discipline, including allegations arising from professional misconduct and/or unsuitability.
- 5.2 Where the disciplinary policies and procedures of the University prescribe that a case should be heard by a Student Discipline Panel, a statement of the allegations against the student and all relevant supporting documentation shall be forwarded by the relevant Head of School or other member staff to whom this task has been delegated by the Head of School or by the Disciplinary Officer to the Secretary of the Senate Student Discipline Committee. The student shall be informed in writing by the Secretary of the Senate Student Discipline Committee that a referral to a Senate Student Discipline Panel has been made and that a hearing will be convened, subject to the provisions of Paragraph 5.5 below.
- 5.3 Where the statement of allegations involves more than one student, the Chair of the Senate Student Discipline Committee shall determine whether the cases should be heard by individual hearings of Student Discipline Panels or by a single hearing by one Panel for all the students. In the event of a single hearing for multiple students, the Chair shall determine any variations to these procedures which shall be required.
- 5.4 Where the allegations concern the attendance, engagement and/or progress of the student, the report of the Head of School shall include: the dates of any previous Formal Warnings; details of the student's academic performance in response to those warnings; in the case of a student who is referred to the Committee on the ground that his or her attendance is unsatisfactory, an appropriate attendance record certified by the members of faculty concerned; and any medical certificates and/or statements already submitted by the student. The Head of School may include a statement from the student's Adviser or any other member of faculty.
- 5.5 The Chair of the Senate Student Discipline Committee shall review each case received under these procedures in order to determine whether:
- (i) the case should proceed to a hearing; or
 - (ii) a decision on the case can be reached by the Chair of the Senate Student Discipline Committee based on the papers in respect of allegations of use of unfair means in examinations or course tests that have been assessed as a Level 2 offence (General Regulation 17 (2))

(q) of the General Regulations for Students refers) and of cases relating to attendance, engagement and progress (General Regulation 13 (7) refers); or

(iii) other procedures for the consideration of the allegations have not yet been exhausted and/or that serious extenuating circumstances have come to light that were not known to the School or appear not to have been taken fully into consideration, in which circumstances, the case should be referred back to the relevant Head of School or the Disciplinary Officer for further action. Consideration of any case referred to a Head of School or the Disciplinary Officer in this way shall normally be completed within 15 working days (Saturdays and Sundays and University closure days excepted).

If a decision is taken that the case may be decided on the papers, a student may still request that this/her case be considered by a hearing before a Student Discipline Panel and any such request shall be accepted. (Paragraph 5.10 below sets out what information a student who is summoned before a Senate Student Discipline Panel, shall receive).

If the Chair proceeds to the determination of a case on the papers in accordance with paragraph 5.5 (ii) above, the Chair may reach a verdict and impose a penalty in respect of the allegations. In these circumstances, a student may appeal against the verdict and/or penalty to the Senate Student Discipline Appeals Committee (see Section D, paragraphs 7.1 to 7.22).

5.6 For each case that proceeds to a Senate Student Discipline Panel, the Chair of the Senate Student Discipline Committee shall confirm the mode of each hearing and approve the Chair and members of the Student Discipline Panel to hear the case, drawn from the members of the Senate Student Discipline Committee. The Secretary to the Senate Student Discipline Committee shall identify a Secretary to the Panel on behalf of the Registrar and Secretary (or nominee).

5.7 A Student Discipline Panel shall be convened in the mode most appropriate to the allegation(s) presented. The mode in which a Panel shall normally be convened is:

- **Mode A:** for cases arising under General Regulations 1, 8, 10, 11, 12, 19, 21, 22, 23, 24, 25 and 26; ;
- **Mode B:** for cases arising under General Regulations 13; 15; 16 17 (*concerning matters of academic assessment under the procedures relating to breaches of examination and course test regulations*); and 18

and

- **Mode C:** for cases arising under General Regulation 14 .

5.8 Wherever possible, one Panel will be convened to give a full hearing and determine penalties relating to the allegations presented against a

student. A panel convened in Mode C may, in addition to considering matters relating to professional misconduct and/or unsuitability, consider allegations and determine penalties relating to General Regulations 1, 8, 10, 11, 12, 13, 17, 18, 19, 21, 22, 23, 24, 25 and 26..

- 5.9 Additional information on the policies and procedures associated with each mode is set out in this policy and its appendices. Further information about the conduct of disciplinary meetings is also available at:

<http://www.uea.ac.uk/learningandteaching/documents/discipline/ProcedureforDealingwithAllegationsofPMU>

Notification to students and Schools concerning hearings of Student Discipline Panels (all modes)

- 5.10 The Secretary to the Panel shall send to any student required to appear before a hearing of a Student Discipline Panel a written summons stating:

- (1) the nature of the allegation, mode and membership of the Panel;
- (2) the name of the person, if any, who will present the case against the student and, as far as practicable, the names of any witnesses who are already expected to be attending the hearing;
- (3) the date, time and place of the hearing;
- (4) the information on the order of proceedings in hearings as set out in this policy;
- (5) the right of the Panel to proceed in the student's absence if, having been properly summoned, he or she fails to appear without providing prior good reason for absence. The decision of the Chair of the Panel as to whether to proceed in the student's absence shall be final.

- 5.11 The Secretary shall also enclose with the summons a full set of the documentation provided by the relevant Head of School or Officer concerning the alleged offence(s) which will be considered by the Panel.

- 5.12 The summons shall be delivered to the student's University email address and contact address at least:

- (i) For Cases being heard in Mode A or Mode B, 5 working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel.
- (ii) For Cases being heard in Mode C, 20 working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel.

- 5.13 A copy of the summons shall be sent to the Head and to the Senior Adviser of the student's School and to the student's Adviser or Supervisor.

General considerations for Hearings (all modes)

- 5.14 The Panel shall hear the case in accordance with provisions set out in the Notes of Guidance on the Conduct of Disciplinary Procedures which shall be made available in advance to the parties concerned. The ruling of the Chair on any point of procedure shall be final.
- 5.15 Where he or she determines that the nature of the case requires it, the Chair of the Panel may require the attendance of a Head of School, or of the Disciplinary Officer, or of another member of academic or non-academic staff (as appropriate) to present the case against the student.
- 5.16 If the student wishes, he or she may, prior to the hearing, provide to the Secretary a statement concerning the allegations presented against him or her and/or such additional written evidence as he or she considers is relevant to the case. Students are advised that information presented, including information relating to any personal or other circumstances which they consider are relevant to the case ('mitigating circumstances'), should wherever possible be supported by documentary evidence.
- 5.17 The Chair of the Panel may request or admit as evidence any additional written information which he or she deems relevant to the case.
- 5.18 All written evidence made available to the Panel will also be made available to the student and (where applicable) the person (if any) presenting the case against the student, wherever possible in advance of the hearing. The Panel may determine that some or all of the written evidence should be made available to each witness. The Chair may determine that a hearing should be postponed or adjourned if any written evidence is supplied without sufficient notice for it to be circulated and properly considered by all relevant parties.
- 5.19 The student required to appear before the Panel, the person (if any) presenting the case against the student, and the Chair of the Panel, may nominate witnesses to attend the hearing. The role of a witness is to inform the Panel's deliberations and the Chair of the Panel's decision as to whether to accept a nomination is final. Where practicable, the Secretary to the Panel shall inform all parties of the identity of any witnesses in advance of the hearing. It is the responsibility of the party calling the witness to ensure their attendance at the hearing, except where the witness is a member of the public. If the witness is a member of the public (being neither a student nor member of staff of the University) the party calling the witness must inform the Secretary as soon as possible. The Secretary will issue an invitation to attend, making clear who has requested their evidence and explaining the procedures. The Panel reserves the right to proceed in the absence of any witness and the ruling of the Chair of the Panel in this matter shall be final.

- 5.20 The ruling of the Chair of the Panel shall be final on the admission of all evidence for consideration by the Panel, including the admission of written evidence and of oral evidence from witnesses or other parties at the hearing. This shall include the power to refuse to admit evidence or hear witnesses on the basis of lack of relevancy.
- 5.21 The student required to appear before the Panel and any person presenting the case against the student shall have the right to be accompanied by a friend, colleague or representative provided that the Secretary is informed of this intention and of the identity and standing of any friend, colleague or representative at least two working days before the hearing. Any friend, colleague, or representative must have no connection with the allegations and thus no material interest in the matter. Where practicable, the Secretary to the Panel shall inform all parties in advance of the hearing of the identity of any friend, colleague or representative who will be in attendance. However, it is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the hearing. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf.
- 5.22 A hearing by a Student Discipline Panel shall be held in closed session.

Order of proceedings for hearings (all modes)

- 5.23 The hearing shall proceed as follows:
- i) the person (if any) presenting the case against the student shall set out the allegations and evidence in the case, answer questions from the Panel and student, and may call witnesses;
 - ii) the student (or person representing him or her) shall respond to the disciplinary charge(s) against him or her, answer questions from the Panel and the person (if any) presenting the case against him or her relating to the case, and may call witnesses;
 - iii) the Panel may call any witnesses not called by the other parties.
 - iv) the presentation of any closing statement by the person (if any) presenting the case against the student;
 - v) the presentation of any closing statement by the student (or person representing him or her).
- 5.24 All parties shall have an opportunity to ask questions through the Chair of all witnesses called.

Adjournment and reconvening of hearings of Student Discipline Panels (all modes)

- 5.25 The Chair of a Student Discipline Panel may, if he or she determines that there is good cause, adjourn a hearing for a period of not normally more than ten working days. Where a hearing is adjourned, the Secretary to the Panel shall notify all parties in writing (in the case of the student summoned before a Student Discipline Panel, via his or her University email address and contact address) of the date, time and place of recommencement of the hearing, giving notice of at least two working days (Saturdays, Sundays and University closure days excepted). A reconvened hearing may proceed in the absence of the student if the Chair is satisfied that due notice has been served of the recommencement.
- 5.26 Where the Chair of a Student Discipline Panel determines that the mode in which the Panel has been convened is not competent to hear the case presented at a hearing, he or she shall adjourn the hearing without reaching a judgement and refer the matter to the Chair of the Senate Student Discipline Committee. The Chair of the Senate Student Discipline Committee may determine that a new Panel is convened in another mode for the case to be reheard. Members of the original Panel may be appointed to the new Panel with the written agreement of the student.

Outcomes of hearings and treatment of mitigating circumstances: general considerations (all modes)

- 5.27 On the basis of the evidence available to it, a Student Discipline Panel may:
- (1) exonerate the student from the allegations presented against him or her;
 - (2) determine that, on the balance of probabilities, the student committed wholly or in part the alleged offence(s) and proceed to consider the appropriate penalty under Appendix 3 below.
- 5.28 Having reached a decision regarding commitment wholly or in part of the alleged offence(s), a Senate Student Discipline Panel will take into account its assessment of the level of offence in determining the penalty, having regard to indicators including the student's intention in the commitment of the regulatory breach, the severity of the breach, whether previous disciplinary breaches have occurred (of the same or of a different type) and the level of study of the student. Having determined the penalty which should be imposed for an offence, a Senate Student Discipline Panel may take into account any mitigating circumstances presented by students in explanation of their actions or circumstances, and vary the penalty if it deems it appropriate.

- 5.29 Where any penalty determined by a Panel requires or implies a concession or exemption under the University's regulations, this will be subject to approval by a Pro-Vice-Chancellor and the relevant Director of University Services.
- 5.30 The Panel shall normally inform the student in writing of its decision within five working days, giving reasons for its decisions, and shall copy this communication to the Head and to the Senior Adviser of the Student's School, the student's Adviser or Supervisor and the person (if any) presenting the case against the student at the hearing.
- 5.31 Where, in the opinion of a Senate Student Discipline Committee, a member of staff has acted inappropriately during a student disciplinary investigation which may have affected the student's behaviour during the investigation, the Chair of the Senate Discipline Committee shall inform the Head of School or Head of Division as relevant of this issue. The Dean of the relevant Faculty for staff falling under the Faculty's responsibility or the Registrar and Secretary (or nominee) for other staff shall also be copied into the communication between the Chair of the Senate Discipline Committee and the relevant Head of School/Head of Division. Subsequently, the Head of School or the Head of Division shall investigate the matter in accordance with relevant University procedures with advice from the Human Resources Division, informing the Dean of Faculty or Registrar and Secretary (or nominee) of the outcome of the investigation.

Outcomes relating to cases of professional misconduct and/or unsuitability (Mode C)

- 5.32 The following additional provisions apply to the outcomes to cases of professional misconduct and/or unsuitability (Mode C):
- 5.33 A Panel meeting in Mode C may determine that a student is guilty of professional misconduct and/or of professional unsuitability. In addition, it may determine that a student has contravened any of the University's regulations or policies relating to academic or non-academic discipline.
- 5.34 The Panel shall have the power temporarily to suspend or permanently to exclude from further study in the University any student it finds guilty of professional misconduct and/or of professional unsuitability. In addition, the Panel may impose any penalties with regard to academic or non-academic disciplinary offences which are in accordance with this policy. Permanent exclusion shall mean an interval of at least seven years before the University will consider any subsequent application for re-admission to the University and only then with the express permission of the Vice-Chancellor.
- 5.35 Where a the student is found guilty of professional misconduct and/or professional unsuitability, by a Panel the Head of the School in

consultation with the relevant Director of University Services shall decide whether a report should be made to the relevant professional, statutory or regulatory body.

Outcomes relating to cases of misconduct in research (Mode B)

5.36 The following additional provision applies to the outcomes to cases of misconduct in research Mode B:

As appropriate, a Panel, in addition to determining that a penalty should be applied in accordance with these Procedures, may recommend to the Registrar and Secretary (or nominee) that a report is made to an external body, which may include a professional body, a research ethics committee external to the University, or an employer.

SECTION D: APPEALS AGAINST THE OUTCOMES OF STUDENT DISCIPLINARY HEARINGS

Section D is currently under review

This section describes how a student may appeal against decision(s) made by the Disciplinary Officer and a Senate Student Discipline Panel. A student may decide to withdraw an appeal at any point during the appeal process, providing the relevant Director of University Services is notified in writing before the date of any appeal hearing.

6.1 Appeals Procedure relating to decisions made by the Disciplinary Officer

(See Section B, paragraphs 3.1 to 3.6)

6.1.2 Purpose

- (i) The Appeals Procedure comprises two parts: Stage One, in which the Dean of Students considers the appeal against a decision made by the Disciplinary Officer and Stage Two, which a Student may follow if dissatisfied with the outcome of the Stage One appeal. Stage Two appeals are considered by the relevant Director of University Services who may refer the appeal for further investigation.
- (ii) A decision by the Disciplinary Officer to refer a case to the Senate Student Discipline Committee may not be appealed against. An appeal against the outcome and penalty given by the Senate Student Discipline Committee would be considered at the Senate Student Appeals Committee. (See Disciplinary Procedures in Section 7 below).

* Students studying at UEA or registered for UEA programmes and based at UEA London or at Affiliated Institutes and students on validated, jointly validated or franchised at Associate Colleges/Partner Institutions wishing to

submit an appeal arising from Disciplinary Proceedings should use the relevant procedures at their place of study.

6.2 *Reason(s) for appeal*

Grounds for bringing an appeal are:

- correct procedure was not followed which undermined the validity of the verdict;
- prejudice and/or bias and/or the appearance of prejudice and/or bias on part of the Disciplinary Officer, Dean of Students or the relevant Director of University Services affected the verdict;
- evidence put forward was not fully and properly considered;
- new evidence or information has come to light that has not previously been considered;
- the student's behaviour was adversely affected by extenuating circumstances that were not taken into account or not fully taken into account.

A student may appeal against the verdict (i.e. that there was a disciplinary breach) and/or the penalty and must state in their case:

- a) whether the appeal is against the verdict; the penalty; or both;
- b) the grounds for bringing the appeal (which must relate to one or more of the above);
- c) the evidence in support of the appeal.

Stage One Appeal

6.3 *How a student submits a Stage One appeal*

- (i) A student must submit a completed Stage One Appeal Form (and any supporting evidence) to the relevant office as listed at the end of the form. Forms are available <https://www.uea.ac.uk/learningandteaching/documents/disciplinary> or from the listed offices. All evidence previously submitted to the Disciplinary Officer by the Student will be provided to the Dean of Students under paragraph 3.5. No evidence submitted can be anonymous;
- (ii) A student may decide to withdraw a Stage One appeal, providing the Dean of Students is advised in writing before a decision has been made.

6.4 *Response to the appeal*

- (i) The Dean of Students is responsible for responding to an appeal. If the Dean of Students is part of the subject of the appeal, or has been involved during the investigation phase of

the case, or is otherwise in a conflict of interest, a suitable substitution will be made by the Dean of Students' Office. Notwithstanding this provision, for ease of reference the person responsible for responding to the Appeal will be called the Dean of Students hereafter in this Procedure;

- (ii) The Dean of Students may delegate the initial investigation of an appeal to one or more members of the Dean of Students' staff who do not have a conflict of interest with respect to the appeal. In all cases the Dean of Students will retain responsibility for the decision reached at Stage One and will act in accordance with subsequent sections of the Appeals Procedure where required;
- (iii) The Dean of Students will determine whether the appeal meets one or more of the grounds set out in paragraph 6.2 above. The investigation having been completed, the Dean of Students will decide whether the decision of the Disciplinary Officer should be reviewed, whether any other action should be taken, whether the case should be referred back to the Disciplinary Officer, or whether the appeal should be rejected. The decision of the Dean of Students and the reason(s) for it will be communicated to the Student in writing;
- (iv) With limited exceptions (for example, where information cannot be disclosed because of the University's obligations under the Data Protection Act), all written material considered by the Dean of Students under this procedure will be accessible to the Student as accompanying evidence to the decision of the Dean of Students. In the first instance, the evidence will take the form of a list of the documents considered, included with the Dean of Students' response to the student. The following documents would normally be considered as evidence:
 - Stage One Appeal Form and any additional accompanying evidence submitted by the student;
 - statement from the Disciplinary Officer;
 - any original case evidence presented to and considered by the Disciplinary Officer;
 - statements from other appropriate parties;
- (v) The student may request in writing to the Dean of Students, a copy of the evidence considered;
- (vi) Each appeal will normally be considered individually, (though depending on circumstances, where a series of appeals involve the same incidence or individual(s), the University may consider such appeals collectively, subject to any confidentiality requirements).

6.5 *Timescales for Stage One*

- (i) The student must submit the completed Appeal Form and any supporting documents to the Dean of Students within 10 working days of the notification of the verdict/penalty. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email address.) Appeals submitted after this deadline with good reason for the delay may still be considered. The student should contact the Dean of Students if s/he is unable to meet this deadline in advance of its expiry. Disputes about whether an appeal submitted after the deadline should be accepted should be referred to the relevant Director of University Services.;
- (ii) The Dean of Students must advise the student of the outcome of the investigation into the Stage One appeal in writing within 15 working days of receipt of the Appeal Form, or advise the student within that time if more time is needed for referral or investigation.

6.6 *Actions and outcomes*

- (i) The Dean of Students, having considered the appeal may:
 - (a) confirm the decision and the penalty of the Disciplinary Officer;
 - (b) confirm the decision but require the Disciplinary Officer to reconsider the penalty (in so doing, the student shall not receive a harsher penalty);
 - (c) reject the decision;
- (ii) The Dean of Students will notify the student of the outcome of Stage One giving a full and clear explanation of the decision. The student may request a meeting with the Dean of Students to discuss the outcome;
- (iii) A student who is not satisfied with the outcome of the Stage One appeal may decide to move to Stage Two of the Appeals Procedure as described below under paragraphs 6.7 – 6.10 below.

Stage Two Appeal

6.7. *How a student submits a Stage Two appeal*

- (i) For a Stage Two appeal to be considered there must be at least one of the following grounds:
 - correct procedure was not followed in the conduct of the Stage One appeal;

- there was prejudice and/or bias and/or the appearance of prejudice and/or bias in the conduct of the Stage One appeal;
 - evidence put forward at Stage One was not fully and properly considered;
 - new evidence or information has come to light that was not known to the Disciplinary Officer or to the Dean of Students who investigated the original appeal;
 - the student's behaviour was adversely affected by extenuating circumstances that were not taken into account or not fully taken into account by the Disciplinary Officer or by the Dean of Students who investigated the original appeal;
- (ii) A student must submit a completed Stage Two Appeal Form (and any supporting evidence) to the relevant Director of University Services. Forms are available at: <https://www.uea.ac.uk/learningandteaching/documents/discipline> or from the listed offices. No evidence submitted can be anonymous;
- (iii) A student may decide to withdraw a Stage Two appeal, providing the relevant Director of University Services is advised in writing before a decision has been made.

6.8 *Response to the appeal*

- (i) The relevant Director of University Services is responsible for responding to a Stage Two appeal and will check whether the appeal meets at least one of the conditions in paragraph 6.7 above. If the student is part of the subject of the appeal or has been involved during the investigation phase of the case, or is otherwise in a conflict of interest, a suitable substitution will be made by the Registrar and Secretary (or nominee). Notwithstanding this provision, for ease of reference, the person responding to the appeal will be called the Director of University Services hereafter in this Procedure;
- (ii) If the appeal is accepted solely on the grounds that there is evidence that there was procedural irregularity in the conduct of the Stage One appeal, the relevant Director of University Services will refer the appeal back to the Stage One process;
- (iii) An appeal which the relevant Director of University Services does not believe meets any of the grounds for appeal specified at Paragraph 6.7 will be referred to one of the Learning and Teaching Academic Directors (normally the Director of Taught Programmes/Postgraduate Research Degree Programmes). The Director will review the decision and the student will be informed of the outcome within 15 working days of receipt (by

the relevant Director of University Services). If the appeal is rejected, this decision is final and there is no further right of appeal in the University. Paragraph 6.11 below refers to how a complaint can be pursued outside the University;

- (iv) If the appeal is accepted on grounds other than or in addition to procedural irregularity, and, in the judgement of the relevant Director of University Services in consultation with the Academic Director of Taught Programmes or the Academic Director of Postgraduate Research Degree Programmes as appropriate, the evidence warrants (if for instance new information has been provided), the relevant Director of University Services may reconsider the Stage One decision, proceeding as in Paragraph 6.4 (with the relevant Director of University Services replacing the Dean of Students in the consideration). In such a case, the student will retain the right to proceed to a Stage Two hearing of his or her appeal should s/he be dissatisfied with the outcome;
- (v) If the appeal is accepted on grounds other than on or addition to procedural irregularity and the provisions of paragraph 6.8 (iv) above do not apply, the appeal will proceed to Stage Two;
- (vi) The relevant Director of University Services may delegate investigation of an appeal to one or more members of staff who do not have a conflict of interest with respect to the appeal. In such cases the relevant Director of University Services will retain responsibility for the decision reached at Stage Two and will act in accordance with subsequent sections of the Appeals Procedure where required;
- (vii) The appropriate Support Service will provide the relevant Director of University Services with the appeal documentation submitted by the student under Stage Two and will assist the relevant Director of University Services with an appropriate investigation. The relevant Director of University Services having completed the investigation will decide whether the decision of the Dean of Students taken at Stage One should be reviewed or whether any other action should be taken. The decision of the relevant Director of University Services and the reason(s) for it will be communicated to the student in writing;
- (viii) With limited exceptions (for example, where information cannot be disclosed because of the University's obligations under the Data Protection Act), all written material considered by the relevant Director of University Services under this procedure will be accessible to the student as accompanying evidence to the decision of the relevant Director of University Services. In the first instance, the evidence will take the form of a list of the documents considered, included with the relevant Director of

University Services's letter to the student. The following documents would normally be considered as evidence:

- Stage Two Appeal form and any additional accompanying evidence submitted by the student;
 - statement from the Disciplinary Officer;
 - any original case evidence presented to and considered by the Disciplinary Officer;
 - statement and decision from the Dean of Students;
 - statements from other appropriate parties;
- (ix) The student may request in writing to the relevant Director of University Services a copy of the evidence considered;
- (x) Each appeal will normally be considered individually, (though depending on circumstances, where a series of appeals involve the same incidence or individual(s), the University may consider such appeals collectively, subject to any confidentiality requirements).

6.9 *Timescales for Stage Two*

- (i) The student must submit the completed Stage Two Appeal Form and any supporting documents to the relevant Director of University Services within 10 working days of the notification of the result of the Stage One appeal. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email address.) Appeals submitted after this deadline with good reason for the delay may still be considered. The student should contact the relevant Director of University Services if s/he is unable to meet this deadline, in advance of its expiry;
- (ii) The relevant Director of University Services must advise the student of the outcome of the investigation into the Stage Two appeal in writing within 15 working days of receipt of the Stage Two Appeal Form, or advise the student within that time if more time is needed either for investigation.

6.10 *Actions and outcomes*

- (i) The relevant Director of University Services will notify the student of the outcome of Stage Two giving a full and clear explanation of the decision. The student may request a meeting with the relevant Director of University Services to discuss the outcome.

6.11 *Further right to appeal*

- (i) Following completion of Stage Two there is no further right to appeal within the University;
- (ii) Students who are dissatisfied with the outcome of their Stage Two appeal may complain to the Office of the Independent Adjudicator for Higher Education (OIA) (see Section F below). Details will be provided in the letter advising the student of the appeal's final outcome.

7 Appeals against (a) decision(s) made by a Student Discipline Panel.

(See Section C, paragraphs 4.1 to 5.36)

- 7.1 A student may appeal against decision(s) of a Student Discipline Panel. Any appeal must be lodged with the relevant Director of University Services within five working days (Saturdays, Sundays and University closure days excepted) of the notification of the decision(s) of the Student Discipline Panel. (Notification will be deemed to have taken place two working days (Saturdays, Sundays and University closure days excepted) after the date of the emailed notification to the student via his or her University email account.) An appeal will not normally be considered until a student has received a formal written statement of the decision of a Student Discipline Panel.
- 7.2 If a student decides to make an appeal, he or she must state whether the appeal is made against the finding of the Student Discipline Panel or the penalty imposed or both finding and penalty.
- 7.3 For an appeal to be considered, there must be at least one of the following grounds:
 - that evidence put to the Student Discipline Panel was not fully and properly considered;
 - that there was procedural irregularity in the conduct of the Student Discipline Panel hearing;
 - that there was prejudice and/or bias and/or the appearance of prejudice and/or bias in the conduct of the hearing by the Student Discipline Panel;
 - that the penalty imposed was excessive;
 - there is new information to be put forward that was not known to the Student Discipline Panel that for good reason was not presented to the original Student Discipline Panel;

Review of Appeals Submissions

- 7.4 The relevant Director of University Services will review each appeal received, and will check whether it has been submitted within the specified time limit or whether there is good cause to account for submission outside the specified time limit and whether or not it meets at least one of the conditions set out in paragraph 7.3 above.

- 7.5 If the appeal is accepted by the relevant Director of University Services, the student will be informed within 10 working days of receipt.
- 7.6 If the appeal is accepted by the relevant Director of University Services solely on the grounds that there is evidence that there was procedural irregularity in the conduct of a Student Discipline Panel, the relevant Director of University Services will refer the appeal to the Chair of the Senate Student Discipline Committee to remedy the procedural irregularity. Provided that there are no further procedural irregularities in this part of the process, there shall be no further right of appeal in the University. Section 9 below refers to how a complaint can be pursued outside the University.
- 7.7 If the relevant Director of University Services does not believe that the appeal meets any of the conditions set out in 7.3 above, and should therefore be rejected, the appeal will be referred to the Chair of the Senate Student Discipline Appeals Committee. The Chair will review the decision and the student will be informed by the relevant Director of University Services of the outcome within fifteen working days of receipt of the appeal form. If the rejection of the appeal is confirmed, this decision is final and there is no further right of appeal in the University. Section F below refers to how a complaint can be pursued outside the University.
- 7.8 If the appeal is accepted and proceeds to a hearing, the Chair of the Senate Student Discipline Appeals Committee shall review the appeal submission, shall confirm the mode of the appeal hearing (see paragraph 7.10 below) and approve the Chair and members to be appointed to the Student Discipline Appeals Panel, drawing these from amongst the members of the Senate Student Discipline Appeals Committee, plus additional members approved by the Chair, where appropriate, to hear the case. The mode of the hearing shall normally be the same as that of the original Student Discipline Panel. Members of the original Student Discipline Panel shall not be eligible to sit on the Student Discipline Appeals Panel considering any subsequent appeal.
- 7.9 The modes in which a Panel may be convened are:
- **Mode D:** for appeals relating to General Regulations 1, 8, 10, 11, 12, 19, 21, 22, 23, 24, 25 and 26 which were referred to a Student Discipline Panel;
 - **Mode E:** for cases arising under General Regulations 13; 15;16;17 (*concerning matters of academic assessment under the procedures relating to breaches of examination and course test regulations*); and 18
;
 - **Mode F:** for cases arising under General Regulation 14. .
- 7.10 Wherever possible, one Panel will be convened to give a full hearing to all aspects of an appeal. A panel convened in Mode F may, in addition

to considering appeals relating to professional misconduct and/or unsuitability (General Regulation 14), consider appeals relating to General Regulations 1, 8, 10, 11, 12, 13, 17, 18, 19, 21, 22, 23, 24, 25 and 26.

- 7.11 A Secretary shall be appointed to the Student Discipline Appeals Panel, who shall be the Registrar and Secretary or his/her representative. The role of the Secretary shall be as set out in 4.6 above.

Notification of students and Schools concerning hearings of Student Discipline Appeals Panels

- 7.12 The Secretary of the Panel shall send to the student required to appear before the Panel a written summons stating:

- (1) the nature and grounds of the appeal
- (2) the mode and membership of the Panel;
- (3) the name of the person, if any, who will present the case against the student and, as far as is practicable, the names of any witnesses who are already expected to be attending the hearing;
- (4) the date, time and place of the hearing;
- (5) the information on the order of proceedings in hearings set out in Paragraph 7.17 below;
- (6) the information set out in 17.15;
- (7) the right of the Panel to proceed in the student's absence or to determine that the appeal is abandoned and to confirm as a consequence the original decision without further hearing if having been properly summonsed, if the student fails to attend the hearing;
- (8) any additional evidence brought by the student forming part of his or her statement to the Senate Student Appeals Committee.

- 7.13 This summons shall be delivered to the student's pigeon-hole in his/her Faculty/School of Studies, University email address and contact address at least five working days (Saturdays, Sundays and University closure days excepted) before the meeting of the Panel, or, in the case of an intercalating, registration-only, dormant or excluded student, despatched to the student's last known address at least five working days in advance. A copy of the summons shall be sent to the Head and to the Senior Adviser of the student's School and to the student's Adviser or Supervisor;

General considerations for Appeal Hearings (all Modes)

- 7.14 The student required to appear before the Panel and the person (if any) presenting the case against the student shall have the right to be accompanied by a friend, colleague or representative, provided that the Secretary is informed of this intention and of the identity and standing of any friend, colleague or representative at least two working days before the hearing. Any friend, colleague, or representative must have

no connection with the allegations and thus no material interest in the matter. Where practicable, the Secretary to the Panel shall inform all parties in advance of the hearing of the identity of any friend, colleague or representative who will be in attendance. However, it is the responsibility of the party wishing to be accompanied to inform the friend, colleague or representative of the date, time and place of the hearing. The friend, colleague or representative may undertake the presentation of the case on behalf of the student, but a student may not be represented at a hearing in his or her absence and the friend, colleague or representative may not answer questions on the student's behalf.

7.15 The Panel shall receive all the written evidence which was before the Student Discipline Panel at the original hearing and the Secretary shall invite to appear before it all witnesses who gave evidence at the original hearing. It may also permit the presentation of such further evidence and the attendance of additional witnesses as it deems appropriate.

7.16 A hearing by a Student Discipline Appeals Panel shall take place in closed session.

Order of proceedings for Appeal Hearings (all Modes)

7.17 The hearing shall proceed as follows:

- i) the person (if any) presenting the case against the student shall set out the allegations and evidence in the case, answer questions from the Panel and student, and call witnesses;
- ii) the student (or person representing him or her) shall present his or her appeal and evidence for the appeal, answer questions from the Panel and the person (if any) presenting the University's case and call witnesses;
- ii) the Panel may call any witnesses not called by the other parties;
- iii) the presentation of any closing statement by the student (or person representing him or her);
- iv) the presentation of any closing statement by the person (if any) presenting the case against the student.

7.18 All parties shall have an opportunity to ask questions through the Chair of all witnesses called. The party calling the witness will normally ask the first questions of the witness.

Adjournment and reconvening of hearings of Student Discipline Appeals Panels (all modes)

7.19 The Student Discipline Appeals Panel, the person (if any) presenting the case or the student may request an adjournment of not normally more than ten working days, on which the ruling of the Chair as to whether to grant an adjournment, shall be final.

If the Chair determines that there is good cause, a hearing may be adjourned for a period of not normally more than ten working days. Where a hearing is adjourned, the Secretary to the Panel shall notify all parties in writing (in the case of the student summoned before a Student Discipline Appeals Panel, via his or her University email address and contact address) of the date, time and place of recommencement of the hearing, giving notice of at least two working days (Saturdays, Sundays and University closure days excepted). A reconvened hearing may proceed in the absence of the student if the Chair is satisfied that due notice has been served of the recommencement.

- 7.20 Where the Chair of a Student Discipline Appeals Panel determines that the mode in which the Panel has been convened is not competent to hear the case presented at a hearing, he or she shall adjourn the hearing without reaching a judgement and refer the matter to the Chair of the Senate Student Discipline Appeals Committee. The Chair of the Senate Student Appeals Discipline Committee may determine that a new Panel is convened in another mode for the case to be reheard. Members of the original Panel may be appointed to the new Panel with the written agreement of the student.

Outcomes of Senate Student Discipline Appeals Panels

- 7.21 Having considered all the evidence presented, the Senate Student Discipline Appeals Panel shall determine one of the following outcomes to the appeal in accordance with Appendix 4. It shall inform the student and the Presenter in writing of its decision within five working days (Saturdays, Sundays and University closure days excepted) shall copy this communication to the Head and to the Senior Adviser of the student's School, the student's Adviser or Supervisor and to the person (if any) presenting the case against the student at the hearing.
- 7.22 The decision of the Student Discipline Appeals Panel shall be final and not normally subject to further appeal within the University (see Section F below).

SECTION E: PAYMENT OF FINES

Section E is currently under review

This section explains how any fines imposed by the Disciplinary Officer, a Senate Student Discipline Panel or a Senate Student Discipline Appeals Panel are to be paid.

- 8.1 A fine imposed by the Disciplinary Officer, a Senate Student Discipline Panel or a Senate Student Discipline Appeals Panel must be paid to the Finance Office by the date prescribed by the person or body levying the fine.

SECTION F: FURTHER RIGHT TO APPEAL

Section F is currently under review

This section explains that a student may take a complaint outside the University – to the Office of the Independent Adjudicator for Higher Education – once the University's internal procedures have been completed.

- 9.1 Students who are dissatisfied with the outcome of their appeal or whose appeal was rejected without a hearing may complain to the Office of the Independent Adjudicator for higher Education (OIA). Details will be provided in the letter advising the student of the appeal's final outcome.

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APPENDICES

APPENDIX 1: MEMBERSHIP OF SENATE STUDENT DISCIPLINE COMMITTEE AND SENATE STUDENT DISCIPLINE APPEALS COMMITTEE

Chair and Members of the Senate Student Discipline Committee The Chair and members of the above Committee will serve for a period of three years. (A year after a member's name indicates that the term of office expires on 31 July of that year unless otherwise indicated) .

Chair of the Senate Student Discipline Committee

Professor Nigel Norris, EDU

Members of the Senate Student Discipline Committee, who may chair a Senate Student Discipline Panel:

HUM

SCI

FMH

Mrs Rosie Doy, NSC

SSF

Dr Nalini Boodhoo, EDU

Professor Gillian Schofield, SWK

Mr Ian Dewing, NBS (2015)

Members (including existing members):

HUM

Dr Simon Dell, ART

Professor Cathie Carmichael, HIS
(2016)

Professor John Street, PSI (2016)

SCI

Professor Andy Johnston, BIO

Dr Grant Wheeler, BIO

Dr Michael Wormstone, BIO

Professor David Wright, PHA
(2016)

Professor Dylan Edwards, BIO
(2016)

Dr Martin Loftus, CHE

Professor David Wright, PHA
(2016)

FMH

Ms Maggie Quinn, NSC

SSF

Dr Jonathan Dickens, SWK

Dr Maru Mormina, EDU

Dr Esther Priyadharshini, EDU (2014)

Additional members will be appointed where a Senate Student Discipline Panel hears professional misconduct and/or unsuitability cases, in accordance with the provisions in the Disciplinary Procedures. The Chair of the Senate Student Discipline Committee has the right to co-opt members.

Members of the Senate Student Discipline Appeals Committee

The members of the above Committee – one of whom shall be Chair – will serve for a period of three years. (A year after a member's name indicates that the term of office expires on 31 July of that year unless otherwise indicated) .

HUM

(Awaited: 2 vacancies)

FMH

Mr Rupert Wood (NSC)

(Awaited: 1 vacancy)

SCI

Dr Paul Hammerton (MTH)

SSF

Dr Sue Long (ECO)

Ms Ann McDonald (SWK)

Dr Mette Mogensen (BIO)

Additional members will be appointed where a Senate Student Discipline Appeals Panel hears professional misconduct and/or unsuitability cases, in accordance with the provisions in the Disciplinary Procedures. The Chair of the Senate Discipline Appeals Committee has the right to co-opt members.

APPENDIX 2: COMPOSITION OF SENATE STUDENT DISCIPLINE PANELS (MODES A TO C) AND OF SENATE STUDENT DISCIPLINE APPEALS PANELS (MODES D TO F)

<p>Student Discipline Panels</p> <p>Mode A Chair, one non-student member of the Senate Student Discipline Committee, one student member (normally identified from the pool nominated by the Union of UEA Students or by the Graduate Students' Association (GSA) , depending on the status of the student before the Panel. If a nomination is not able to be made by the GSA, a nomination shall be sought from the Union of UEA Students).</p> <p>Mode B Chair and two non-student members of the Senate Student Discipline Committee</p> <p>Mode C Chair, one non-student member of the Senate Student Discipline Committee, and one member of faculty with appropriate status within the relevant professional discipline (who does not need to be a member of the Senate Student Discipline Committee) and one external representative from the relevant profession in line with professional, statutory and/or regulatory body requirements where these exist.</p> <p>The Chair and members of the Student Discipline Panel shall have had no association with the teaching of the student appearing before the Panel. Wherever possible, the Panel shall be constituted with due regard to the need to ensure equality of representation.</p>
<p>Senate Student Discipline Appeals Panels</p> <p>Mode D Chair, one non-student member of the Senate Student Discipline Appeals Committee, one student (normally identified from the pool nominated by the Union of UEA Students or by the Graduate Students' Association (GSA), depending on the status of the student before the Panel. If a nomination is not able to be made by the GSA, a nomination shall be sought from the Union of UEA Students).</p> <p>Mode E Chair and two non-student members of the Senate Student Discipline Appeals Committee</p> <p>Mode F Chair, one non-student member of the senate student discipline appeals committee, one member of faculty with appropriate status within the relevant professional discipline (who does not need to be a member of the senate student discipline appeals committee) and one external representative from the relevant profession in line with professional, statutory and/or regulatory body requirements where these exist.</p>

The Chair and members of the Student Discipline Appeals Panels shall have had no association with the teaching of the student before the Appeals Panel nor shall they be the same persons who heard the original case. Where possible, the Panel shall be of mixed gender.

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APPENDIX 3: NORMAL PENALTIES OF PANELS RELATING TO MATTERS OF STUDENT DISCIPLINE

Student Discipline Panel : Mode A General Regulations relating to non-academic disciplinary matters
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A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Temporarily exclude a student, or permanently expel him or her, from further study in the University;
- 2 Temporarily exclude or permanently expel a student from the University, or any part thereof, or from any University activity;
- 3 In the event of damage to persons or property, require that such damage be made good at the expense of the student or students concerned, in whole or in part;
- 4 Impose a fine not exceeding £1000;
- 5 Where a panel determines that none of the above penalties would be appropriate, impose another appropriate penalty providing that where the penalty or exemption requires or implies a concession under University Legislation, approval shall be sought from the relevant Pro-Vice-Chancellor and the Head of the relevant central Division or the relevant Director of University Services who shall act on behalf of Senate and/or Council in deciding such requests.

Student Discipline Panel : Mode B General Regulations relating to academic disciplinary matters, misconduct in research and plagiarism and/or collusion
--

A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Temporarily exclude a student, or permanently expel him or her, from further study in the University;
- 2 Temporarily exclude or permanently expel a student from the University, or any part thereof, or from any University activity;
- 3 Determine that, as a consequence of an academic offence, a mark of zero be recorded for the whole or part of the work submitted by a student for assessment, and may in addition determine that the student be referred to reassessment (where normally permitted under the regulations governing the programme of study) and further, that the reassessment must be passed;
- 4 (For cases of misconduct in research) recommend to the Registrar and Secretary (or nominee) that a report is made to an external body, which may

include a professional body, a research ethics committee external to the University, or an employer.

- 5 Where a panel determines that none of the above penalties would be appropriate, impose another appropriate penalty providing that where the penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services f who shall act on behalf of Senate in deciding such requests.

Senate will publish guidance to panels on the determination of penalties for academic disciplinary offences. This may be consulted at:

<https://www.uea.ac.uk/learningandteaching/documents/discipline/GuidanceNotesonDisciplinaryProcedure>

Student Discipline Panel : Mode C
General Regulations relating to Professional Misconduct and/or Unsuitability

A Panel may apply one or more of the following penalties where it finds a student guilty of a breach of the regulations:

- 1 Where a Panel finds a student guilty of professional misconduct and/or professional unsuitability under the regulations, the Head of the School in consultation with the relevant Director of University Services shall decide whether a report should be made to the relevant professional or statutory body.
- 2 On the basis of professional misconduct and/or unsuitability, a Panel may also temporarily exclude a student, or permanently expel him or her from further study in the University;
- 3 The Panel may also impose one or more of the penalties associated with Student Discipline Panels convened in **Mode B** providing that where the penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services who shall act on behalf of Senate in deciding such requests.

APPENDIX 4: NORMAL PENALTIES OF APPEALS PANELS RELATING TO MATTERS OF STUDENT DISCIPLINE

Senate Student Discipline Appeal Panel acting in all Modes (D, E and F)
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A Panel may:

- 1 Confirm the decision(s) of a Senate Student Discipline Panel; **or**
- 2 May substitute a lower penalty except that:
 - i) in so doing, the new, lower penalty must be consistent with the level of penalty imposed by a Senate Student Discipline Panel or the Senate Student Discipline Appeals Committee for (a) similar offence(s); and
 - ii) where any penalty or exemption requires or implies a concession under the Regulations governing award of degrees, diplomas or certificates, approval shall be sought from the relevant Pro-Vice-Chancellor and the relevant Director of University Services who shall act on behalf of Senate in deciding such requests; **or**
- 3 On the basis of evidence of prejudice and/or bias and/or the appearance of prejudice and/or bias or procedural irregularity in the conduct of the original hearing, may:
 - i) notwithstanding this finding, confirm that the verdict and penalty should stand; **or**
 - ii) may set aside the verdict and penalty; **or**
 - iii) may find that the verdict was unsafe in part and find the student guilty of a lesser offence and impose a lesser penalty in accordance with 2i) and ii) above.

Senate will publish guidance to the Senate Student Discipline Appeals Committee on the determination of penalties. This may be consulted at:
<http://www.uea.ac.uk/calendar/section3/regs%28gen%29/disciplinary-procedures/sectiond>

APPENDIX 5

NSC FTP PANEL	LTS HUB	NMC
	Cause for Concern received in Hub	
Initial FTP Panel is held in accordance with standard NSC FTP procedures		
Panel confirms that report should be made to NMC		
Letter from Chair FTP to Secretary SSDC advising of report to NMC and need for suspension pending guidance from NMC		
Student is reported by Chair FTP to NMC		NMC complete Initial Assessment
		Interim Orders Hearing held within 2-4 Weeks
Letter sent to student by Chair NSC FTP advising student of his/her suspension and that s/he must:		
Advise NSC of the outcome of the Interim Orders Hearing		
Advise his/her employer of suspension and report to NMC		
	Receives notification of outcome of Interim Orders Hearing:	
	i) No Case to pursue	
	record on file	
	return student to programme	
	matter referred to FTP	
FTP considers case from School perspective		
Will consider any future similar incidents as evidence of 'failure to learn'		
	ii) Case to pursue but on 'managed risk' basis	
	record on file	

FTP advises on implementation of any conditions to practice		
If conditions prevent continuance on course the suspension remains in place		
If conditions allow then suspension may be lifted		
	iii) Case to pursue and student poses a risk	
	record on file	
	suspension remains in force	
		NMC Formal Hearing:
	student withdrawn from programme	i) Registration Removed
	student suspension continues until NMC restriction lifted.	ii) Registration suspended
FTP considers if the case has any University disciplinary implications other than PMU, which has already been covered by the NMC process		
	Subject to any additional disciplinary penalty concession will be sought if needed and if available to allow student's continuation on the course following lifting of suspension	
FTP considers if the case has any University disciplinary implications other than PMU, which has already been covered by the NMC process		iii) No restriction on practice
	Subject to any disciplinary penalties the student continues on their course	

Complaints Procedures

Preamble

If you have a concern

1 If a student has concerns about an aspect of his/her experience at the University, there are several ways in which these concerns can be raised, depending on the nature of the concern. There are separate procedures for making:

- an academic appeal
- an academic complaint
- a non-academic complaint

(Further information is available at:

- http://www.uea.ac.uk/learningandteaching/documents/appeals_complaints and <http://www.uea.ac.uk/pgresearch>
- a complaint concerning the Union of UEA Students A complaint concerning the Graduate Students' Association (insert web address).

(Further information is available at:

[http://s3-eu-west-1.amazonaws.com/nusdigital/document/documents/15037/c1c226f4ab5937535d429c223a2d17de/Academic%20complaints%20 template.pdf](http://s3-eu-west-1.amazonaws.com/nusdigital/document/documents/15037/c1c226f4ab5937535d429c223a2d17de/Academic%20complaints%20template.pdf)

Which procedure?

2 An **academic appeal** is made where the concern relates to an academic result (eg progression from one year to the next; degree classification; transfer from MPhil to PhD) or the circumstances relating to them (generally referred to as 'extenuating' circumstances).

An **academic complaint** is followed when the concern does not involve an academic result but does concern the delivery of a programme of studies and/or its associated resources (eg library provision or laboratory facilities).

A **non-academic complaint** covers other aspects of a student's experience at UEA, for example, if there are concerns about accommodation or catering or careers.

3. If a student is in any doubt about which procedure is most relevant, they should consult the appropriate Learning and Teaching Service hub (taught programmes) or the PGR Students Office (research degree programmes) or seek the advice of the Dean of Students' Office or the Advice Centre of the Union of UEA Students. A Complaint may be referred to a more appropriate procedure where one exists, for example, staff or student disciplinary

procedures or procedures for dealing with allegations of harassment (see below).

Once a procedure is identified, the student should follow the steps of that procedure to its conclusion. The decision of the University regarding the complaint will be considered to be final. The complainant will not have the right to have the same case heard again through a different complaints route.

Behaviour of staff and students

4 If a student feels that he/she is being subjected to any form of harassment by a member of staff or a fellow student, the University has formal Guidelines that have been designed to offer practical ways of dealing with harassment. These Guidelines offer a student informal steps that can be taken to address the situation. Under the Guidelines, if a student's concerns cannot be resolved by informal means, he/she should follow the Next Steps laid down in the Guidelines, by seeking a confidential interview with the Senior Resident Tutor in the Dean of Students' Office.

If the student considers that his/her concern has not been addressed by due process in accordance with the Guidelines, he/she has the right to register a complaint through the procedure laid down in the following paragraphs. The University's Guidelines for Students Dealing with Harassment is available at <https://www.uea.ac.uk/dos/student-conduct-and-harassment>. Further advice is available from the Learning and Teaching Service, the PGR Students Office, the Dean of Students' Office and the Advice Centre of the Union of UEA Students.

NON-ACADEMIC COMPLAINTS PROCEDURE

***Note: All references to 'working days' in this procedure exclude Saturdays and Sundays, Bank Holidays and University closure days**

1 Purpose

- 1.1 The Non-Academic Complaints Procedure is intended to allow UEA students formally to raise concerns about matters which are the responsibility of the University, but which do not fall clearly under the academic appeals or academic complaints procedures or the procedures for dealing with complaints about the Union of UEA Students or the Graduate Students' Association. We take such concerns seriously at UEA and the Procedure is designed to enable a student's concerns fully to be considered and action taken, within the bounds of what it is reasonable and practicable for the University to provide, to remedy the situation where appropriate in a timely manner.

Students on validated or accredited programmes at partner institutions should use the complaints procedures at their place of study.

- 1.2 This Complaints Procedure comprises two parts: Stage One, in which the Dean of Students considers the complaint and Stage Two, which a student may follow if dissatisfied with the outcome of the Stage One

complaint. Stage Two Complaints are considered by the Registrar and Secretary (or their nominee).

2 Commitments

- 2.1 Students who submit a Complaint under this procedure will not be unfavourably treated for having done so. Any student who believes that s/he has been unfavourably treated by submitting a case should immediately contact the relevant Director of University Services (Learning and Teaching Service or Research & Enterprise Service (via the PGR Students Office))
- 2.2 The University expects that students will not engage in frivolous or malicious complaints. If a complaint is found to have been brought with mischievous or malicious intent, this may itself prove grounds for disciplinary actions against the complainant.
- 2.3 In considering complaints, the University will apply this Complaints Procedure in accordance with its Equal Opportunities Policy. In particular, reasonable adjustments will be made for those with disabilities, specific learning disabilities or long-term medical conditions.
- 2.4 All parties to the complaint and individuals who have been involved in any related investigations and/or the management and/or administration of the complaint will observe the requirements of confidentiality. Whilst confidential information may need to be disclosed in order to consider the complaint, this will only be to those staff involved in the consideration of the complaint. In addition, confidential information may be disclosed to governmental, police or regulatory authorities as required by law.
- 2.5 All personal information will be processed by the University in accordance with the Data Protection Act 1998.

3. First steps to try to resolve concerns

- 3.1 Students are encouraged to try to resolve informally the matter they are concerned about before beginning the formal Procedure. A number of avenues exist through which an explanation can be provided which might satisfactorily answer their concerns. An informal approach should be made to the person(s) most directly involved. This may involve contacting the student's Personal Adviser/Supervisor, another member of the academic staff or other appropriate person. These informal proceedings will not prejudice the formal procedure outlined below. Students can be assisted in making such an approach by their School's student representative(s) and may also seek advice from the Dean of Students' Office and/or the Advice Centre of the Union of UEA Students.

- 3.2 Should these steps not resolve the matter to the student's satisfaction, the student may make a formal case for a Complaint under Stage One of the procedure. The Complaint will be dealt with by the Dean of Students' Office unless the complaint concerns that Office or its staff, in which case a suitable substitution will be made by the Registrar and Secretary. If the concern remains unresolved after this, the student may take the process to Stage Two, which is described below.

STAGE ONE NON-ACADEMIC COMPLAINT

4 How a student submits a Stage One non- academic complaint

- 4.1 A student who wishes to make a formal complaint about matters which are the responsibility of the University (as defined in paragraph 1.1 above) should submit a completed Stage One Complaint Form and any supporting evidence to the Dean of Students normally within thirty days of the occurrence of the matters about which the student wishes to complain. Forms are available at:

http://www.uea.ac.uk/learningandteaching/documents/appeals_complaints

or from the relevant hubs/PGR Students Office, the Dean of Students' Office or the Advice Centre of the Union of UEA Students. No evidence submitted can be anonymous. If the student is unsure about how to proceed he/she should seek advice from the relevant University Service (the Learning and Teaching Services or the PGR Students Office, the Dean of Students' Office or the Advice Centre of the Union of UEA Students).

- 4.2 Complaints submitted after the expiry of thirty days after the occurrence of the matters about which the student wishes to complain, may be considered at the discretion of the University. Complainants should be aware that a long interval between the occurrence of the matters which are complained of and the complaint may impede the process of evidence gathering and possibly compromise the reliability of any witness statements.

5 Response to the complaint

- 5.1 The Dean of Students is responsible for responding to a Complaint. If the Dean of Students is part of the subject of the complaint or is otherwise in a conflict of interest, a suitable substitution will be made by the Registrar and Secretary (or their nominee). Notwithstanding this provision and for ease of reference the person responsible for responding to the Complaint will be hereafter referred to as the Dean of Students in this Procedure.

- 5.2 Upon receipt of the complaint, the Dean of Students will consider the nature of the complaint and will direct it to the most appropriate route for dealing with the issues that have been raised. This could mean that the matter is dealt with under one of the following procedures

- Academic appeals;
- Academic complaints;
- Staff or Student disciplinary procedures;
- Complaints concerning the Union of UEA Students
- Complaints concerning the Graduate Students' Association.

Some service areas in the University have local complaints procedures and, where such a procedure exists, the Dean of Students will advise the student that the local procedure will be used to address the complaint under Stage 1.

If the complaint needs to be addressed through one of these routes the appropriate procedure will be followed through to its conclusion. Once the procedure has been exhausted the University's decision regarding the complaint will be final. The complainant will not have the right to have the same case heard again through a different complaints route.

- 5.3 If the Dean of Students determines that the matter should be handled under the Non-Academic Complaints Procedure, the Dean of Students will appoint an Investigating Officer who will assemble the evidence relevant to the complaint and prepare a written report for the Dean of Students. In assembling such evidence, the Investigating Officer may interview those involved and will consider any relevant records or other written information (subject to the terms of the Data Protection Act). The timescale for this investigation will normally be within 15 working days* of the date of the appointment as Investigating Officer.
- 5.4 If the complaint relates to matters which may give rise to disciplinary proceedings against individual members of staff or students of the University, it will be referred to the appropriate authority under the relevant staff or student disciplinary procedure. If disciplinary proceedings are, or have already been, commenced in respect of these matters, they will take precedence over the operation of the complaints procedure, which will cease at this point. The student may be called to give evidence at any associated disciplinary hearing. The student will be entitled, if he or she requests, to be informed of the outcome of the disciplinary proceedings.
- 5.5 If, at any stage in the complaints procedure, the subject of the complaint becomes, or is likely to become, a matter for criminal proceedings, this complaints procedure will be suspended. The procedure will be put on hold until either criminal proceedings have been completed or a decision not to prosecute has been taken.
- 5.6 Subject to the provisions of paragraphs 5.3-5.5 above the Dean of Students shall consider the report of the Investigating Officer and may commission further enquiries and investigations by the Investigating Officer as he/she sees fit. The student may be invited to discuss the

complaint in person and may be accompanied by a friend if s/he wishes.

6 Actions and Outcomes

- 6.1 The Dean of Students will consider the conclusions of the Investigations and will decide whether the complaint has any substance, whether any remedial action should be taken or whether the *complaint is unjustified*.
- 6.2 If the Dean of Students decides that remedial action should be taken, the Dean of Students will make a written recommendation to the relevant Director of University Services/Head of Service/School regarding resolution of the complaint. The relevant Director of University Services/Head of Service/School shall normally have 10 working days* within which to respond to the Dean of Students' recommendation(s).
- 6.3 The decision of the Dean of Students will then be communicated to the student in writing within 35 working days* (including investigation) of the date of receipt of the complaint if practicable. The Dean of Students will provide a full and clear explanation of the decision, including, where relevant, notice of specific actions to be taken by way of a remedy and for the prevention of a recurrence of the original cause of the complaint.
- 6.4 With limited exceptions (for example, where information cannot be disclosed because of the University's obligations under the Data Protection Act), all written material considered by the Dean of Students under the procedure will be accessible to the student as accompanying evidence to the decision of the Dean of Students, with redactions where appropriate. In the first instance, the evidence will take the form of a list of the documents/evidence considered, included with the Dean of Students' response to the student. The student may request in writing to the Dean of Students a copy of the evidence taken into consideration.

STAGE TWO NON-ACADEMIC COMPLAINT

7. How a student submits a Stage Two non-academic complaint

- 7.1 If dissatisfied with the outcome of the Dean of Students' investigation, the student may, within 20 working days* of the date of its notification, submit a completed Stage 2 Non-Academic Complaints Form, (and any supporting evidence) to the Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint), giving reasons for wishing to pursue the complaint. Reasons should include one or more of the following:
 - there is new information to be put forward by the Student that was not known to the Investigating Officer or to the Dean of Students. In these circumstances, the student must give reasons as to why the information had not been available at Stage one of the complaints;

- that evidence put forward at Stage One was not fully and properly considered, giving reasons as to why this is the student's belief;
- that there was procedural irregularity in the conduct of the Stage One Complaint;
- That there was prejudice and/or bias and/or the appearance of prejudice and/or bias in the conduct of the Stage One Complaint.

Forms are available at:

http://www.uea.ac.uk/learningandteaching/documents/appeals_complaints; or from the relevant University Service (the Learning and Teaching Services, or the PGR Students Office); the Dean of Students' Office or the Advice Centre of the Union of UEA Students. No evidence submitted shall be anonymous. A student may wish to seek advice from the Advice Centre of the Union of UEA Students on how to make an appeal under Stage 2.

8. Response to the complaint

8.1 The Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint), shall decide whether there is a prima facie case that the complaint, as set out on the Complaints Form, warrants further consideration under Stage 2, taking into account:

- (1) any documentary evidence submitted by the student under Stage 1;
- (2) the letter sent to the complainant by the Dean of Students giving the outcome of Stage 1 in accordance with paragraph 6 above: *and*
- (3) the reasons given by the complainant for wishing to pursue the complaint to Stage 2.

8.2 The Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint) shall inform the student in writing, normally within 10 working days* of the receipt of the complaint whether the complaint will be accepted under Stage 2 of the procedure, giving reasons for this decision, which shall be final.

8.3 If the Complaint is accepted on the grounds of procedural irregularity in the conduct of the Stage One Complaint alone, the Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint) shall notify the Dean of Students who shall make the appropriate arrangements to remedy the procedural irregularity in the Stage One process. This may include the investigations conducted by the appointed Investigating Officer. Provided that there are no further procedural irregularities in this part of the process, there shall be no further right of appeal in the University. Regulation 10.2 below refers to how a complaint may be pursued outside the University. This step in the procedure will normally take up to 15 working days*.

- 8.3 If it is decided to accept the complaint at Stage 2 on grounds other than or in addition to the procedural irregularity the Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint) shall inform the Dean of Students and the relevant Head of School, Head or Director of Service who acted under Stage One of this procedure, of the decision and shall also determine the member(s) of the Executive Team (the "designated officer(s)") and/or other Senior Officers who shall consider the complaint on the basis that no-one shall consider a complaint that falls within his/her remit.
- 8.4 The Registrar and Secretary (or their nominee) will send a copy of the complaint form and supporting evidence submitted by the student to the designated officer(s) and/or other Senior Officer(s), to the person(s) most directly involved in the substance of the complaint and to the Dean of Students who acted under Stage 1.
- 8.5 The Head of School or Director of University Services or Head of Service and the Dean of Students will be invited to provide a written response to the Stage 2 complaint within 10 working days* The designated officer(s) may also conduct such other enquiries as they determine appropriate during this period.
- 8.6 The Dean of Students, relevant Director of University Services/Head of School/Service, and the student may be invited to a meeting and may be called upon to give evidence. Each may be accompanied by a friend, colleague or representative if so wished provided that the Secretary is informed of this intention and of the identity and standing of the friend, colleague or representative at least two working days* before the meeting. The friend, colleague or representative may not act in the capacity of a lawyer. Where practicable, the Secretary to the meeting shall inform all parties in advance of the identity of any friend, colleague or representative who will be in attendance. It is the responsibility of the party being represented, however, to inform the friend, colleague or representative of the date, time and place of the meeting. The friend, colleague or representative may undertake the presentation of the case on behalf of the relevant party but a party to the case may not be represented at a meeting in his or her absence and the friend, colleague or representative may not answer questions on the party's behalf. If a meeting is held, this step of the procedure will normally take place within 15 working days* of the decision to hold a meeting.
- 8.7 The investigation of the Stage 2 complaint shall normally be completed within 20, 25 or 35 working days* of the decision to accept the complaint, where practicable, in accordance with the procedures set out above.

9. Actions and Outcomes

- 9.1 The Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint) will write to the relevant Director of University Services/Head of School/Service within 5 working days* of a decision having been reached with regard to the Stage Two complaint to instruct him/her on the action to be taken, giving a full and clear explanation of the decision.
- 9.2 The Registrar and Secretary (or their nominee, normally a Director of University Services or other Head of Service not being connected to the complaint) will advise the student of the outcome of the Stage Two complaint in writing:
- (i) within 5 working days* of the meeting, if a meeting is held in accordance with paragraph 8.6 above; or
 - (ii) within 5 working days* of receipt of the written response to the Stage Two complaint referred to in paragraph 8.5 above (if no meeting is held); or
 - (iii) within 5 working days* of completion of reconsideration by the Dean of Students arising from procedural irregularity.

A full and clear explanation of the decision will be provided. This response will include, if the complaint is upheld, notice of specific actions to be taken by way of a remedy and for the prevention of a recurrence of the original cause of the complaint within the bounds of what it is reasonable and practicable for the University to provide.

10. Further right to appeal

- 10.1 Following completion of Stage 2 there is no further right to complaint within the University.
- 10.2 Students who are dissatisfied with the outcome of their Stage Two complaint, or whose complaint was rejected without an investigation at Stage 2, may complain to the Office of the Independent Adjudicator for Higher Education (OIA). Details will be provided in the letter advising the student of the complaint's final outcome, indicating that internal procedures have been completed.

Academic Appeals and Complaints Regulations

(to apply to all Academic Appeals and Complaints relating to academic year 2013-14 onwards)

1. Purpose

- 1.1 The Academic Appeals Regulations are intended to allow the formal raising of concerns by UEA Students* undertaking taught or research programmes regarding their academic results or circumstances relating to them. The Academic Complaints Regulations is intended to allow the formal raising of concerns by UEA students undertaking taught or research courses regarding academic matters not relating to academic results. We take students' concerns seriously at UEA and the Regulations are designed to enable their effective consideration and the enacting of timely remedies as appropriate. If a more appropriate route exists to consider the substantive concern, the student will be advised to engage with the relevant alternative Regulations.
- 1.2 The Regulations have been informed by the Office of the Independent Adjudicator's (OIA) guidance on Good Practice, and embodies the following core principles: Natural Justice, Ease of Use, Time Frames that meet OIA recommendations, Transparency, Consistency, The Treatment of Students as Adults, Recognition of Professional Body Requirements.
- 1.3 The Academic Appeals and Complaints Regulations comprise three parts: an informal stage, a formal Stage One, in which the Faculty Appeals and Complaints Panel (FACP) considers the appeal, and a formal Stage Two, which a Student may follow if dissatisfied with the outcome of the Stage One appeal and if the submission meets the required conditions for consideration.
- 1.4 A Guidance document for staff and students detailing the processes associated with these regulations is available from Learning & Teaching Services.

* *Students studying at UEA, or registered with UEA and based at the John Innes Centre, The Sainsbury Laboratory, The Genome Analysis Centre or Institute of Food Research. For students based at the John Innes Centre, Sainsbury Centre, Sainsbury Laboratory, The Genome Analysis Centre or Institute of Food Research, Stage One appeals and complaints are considered by the FACP applicable to the School of registration. Students on validated or accredited programmes at partner institutions wishing to submit an appeal or complaint should use the relevant Regulations at their place of study.*

2. Commitments

- 2.1 Students who submit a case under these Regulations will not be unfavourably treated for having done so. Any Student who believes that s/he has been less favourably treated as a result of submitting a case should immediately contact the relevant Director of University Services.
- 2.2 The University expects that Students will not engage in frivolous or malicious appeals or complaints. It should be noted that if an appeal or complaint is found to have been brought with mischievous or malicious intent this may provide grounds for disciplinary action against the student.
- 2.3 The University will operate in accordance with its Equal Opportunities Policy when applying the Appeals and Complaints Regulations.
- 2.4 Students should be aware that any information they supply will be treated with due discretion and on a 'need to know' basis.
- 2.5 All personal information will be processed by the University in accordance with the Data Protection Act 1998.
- 2.6 Training will be provided for all University staff involved in the processing of Appeals and Complaints.

3. First Steps to Try to Resolve Concerns

(Note: In this and the following sections, references to 'Board of Examiners' in relation to postgraduate research students normally means the internal and external examiner of the thesis appointed by the University. For other students, and for the taught elements of the professional doctorates (ClinPsyD and EdD) and the PhD with Integrated Studies, references to 'Board of Examiners' normally means those internal and external examiners appointed by the University in respect of taught provision.)

- 3.1 Students are encouraged to seek an informal resolution of the matter about which they are concerned before beginning the formal Regulations. Informal explorations of possible ways in which a matter may be resolved will not prejudice the consideration of a later formal submission. The University recognizes that an informal approach is most likely to be of use in respect of complaints rather than appeals against academic outcomes.
- 3.2 Marks allocated to work which has not been double-marked can be challenged by students either informally (via re-marking) or as part of an appeal. Work which has been double-marked cannot be challenged or the subject of an Appeal. Details of the Regulations are available from the relevant University Service Offices. Under the Submission of Work for Assessment Policy the outcome should normally be available within a

further 10 working days.

3.3 Students should make every attempt to submit their case concerning a provisional academic result (whether singly or double marked) before the Board of Examiners meets. This is in Students' best interests as an early decision can then be made. Where the interval between the notification of an academic result and a meeting of the Board of Examiners is less than 10 working days, consideration of an appeal shall be postponed until after the relevant Board of Examiners has met. At this point, the formal academic appeals Regulations shall be followed.

3.4 Should these steps not resolve the matter to the Student's satisfaction, the Student may submit an academic appeal or complaint under Stage One of the Regulations.

4. The Nature of the Appeal/ Complaint

4.1 Students may appeal any of the following:

- i) A degree result
- ii) Confirmed marks (i.e. following internal moderation)
- iii) Failure to be transferred to a PhD from an MPhil or to an EdD from an MEd
- iv) Required withdrawal from a course
- v) A penalty applied in respect of plagiarism and/or collusion, except where the student has been referred to Senate Student Discipline Committee regarding the alleged plagiarism and/ or collusion
- vi) A refusal to permit the late submission of work for assessment or to approve a delayed first sit

4.2 Only those decisions/ judgements/ outcomes detailed at 4.1 above can be cited as the object of an academic appeal and any appeal based on grounds not covered by 4.1 above shall be rejected without consideration by the FACP.

4.3 Academic complaints may address any aspect of a student's academic experience about which s/he is dissatisfied with the exception of those grounds detailed at 4.1 above

5. Submitting a Stage One Academic Appeal or Complaint

5.1 Students must submit a completed Stage One Academic Appeal Form or a completed Stage One Academic Complaint Form to their Hub. Forms can be downloaded at http://www.uea.ac.uk/learningandteaching/documents/appeals_complaint_s. Students should be guided by Section 4 (above) in selecting the appropriate form. Students should submit all relevant evidence with their form.

- 5.2 The relevant University Service may suspend the Stage One Academic Appeal or Complaint where appropriate, pending clarification by a Student that s/he has tried to resolve the matter s/he is concerned about informally before beginning the formal stage of the process.
- 5.3 A Student may decide to withdraw an appeal or complaint at any time prior to its consideration by the FACP.
- 5.4 The Head of School shall be notified of the substance of the Appeal or Complaint and may choose, within the limits of his/ her authority, to reverse the action or decision giving rise to the Appeal or Complaint in advance of the FACP meeting to consider the case. Where this occurs it shall be regarded as an informal resolution of the Appeal or Complaint subsequent to a confirmation by the student that they are now content that the Appeal or Complaint has been satisfactorily addressed.
- 5.5 Until such time as the Appeal or Complaint has been resolved the student should continue in accordance with such requirements as are placed upon them with regard to their situation as it stands at the point of submission. For example students appealing against a failing mark should continue to engage with any reassessment opportunities they are required to undertake.

6. Consideration of the Stage One Appeal or Complaint

- 6.1 Stage One Appeals and Complaints that meet the grounds for consideration (see 4.i-4.iii above) shall be considered by a Faculty Appeals & Complaints Panel (FACP), which shall meet with a frequency that ensures that the time between submission and consideration by a panel does not exceed 20 working days for any case (normally this will require monthly meetings).
- 6.2 There shall be two panels in each Faculty, one being responsible for UG and PGT cases and the other being responsible for PGR cases. Each panel shall be chaired by a senior, well-trained member of academic staff in the Faculty concerned. The Panel shall comprise 3 members of academic staff from the Faculty in question, one member of staff from a Panel in another Faculty, plus the Chair and an experienced LTS/ PGR Service secretary/advisor. The Head of LTS/PGR Service will advise on procedural matters in relation to particularly complex cases.
- 6.3 The relevant University Service Office will provide the FACP with the documentation submitted by the Student under Stage One, a summary of the case and an indication as to whether the submission appears to meet one of the necessary objects in order for it to be considered.
- 6.4 The relevant University Service Office will, within 5 working days of receipt of the Appeal or Complaint, write to the student acknowledging receipt and informing the student of the date of the next meeting of the FACP at which their case will be considered. This letter will also inform

the student of the date by which they should normally expect to be advised of the Panel's decision.

7. Timescales for Stage One

7.1 The Student's submission including any supporting documentation must be received in the relevant Hub no later than 10 working days after:

- i) Appeals - the date on which the student was formally notified of the outcome against which they are appealing or, where informal resolution has been sought, the date of the last communication to the student regarding the outcome of the informal stage (This may include, inter alia, meetings, emails, and letters).
- ii) Complaints – the date on which the attempt to resolve matters informally was concluded. This date shall be the date of the last communication to the student regarding the outcome of the informal stage (This may include, inter alia, meetings, emails, and letters).

7.2 Appeals or complaints submitted after the deadline (see 7.1 above) with good reason for the delay may still be considered. The Student should contact the relevant University Service Office if s/he is unable to meet this deadline.

7.3 The decision by the relevant Director of University Services or their nominee as to whether a late submission should be accepted shall be final and not subject to appeal.

7.4 Cases shall be considered by the next scheduled FACP, where a case is received by the relevant Service Hub not later than 5 working days prior to the FACP meeting. Cases received after that date will be deferred to the following FACP meeting to allow sufficient time for supporting documentation to be collated.

7.5 In normal circumstances the student shall be advised of the outcome of his/her Stage One Appeal or Complaint within 10 working days of the date of the FACP meeting. Where the complexity of the case prevents this the student shall be notified of the delay.

8. Actions and outcomes at Stage One

8.1 A FACP will uphold appeals where any of the following are found:

- i) Correct procedure was not followed which undermined the validity of the academic result.
- ii) Prejudice and/or bias affected the academic result.
- iii) The Student's performance was adversely affected by extenuating circumstances not previously submitted (ONLY where late

submission of extenuating circumstances has been approved by the ADTP).

- iv) Significant changes were made to a course without being properly communicated and/or were not properly taken into account.
- v) The teaching, supervision or research training provided was insufficient.
- vi) Extenuating circumstances were not fully and properly considered.
- vii) Natural Justice dictates that the appeal be upheld.
- viii) The learning support provided was unsatisfactory or inappropriate.

8.2 A FACP will uphold complaints where any of the following are found:

- i) Correct procedures were not followed.
- ii) The student experienced prejudice and/or bias.
- iii) Significant changes were made to a course without being properly communicated and/or were not properly taken into account.
- iv) The teaching, supervision or research training provided was insufficient.
- v) Natural Justice dictates that the complaint be upheld.
- vi) The learning support provided was unsatisfactory or inappropriate.

8.3 The possible remedies to an upheld complaint will, by the nature of complaints, be too individual to summarise here. They shall be determined by the FACP, will not involve any adjustment to academic outcomes (since academic outcomes must be addressed through the Appeals route) and where a concession would be needed to allow the proposed remedy to apply the Chair of the relevant FACP should seek advice from ADTP or ADRP as appropriate.

8.4 FACP's shall be able to agree compensatory payments to be made to students in relation to upheld complaints up to a limit of £500. If it is felt that such compensation would provide an insufficient remedy the Chair of the relevant FACP should seek advice from the ADTP or ADRP as appropriate who will exercise the powers they hold in relation to Stage Two cases in this regard.

8.5 The FACP shall have the power to institute the following actions in respect of upheld Appeals. The precise remedy determined by the FACP shall depend on the details of the case:

- i) Reconvene a Board of Examiners to reconsider the academic decision/outcome
- ii) Recommend to Senate that it instructs the original Examination Board to award a specified classification.
- iii) Instruct a new set of examiners to examine a thesis.
- iv) Permit the student to submit a revised thesis within a time period specified by the FACP.
- v) Permit the student a further upgrade attempt with a new transfer panel.
- vi) Require the correction of procedural irregularity.

- vii) Set aside a penalty applied in relation to work alleged to have been plagiarised or in respect of which there is alleged collusion.
- viii) Require a Plagiarism Officer, not previously involved in the case, to investigate the case and determine the level of any plagiarism and/or collusion.
- ix) Grant retrospective approval of extension for late submitted work.
- x) Permit a student a further period of supervised study and to submit a revised thesis within a time period set by the FACP.
- xi) Retrospective granting of a delayed assessment/ reassessment
- xii) Recommend a concessional remedy to be approved by ADTP or ADRP.

8.6 Where the outcome of an appeal requires the establishment of a reconvened Exam Board, the reconvened Board should have different internal members from the original Board. The Board should reconvene as soon as practical and the Secretary to the reconvened Board shall advise both the student and the Secretary of the FACP of the outcome.

8.7 In all cases the Secretary to the FACP shall write to advise the student of the outcome of the consideration of their case in accordance with 7.5 above.

8.8 *The letter shall advise the student that a Stage Two Appeal or Complaint can only be submitted if the student believes that correct Regulations were not followed at Stage One (for example, evidence was not fully and properly considered). The letter shall advise the student that, if they do not believe that they are able to pursue a Stage Two Appeal or Complaint on those grounds, the student may treat the Stage One outcome letter as a completion of Regulations notification and, if they wish, exercise their entitlement to contact the Office of the Independent Adjudicator.*

9. Submitting a Stage Two Academic Appeal or Complaint

9.1 *A Stage Two Appeal or Complaint can only be considered where the student claims that there was a procedural irregularity at Stage One. It is fundamental to the proper operation of the academic appeals and complaints Regulations that panels consider all evidence fully and properly. Where a student believes that evidence was not fully and properly considered at Stage One this shall be regarded as a claimed procedural irregularity and any Stage Two Appeal or Complaint submitted on this basis shall be duly considered.* The decision as to whether to consider a Stage Two Academic Appeal or Complaint will be made in the context of the principles set out at 1.2 above, with particular reference to the institution's commitment to apply Natural Justice.

9.2 A Student must submit a completed Stage Two Academic Appeal or Complaint Form

http://www.uea.ac.uk/learningandteaching/documents/appeals_complaints

with any supporting documentation to the relevant Head of University Service.

9.3 A Student may decide to withdraw an appeal or complaint at any time prior to its consideration by the relevant Director of University Services or their nominee and ADTP/ADRP.

9.4 Until such time as the Stage Two Appeal or Complaint has been resolved the student should continue in accordance with such requirements as are placed upon them with regard to their situation as it stands at the point of submission. For example students appealing against a failing mark should continue to engage with reassessment opportunities. In instances where a student has been withdrawn, s/he will retain this status until such time as the outcome of an Appeal or Complaint results in his/ her reinstatement.

9.5 The relevant University Service Office will, within 5 working days of receipt of the Appeal or Complaint write to the student acknowledging receipt.

10. Consideration of the Stage Two Appeal or Complaint

10.1 The relevant Director of University Services or their nominee will check that the appeal or complaint rests on a claim of procedural irregularity *which shall include claims that evidence was not fully or properly considered*. Where this is not the case the Stage Two submission will not be accepted for further detailed consideration and the student will be advised in writing that the submission does not meet the conditions necessary for consideration as a Stage Two Appeal or Complaint.

10.2 Where the Stage Two submission makes a claim of procedural irregularity at Stage One this will be investigated by the relevant Director of University Services or their nominee.

10.3 Where the Director of University Services is satisfied that there is evidence of procedural irregularity at Stage One the Student will be advised that his/her Stage Two Appeal or Complaint has been upheld.

10.4 Where the Director of University Services is not satisfied that there is evidence of procedural irregularity at Stage One, the case shall also be considered by either the ADTP/ADRP as appropriate.

11. Timescales for Stage Two

11.1 The Student's submission including any supporting documentation must be received in the relevant Hub no later than 15 working days after the date on which the student was formally advised of the Stage One outcome.

11.2 Appeals and complaints submitted after this deadline with good reason for the delay may still be considered. The Student should contact the relevant University Service Office if s/he is unable to meet this deadline.

11.3 The decision by the relevant Director of University Services or their nominee as to whether a later submission should be accepted shall be final and not subject to appeal.

11.4 In normal circumstances the student shall be advised of the outcome of their Stage Two Appeal or Complaint within 20 working days of the date of receipt by the relevant Service Office. Where the complexity of the case prevents this the student shall be notified of the delay.

12. Actions and Outcomes at Stage Two

12.1 A Stage Two Appeal or Complaint shall be upheld where there is evidence that correct Regulations was not followed at Stage One.

12.2 Where a Stage Two Appeal or Complaint is upheld the case shall be referred to the next FACP for consideration in accordance with correct Regulations. This further consideration will constitute the conclusion of the University's Regulations; the subsequent outcome letter will advise the student of his/her entitlement to contact the Office of the Independent Adjudicator.

12.2.1 Where the procedural irregularity giving rise to the Stage 2 appeal being upheld relates to a failure by a Board of Examiners to follow the requirements and/ or recommendations of the FACP fully and properly the Chair of the relevant FACP shall be advised that there is no need for a further consideration by the FACP and that the matter has been referred back to the Board of Examiners. This further consideration will constitute the conclusion of the University's Regulations; the subsequent outcome letter will advise the student of his/her entitlement to contact the Office of the Independent Adjudicator

12.3 Where there is no evidence that correct Regulations has not been followed the appeal or complaint shall be rejected and there shall be no further right of appeal or complaint within the University.

12.4 Where 12.3 applies a completion of Regulations letter shall be sent to the student by the relevant Service Office advising the student of their entitlement to contact the Office of the Independent Adjudicator

APPENDIX A

For the purposes of the *Academic Appeals and Complaints Regulations* the following definitions shall apply:

Academic Result:

The result of the exercise by one or more duly authorised Teachers or

Examiners of academic and/or professional expertise in determining the quality of a student's performance in any part of the assessment process for a degree or qualification of the University

Formal Notification:

Communication by the University, its representatives and/ or staff through any of the following: delivery of a paper form notification in person or to designated mail collection points within the University or student address as held on SITS; electronically either via email or through 'E'Vision or any software package currently in use by the University for the purposes of communication with students.

Grounds for Consideration:

Where an appeal or complaint has been accepted as meeting the criteria that allow it to be considered by an FACP it is referred to as meeting the grounds for consideration

Upheld:

Where an appeal or complaint is described as having been upheld this means that the FACP (or the relevant Director of University Services or their nominee for Stage Two cases) has determined sufficient evidence exists that the necessary grounds have been met (eg That there is evidence of a bias or prejudice). It is important to note that upholding an appeal does not necessarily imply a particular final outcome for the student. For example, student may appeal a classification decision on the grounds of bias or prejudice. The FACP may find evidence of bias and prejudice and so uphold the appeal. The action prescribed by the FACP may be for the Board of Examiners to reconvene and the reconvened Board may still determine that, notwithstanding the outcome of the appeal, the degree classification itself remains appropriate.

Procedural Irregularity:

This term refers to circumstances where agreed processes have not been correctly applied, regulations not followed, or where other errors have been made by the University either in the actions that led up to the appeal or complaint, or in the consideration of the appeal or complaint. This might include cases where not all the available evidence has been weighed in the consideration of an appeal or complaint or where factual data has been misinterpreted.

BURSARIES, PRIZES, SCHOLARSHIPS AND STUDENTSHIPS

The University has a wide range of bursaries, prizes, scholarships and studentships available to students.

For details about these awards, please consult the following websites:

<http://www.uea.ac.uk/prizesandscholarships> .

Students starting from September 2012:

<http://www.uea.ac.uk/planning/nsp+bursaries>

Students who started prior to September 2012:

<http://www.uea.ac.uk/planning/hebss>

Prospective Students please look at:

www.uea.ac.uk/finance

Courses Validated by UEA

For details of courses (including regulations) validated by the University of East Anglia at Partner Colleges, please refer to the Partnerships Office at the following web address:

<http://www.uea.ac.uk/partnerships>

A list of Partner Colleges at the University can be found under the Addresses and Telephone Numbers section of this Calendar.

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