

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 and UEA Students' Union (uea|su) 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 updated annually to reflect changes in language and terminology and reviewed in full every 5 years 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 uea|su, 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. Our education integrates employability skills into your programme of study.

UEA, in partnership with uea|su, 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 uea|su;
- 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 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 Student Support Service;
- 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 uea|su, undertakes to:

- Provide a wide range of opportunities for you to develop your personal and employment-related knowledge, skills and insight through both the curriculum and extra-curricular activities. This includes work experience, volunteering with the wider community and participation in the UEA Award;
- Provide careers guidance and professional support to help you develop your career management skills 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 uea|su and the Student Support Service, 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 Innovation 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 Innovation 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 Innovation Services via a Commercial Opportunity Disclosure Form (available from Research and Innovation 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 Innovation 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 innovation 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** (Quadram Institute, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Earlham Institute, 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 Innovation Services (in consultation with the Head of School, Associate Dean for Innovation, and the Pro-Vice-Chancellor (Research & Innovation) 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 (Research and Innovation) 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 Innovation Services. Other members of staff are not permitted to sign such agreements on behalf of the University.

4.10.3 The Research and Innovation 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** (Quadram Institute, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Earlham Institute, 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 Innovation 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 Innovation 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** (Quadram Institute, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Earlham Institute, 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** (Quadram Institute, John Innes Centre, Norfolk and Norwich University Hospital NHS Trust, The Earlham Institute, 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 Innovation 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 Innovation 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.
 - (6) a reference to the colour "bird of paradise" shall be read as a reference to the colour Bird of Paradise defined by Pantone as colour 16-1357.
 - (7) a reference to the colour "radiant orchid" shall be read as a reference to the colour Radiant Orchid defined by Pantone as colour 18-3224.
 - (8) a reference to the colour "vibrant orange" shall be read as a reference to the colour Vibrant Orange as defined by Pantone as colour 16-1364.

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, Doctorate in Clinical Psychology, Doctor of Medicine, Doctor of Education, Doctor of Social Work, Professional Doctorate, Doctorate in Educational Psychology

- (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 Doctorate in 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.
- (f) in the case of Professional Doctorate, with bird of paradise.
- (g) in the case of Doctorate in Educational Psychology, with radiant orchid.
- (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, Master of Surgery and Professional Master's

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, a Master of Clinical Education, a Master of Surgery, or a Professional Master's, 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.
 - (i) in the case of Professional Master's, with vibrant orange.
- (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.

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 equality for students 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 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 embraces and values difference and expects all members of the University to welcome and value diversity. The University of East Anglia ensures that no student or applicant for study will receive less favourable treatment on the grounds of age, caste, colour, disability, ethnicity, gender identity, gender fluidity, marital status, pregnancy or maternity, race, religion, belief or lack of belief, sex, sexual orientation, or any other criterion accepted as irrelevant by the University's Council. It will 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 needed and works proactively and continuously to improve this.

(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 monitors and reviews the impact of its policies and procedures and takes steps to ensure that all members of the University community are aware of their responsibilities under the University's equality policies and agreed Equality Strategy, as overseen by the Equality and Diversity Committee.

Code of Practice

1 Introduction

- 1.1 The University's Statement of Policy on Equality 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 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 for Staff – Equality and Diversity, its Athena Swan Action Plan and current Equality Strategy. These cover students and employees. Details of the Codes of Practice/Action Plan may be consulted via the Human Resources pages.

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 equality 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 Student Support Service, 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, belief or lack of 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 put in place 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 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 to ensure 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 on the Student Support Service website.

The Student Support Service 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 disaggregated by monitored protected characteristics will be developed for use as indicators.
- 8.2 The University will work proactively to ensure its equality policies are 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 equality 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, Diversity and Inclusion 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 equality. 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 equality policies. 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 equality 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 Student Support Service, the Union of UEA Students, the Graduate Students' Association, and additionally in the case of students with disabilities, the Disability Co-ordinator in the Student Support Service.

The Multifaith Centre and the University Medical Services are also available to students requiring their help.

**Code of Practice Relating to Freedom of Speech
and
Activities, Events and Meetings
This is the 2019/2020 Regulations – To be Updated Shortly**

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

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

1. Preamble

- 1.1. Section 22 of the Education Act 1994 (the Act) lays a duty on the governing body of the University to:
 - 1.1.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;
 - 1.1.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
 - 1.1.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. This Code will prevail over any other agreements with the Union.
- 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. This Code applies to the Union of UEA Students (the Union)
- 1.5. In this Code the Union includes all members, officers and staff of that organisation.
- 1.6. In this Code references to the Registrar & Secretary includes any nominee.

2. Union Constitution

- 2.1. The Union is required to have a written Constitution, which must incorporate, inter alia, the following provisions:
 - 2.1.a. appointment to major Union Offices to be by election in a secret ballot in which all Union members are entitled to vote;

- 2.1.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;
 - 2.1.c. the stated availability online of notices and Minutes of all Union meetings at which Union policy and/or action is or may be determined; and
 - 2.1.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:
- 2.2.a. approved by the Union in accordance with its Constitution; and
 - 2.2.b. approved by the Council or any body to which the Council decides to devolve these powers.
- 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. Union Elections

- 3.1. The Union is responsible for ensuring that its elections are fairly and properly conducted in accordance with:
- 3.1.a. the Education Act 1994;
 - 3.1.b. this Code; and
 - 3.1.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.
- 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. Non-Membership of the Union

4.1. A student has the right:

- 4.1.a. not to be a member of the Union; and
- 4.1.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, 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 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:

- 4.3.a. use all services and facilities provided by the Union;
- 4.3.b. be a non-voting member of Union Clubs and Societies (see clause 4.4 below);

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 to any student who opts out of Union membership.

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

- 4.5.a. nominate, stand or vote in any Union, or Student Opportunity group election or in any National Union of Students (NUS) election organised by the Union;

4.6. attend any Union meeting referred to in the Union's Constitution and/or any committee meeting of any Union student opportunity group; and

4.7. participate in the NUS via the Union.

5. Financial Affairs

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

- 5.1.a. the Education Act 1994;
 - 5.1.b. this Code;
 - 5.1.c. the Union's Constitution as approved by the Council;
 - 5.1.d. advice on Students' Union expenditure as may be issued from time to time by the relevant government department or the Charity Commission; and
 - 5.1.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 Chair of the Union Trustee Board 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.

The Registrar & Secretary will determine, from time to time and following consultation with the Union such reasonable requirements as are necessary for the monitoring of the Union's finances and to ensure appropriate prudence in the Union's plans and operations.

6. External Affiliations

- 6.1. The Union is required to:
- 6.1.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;
 - 6.1.b. publish lists of such affiliations, payments and donations as specified in clause 5.4n) above;
 - 6.1.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;
- 6.2. hold a referendum in accordance with the provisions of its Constitution on the question of continued affiliation to any particular organisation;
- 6.2.a. if a motion to that effect is proposed by a minimum of one thirtieth of the ordinary members ; and
 - 6.2.b. provided that no other referendum relating to affiliation to that particular organisation has been held in the preceding twelve month period.
- 6.3. 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. Complaints Procedure

- 7.1. Any student or group of students who is
- 7.1.a. dissatisfied with their dealing with the Union or
 - 7.1.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 Director of Student Services 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 Director of Student Services, either the complainant(s) and/or the Union may within ten working days of the date of its notification request the Director of Student Services 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:
- 7.7.a. determine the matter on behalf of the Council; or
 - 7.7.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:

- 7.8.a. inform the complainant(s), the Union and the Dean of Students of the contents of the report
 - 7.8.b. submit the report to the Council at the next available opportunity:
 - 7.8.c. for information if clause 7.7a) applies
 - 7.8.d. 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. 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, Bachelor of Physics, Master of Chemistry, Master of Computing Science, Master of Engineering, Master of Mathematics, Master of Natural Sciences, Master of Pharmacy, Master of Physics, Master of Sciences, 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. Owing to current UK Visa and Immigration requirements we are not able to sponsor any student under 16 for degree level study.

- (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 Immigration Permission to study in the UK**

Such candidates must have provided satisfactory evidence of their right to study in the UK for the duration of their course. This would include obtaining 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 (UKVI) and University requirements regarding their duties and any associated immigration conditions.

(5.) Documentary Evidence.

All 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 subjects must be acceptable to the University.(2)

- (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) Pearson BTEC or Cambridge Technical Level 3 qualifications.
- (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 H4 or better in 6 approved Higher Level subjects (including English).
- (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 Service). English language may be required 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 Service). Candidates with international qualifications may be 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) The Hong Kong Examinations Authority HKDSE 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 Cambridge Assessment International Education is recognised on the same basis as the General Certificate of Secondary Education.

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 (see Home Office website for current details). Please consult with the Admissions Service 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 Service 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 or Grade 4 in both GCSE Mathematics and English Language. For selected courses in the School of Health Sciences Level 2 Functional Skills in English and Mathematics may be accepted. Please check with the Admissions Service.

Degree Course Required Subjects

BA Degrees

American History	A-level History related
American and English Literature	A-level English Literature
American Studies	A-level English Literature and/or History related
Art History	-
Archaeology	-
Anthropology, Art History	
Culture Literature and Politics	
Broadcast and Multimedia	
Journalism	-
Education	-
International Development	
Drama	A-level English Literature or Drama or Theatre Studies
English Literature	A-level English Literature; A-level History also

	for joint programme combined with History related
Film	-
Geography	A-level Geography
Geography and International Development	
History	A-level History related
International Relations	
International Relations and Modern Language	Minimum grade B or 5 in GCSE in your chosen language
International Development	-
Media	-
Modern Languages	Single Honours programmes require any modern language at GCSE grade B or 5. Double Honours courses require A-level grade B in your first chosen language. 3-year programmes require grade A in the chosen language.
Philosophy	A-level in relevant subject required only for programmes combined with English or History
Philosophy, Politics and Economics	GCSE Mathematics Grade B or 5
Physical Education	GCSE Science Grade C or 4
Politics	-
Scriptwriting and Performance	A-level English Literature or Drama or Theatre Studies
Sociology	-
Social Work	-

LLB Degrees

Law	A-Level in relevant language (European Programmes)
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BSc, BEng, MChem, MEng, MMath, MComp, MSci, MNATSci, MPharm and MPhys degrees

Accounting	-
Actuarial	A-level Mathematics at Grade A
Biochemistry	A-level Chemistry;
Biology	A-level Biology;
Biomedicine	A-level Biology; GCSE Mathematics at Grade B or 5
Business Economics	GCSE Mathematics B
Business Information Systems	A-level science, Mathematics, Economics, Computing or Business Related
Business Finance and Economics	GCSE Mathematics B or 5

Business Management	-
Chemistry	A-level Chemistry
Chemical Physics	A-level Chemistry & Mathematics
Computing Science	A-level Science, Economics or Mathematics and GCSE Mathematics Grade B or 5 (MComp Programmes only)
Computer Graphics, Imaging and Multimedia	A-level Science, Economics or Mathematics and GCSE Mathematics Grade B or 5 (MComp Programmes only)
Computer Systems Engineering	A-level Science, Economics or Mathematics and GCSE Mathematics Grade B or 5 (MComp Programmes only)
Engineering	A-level Mathematics and GCSE Mathematics Grade B or 5
Economics	GCSE Mathematics B or 5
Economics with Accountancy	GCSE Mathematics B or 5
International Development - Ecology and Conservation	A-level Biology; A-level Mathematics; GCSE Maths Grade B or 5
Energy Engineering	A-level Mathematics; GCSE Maths Grade B or 5
Energy Engineering with Environmental Management Engineering	A-level Mathematics; GCSE Maths Grade B or 5
Environmental Sciences	A-level, from Mathematics, a science, Geography, Geology or Economics
Environmental Sciences, Geography and International Development	
Geophysics	A-level Mathematics
Geography	A-level Geography
Geology with Geography	A-level, from Mathematics, a science, Geography, Geology or Economics
Mathematics	A-level Mathematics
Meteorology and Oceanography	A-level Mathematics
Natural Sciences	2 x A-level from Mathematics, a science, Geography or Environmental Science;
Nursing	-
Midwifery	
Occupational Therapy	GCSE science subject
Paramedic Science	A-level Biology, PE or Chemistry
Pharmacology and Drug Discovery	A-level Chemistry
Pharmacy	A-level Chemistry; GCSE Mathematics Grade B or 5
Physics	A-level Mathematics and Physics

Physiotherapy	A-level Biology, Human Biology or PE and GCSE Science
PE, Sport and Health	-
Politics and Economics	GCSE Mathematics B or 5
Psychology	-
Speech and Language Therapy	GCSE science
MB/BS Degree	
Medicine	A-level Biology, six GCSE's at Grade A or 7 inc. English, Mathematics and Science
Medicine with a Gateway Year	Six GCSE's at Grade B or 6 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 Fine 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 / 4 or above) or qualifications regarded by the University as equivalent. Applicants for Primary PGCE must also hold a pass in GCSE science (again at Grade C / 4 or above)

(1) 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

(2) 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.

(3) Candidates requiring Immigration Permission to study in the UK

Such candidates must have provided satisfactory evidence of their right to study in the UK for the duration of their course. This would include obtaining 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 (UKVI) and University requirements regarding their duties and any associated immigration conditions .

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 Visas and Immigration (see Home Office website for current details), and also meet the specific course requirements. 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 outside of these.

5. Documentary Evidence.

All candidates must provide appropriate documentary evidence of their qualifications before the point of registration.

6. 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
Gender Studies	2ii	An Arts and Humanities or Social Sciences related subject
Interdisciplinary Japanese Studies	2i	An Arts and Humanities related subject
Art	2i	A related discipline
Comic Studies	2i	An Arts and Humanities related subject
Cultural Heritage and Museum Studies	2i	A related discipline
Film Studies	2i	A Humanities or Social Sciences related subject
History	2i	A 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 Directing	2i	A related discipline
International Relations & Politics	2i	A related discipline

Advanced Organic Chemistry	2i	Chemistry or related
Computing Science	2i	Any non-computing subject area
Advanced Computing Science, Data Science and Cyber Security	2i	Computing or related
Ecology and Biology	2i	Biology or related
Environmental Sciences	2i	A scientific subject
Energy Engineering	2i	Mathematics or related
Clinical Education (MClinEd)	2ii	A health care profession
Clinical Research	2ii	A health care profession
Advanced Professional Practice	2ii	A health care profession
Occupational Therapy (Pre-Reg)	2i	Any subject area
Physiotherapy (Pre-Reg)	2i	Physiotherapy or related subject e.g. Biology, Sports Science, Psychology or Sociology
Health Economics (MSc, PG Dip)	2i	Health care profession, Economics or related subject
Physician Associate Studies (MSc)	2i	Life Science or health related discipline
International Development	2i	A related discipline
Economics (Academic and Professional)	2i	Economics or related
Economics (Applied Training)	2ii	Any subject area
Education with QTS	PGCE	-
Education	2i	A related discipline
Law	2ii	A related discipline
Management and Finance (Academic and Professional)	2i	A related discipline
Management and Finance (Applied Career)	2ii	All subjects excluding UK degrees in business related subject
Brand Leadership (MSc)	2i	A related discipline
Psychology	2i	A related discipline
Social Work	2i	A related discipline

Admissions Requirements for Postgraduate Research Degree Programmes

1 Admission of Students

In order to be considered for entry to a postgraduate research degree course of the University candidates must comply with the specific requirements for entry for that degree course as laid out in the Award Regulations for that degree, and also:

(1) General requirements for admissions and School requirements

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 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 certain professional doctorate courses 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) 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.

(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 (UKVI) and University requirements regarding their duties and any associated immigration conditions as a Tier 4 visa holder.

(5) Candidates to provide full and accurate information

In providing information to the University prospective students are required to make submissions which are full, unambiguous and honest, and any offer made by the University is made in good faith. Where inaccurate information has been dishonestly provided to the University or where wilful misrepresentation or omission has occurred, a student may be precluded from admission 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

A bachelor's degree or a Master's degree from a UK Higher Education Institution approved by the Privy Council or Office for Students to hold degree awarding powers. For all doctoral courses and postgraduate research Master's level course candidates must have at least an upper second class degree or a Master's degree.

International Qualifications

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 doctoral or postgraduate research Master's course (please consult the Postgraduate Research Service).

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 (see Home Office website for current details). Please consult with the Postgraduate Research Service 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 Postgraduate Research Service for exact acceptable criteria.

4 Special Cases

The Head of the School concerned (or nominee, or Chair of NBI or Suffolk Graduate School) may make a recommendation to the Associate Dean for Postgraduate Research for the relevant Faculty to consider admission of a student in any of the following categories, and for the Associate Dean to deem that they 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 (or nominee) may similarly recommend 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

Faculty and School	Courses	Qualification Requirement
Faculty of Arts and Humanities		
Schools of: Art, Media and American Studies History Politics, Philosophy, Language and Communication Studies	MA by Research	2:1 in a Bachelor's degree in a relevant field of study.
	PhD MPhil	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 60% or above in a Master's degree, including at least 60% in the taught element.)
School of Literature, Drama and Creative Writing	MA by Research	2:1 in a Bachelor's degree in a relevant field of study.

School of Literature, Drama and Creative Writing (continued)	PhD MPhil	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 65% or above in a Master's degree.)
Faculty of Medicine and Health Sciences		
Norwich Medical School School of Health Sciences	MSc by Research MPhil PhD	2:1 in a Bachelor's degree in a relevant field of study. (Successful candidates normally require MBBS or equivalent, or for interrupting medical students the successful completion of a medical degree course up to Year 3.)
Norwich Medical School	ClinPsyD	Doctoral admission requirement as in Regulation 2, plus requirements as listed in the Award Regulations for the Doctorate in Clinical Psychology (compliance with Clearing House process and DBS clearance.)
Norwich Medical School	MD	Doctoral admission requirement as in Regulation 2, plus requirements as listed in the Award Regulations for the Doctor of Medicine.
School of Health Sciences	ProfD	Doctoral admission requirement as in Regulation 2, plus requirements as listed in the Award Regulations for the Professional Doctorate.

Faculty of Science		
Schools of: Biological Sciences Chemistry Computing Sciences Environmental Sciences Mathematics Pharmacy	MSc by Research	2:2 in a Bachelor's degree in a relevant field of study.
	MPhil PhD	2:1 in a Bachelor's degree in a relevant field of study. Or: a 2:2 in a Bachelor's degree and 60% or above in a taught Master's degree in a relevant field of study; Or: a 2:2 in a Bachelor's degree and a research Master's degree in a relevant field of study.
Faculty of Social Sciences		
School of Economics School of Psychology	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 60% or above in a Master's degree.)
School of Education and Lifelong Learning	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 60% or above overall, and a minimum of 65% in the dissertation or research component of a Master's degree.)
School of Education and Lifelong Learning	EdD / MEd	Doctoral admission requirement as in Regulation 2, plus requirements as listed in the Award Regulations for the Doctor of Education and Master of Education.

School of Education and Lifelong Learning	EdPsyD	Doctoral admission requirement as in Regulation 2, plus requirements as listed in the Award Regulations for the Doctorate in Educational Psychology.
School of International Development	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 65% or above in a Master's degree.)
School of Law	LLM by Research	2:1 in a Bachelor's degree in a relevant field of study.
	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study. (Successful candidates are normally expected to achieve 60% or above overall, and a minimum of 65% in the dissertation or research component of a Master's degree; or a minimum Merit or equivalent in an LLM.)
Norwich Business School	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study, including at least 65% or equivalent overall and at least 65% in the dissertation or extended research element in the Master's degree.
School of Social Work	MPhil, PhD	2:1 in a Bachelor's degree and a Master's degree in a relevant field of study, including at

		least 65% or equivalent overall in the Master's degree.
Norwich Bioscience Institutes Graduate School		
The minimum academic entry requirements are those for the intended School/course of registration.		
University of Suffolk Graduate School		
The minimum academic entry requirements are those for the intended School/course of registration.		

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.

General Regulations for Students

Definitions

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Definitions

'You' are a person who is currently registered with the University for a programme of study, whether that is full-time or part-time. This includes (but is not limited to) those who are:

- i. also employed by the University, such as a postgraduate research student who also acts as an associate tutor or members of staff on the MA in Higher Education Practice programme
- ii. on a work or clinical placement that is a requirement of your programme of study
- iii. registration-only, such as a postgraduate research student who has not submitted their thesis within their prescribed period of study but remains registered
- iv. dormant, i.e. those who are registered for a programme of study but who are not currently enrolled on any modules, such as Student Interrupting Their Period of Study at the University
- v. a full-time student officer of the Union of UEA Students
- vi. a visiting student

'University' means the University of East Anglia.

'University Residences' means Barton House, Britten House, Browne House, Colman House, Constable Terrace, Crome Court, Hickling House, Kett House, Nelson Court, Norfolk Terrace, Orwell Close, Paston House, Portland House, Suffolk Terrace, Suffolk Walk, University Village, Village Close, Victory House, Wolfson Close, and any other building which the University uses as accommodation for students.

'University Property' means premises owned, controlled, or managed by the University.

'Registration' means initial or renewed registration.

All references within these Regulations to particular post holders shall be construed to include references to their deputies or nominees.

Working days means Monday to Friday inclusive but does not include bank holidays or University closed days.

Application of these Regulations

1. Effect of these Regulations

- 1.1. These Regulations apply to you. They apply throughout your period of registration, including during University breaks and vacations falling within your period of registration.
- 1.2. If you are alleged to have breached one or more of these Regulations, we will apply the University Disciplinary and Investigative Procedures and Powers or any other procedure provided for in these Regulations.
- 1.3. Disciplinary procedures must normally be concluded before any degree or award can be conferred, and this may mean that conferment may be delayed pending conclusion of the procedures.
- 1.4. In registering with the University, you have agreed to be bound by all Statutes, Regulations, Student Charters, Codes of Practice, Rules, or Procedures of the University in force during your period of registration. You must therefore comply with these obligations.
- 1.5. You have, in registering with the University, agreed to be bound by all regulations, rules, and procedures required by any other organisation or institution to which you have access by virtue of your status as a student at the University. You must therefore comply with these obligations.

2. Registration status of full-time student officers of the Union of UEA Students

- 2.1. If you are elected as a full-time student officer of the Union of UEA Students you must register as a full-time Visiting Student without fee, for the period in which you hold full-time office. If you were partway through a programme of study, you may interrupt your programme of studies for the period in which you hold full-time office.
- 2.2. These Regulations apply to you irrespective of your registration status.

3. Students interrupting their period of study

- 3.1. You may apply to interrupt your programme of studies in accordance with the Regulations covering degrees and awards. If your application is successful, you will be a Student Interrupting Their Period of Study (unless you are a full-time student officer of the Union of UEA Students, when you will be a Visiting Student instead).
- 3.2. You must comply with the restrictions regarding the use of facilities that are specified in the Notices to Students Interrupting Their Studies that the University issues from time to time.

- 3.3. Only Regulations 6, 7, 8, 23, 29, and 30 apply to Students Interrupting Their Period of Study.

4. Students who are also members of University staff

If you are both a member of staff of the University and a Student as defined in these General Regulations, breach of these General Regulations may also constitute a disciplinary offence under Ordinance Six and/or Statute Seven.

Ordinances and Statutes are part of the University's legislation under its Charter. Ordinance Six and Statute Seven relate to staff grievance and disciplinary matters. You can find a copy of them on the HR intranet here:

<https://www.uea.ac.uk/hr/employee-information/policies/disciplinary>

5. Students subject to immigration rules

Tier 4 visas

- 5.1. If you have been granted a Tier 4 visa to study in the UK under the sponsorship of the University, you must comply with all the conditions of leave of your Tier 4 visa. You must also cooperate fully with the University as a Tier 4 sponsor where it is fulfilling any duties required by UK Visas and Immigration. Failure to do so may result in the University notifying UK Visas and Immigration that it is withdrawing sponsorship of your visa. As a result of that withdrawal of sponsorship, your permission to remain in the United Kingdom will be curtailed.
- 5.2. Any breach of these General Regulations resulting in suspension or exclusion from the University will mean that the University tells UK Visas and Immigration that it is withdrawing sponsorship of your visa. As a result of that withdrawal of sponsorship, your permission to remain in the United Kingdom will be curtailed.

Students subject to Immigration Rules other than Tier 4

- 5.3. As a Tier 4 sponsor the University has a duty to ensure that all students requiring a visa have valid immigration permission to study with us in the UK either under the sponsorship of the University or through holding valid immigration permission which carries an appropriate study condition. The University will check, during registration and subsequently, that permission to study remains valid throughout the whole period of study.
- 5.4. Any failure to establish permission to study or any change resulting in the removal of permission to study, for any reason, will result in immediate suspension.

Guidance: Your ability to return to study following suspension will depend upon you having the appropriate leave with the necessary permission to study. See Part E.

Guidance: The University takes its legal responsibilities very seriously and each year there are students whose breach of these Regulations or the Home Office's requirements results in their visa being withdrawn. Some examples of reasons for suspension and withdrawal are (a) not meeting the University's attendance and engagement requirements, including specified 'expected contact points' such as attending teaching events, meeting your adviser, or submitting coursework (b) failing modules (i.e., not meeting the University's progression requirements), and (c) non-payment of fees and charges

Contact with the University

6. Giving us accurate information

The University, or someone acting on behalf of the University, may request that you provide information in pursuance of the University's aims. You must provide honest and complete information. If you knowingly or recklessly provide information that is misleading, or knowingly or recklessly misrepresent the truth by act or omission, you may be excluded from further study at the University.

7. Criminal offences and investigations

7.1. You must immediately tell the Director of Student Services if at any time after you receive an offer to study with us, or while you are studying with us:

- 7.1.1. You are charged with a criminal offence, in which case you must tell us what the charges are and provide a copy of the charge sheet;
- 7.1.2. You have accepted a police caution, in which case you must provide a copy of the caution;
- 7.1.3. You have been released on conditional police bail, in which case you must provide a copy of the conditions;
- 7.1.4. You have been placed under investigation with advice, in which case you must provide a copy of the letter of advice;
- 7.1.5. You are sent to trial for a criminal offence, in which case you must tell us the trial date and any rescheduled dates;
- 7.1.6. You are notified that no further action will be taken to prosecute you, in which case you must show proof of this;

- 7.1.7. You are found guilty of a criminal offence, in which case you must notify us of the offences of which you have been found guilty and your sentence;
- 7.1.8. You are acquitted of a criminal offence, in which case you should, as far as is possible, provide us with any information that you have about why you have been acquitted.
- 7.1.9. A domestic violence protection notice or order is made against you, in which case you must provide a copy of the notice or order.
- 7.2. If any of 7.1 applies to you and you are enrolled on a programme of study in HSC, MED, EDU, SWK, or PHA you must also immediately tell your Head of School. This is because the School will need to consider whether to take any action to notify the relevant professional, statutory and regulatory body (PSRB) or assess your fitness to practise, and whether you should be sent on placement.
- 7.3. Where a non-molestation order under the Family Law Act 1996 is made against you and a person being protected by the order is a member of staff, student, or officer of the University, or someone with whom you live in University Residences, you must immediately seek the court's permission to provide us with a copy of the order made and, if permitted to do so, provide us with a copy.

Guidance: The University may be required to report students on programmes of study that qualify them into a profession overseen by a Professional, Statutory and Regulatory Body. However, there are other programmes at UEA, such as in LAW or PSY, where misconduct such as criminal offences, criminal cautions, or breaches of these Regulations (especially those relating to plagiarism and collusion or cheating) can prevent a student from gaining entry to a profession even though the University has no role in directly qualifying students into the profession.

You should therefore ensure that you are familiar with the expectations of any organisation that may regulate you in the future.

8. Your contact information

- 8.1. When you register you must give the University your permanent home address and the address at which you will live during semesters. The University will primarily use your University email address for communications during semesters and at all other times and may additionally use your University semester-time address to send you communications during the semesters and your permanent home address at all other times.

- 8.2. It is your responsibility to inform the University of any change to your contact details, whether permanent or temporary. If you are an undergraduate student or a taught postgraduate student, you must immediately notify your Learning and Teaching Service Hub of any changes using the address change facility on the student portal or by writing to your Hub. If you are a postgraduate research student, you must immediately notify the Postgraduate Research Service.
- 8.3. In the case of undergraduate students and taught postgraduate students, you are deemed to have received all communications sent by the University within 48 hours of the communication being sent, whether that is by email or by post.
- 8.4. In the case of postgraduate research students, you must comply with the notification requirements in the [Code of Practice for Research Degree Students](#).
- 8.5. This Regulation 8 applies to all students including those who are Students Interrupting Their Period of Study and those who are Suspended from Study (referred to in the University Disciplinary and Investigative Procedures and Powers as SS).
- 8.6. If you are Suspended from Study *and* Excluded from University Property and Services – a kind of suspension known as a SSEP – then you must give us a personal email address as your University email address will be closed. You are still deemed to have received all communications sent by the University within 48 hours of the communication being sent, whether that is by email or post, but we will use your personal email address instead of your University email address.

9. Your living arrangements

- 9.1. If you live in University Residences you must sign a licence or assured shorthold tenancy agreement to occupy the accommodation allocated to you and you must abide by the terms and conditions of the licence or tenancy agreement.

Guidance: Behaviour that breaches your licence or tenancy agreement is a breach of paragraph 9.1 and may also constitute one or more separate additional disciplinary offences under these Regulations. The University Disciplinary Officer may therefore decide to bring disciplinary proceedings in addition to any penalties applied as a result of a breach of the licence or tenancy agreement.

- 9.2. If you live off campus, you must ensure that the nature and location of your accommodation does not impact upon your ability to successfully engage in your studies.

Regulations relating to student behaviour

10. General misconduct

10.1. You must not:

- 10.1.1. Behave in a threatening, intimidating, or abusive manner to any student, member of staff or officer of, or visitor to, the University.
- 10.1.2. Refuse to comply with a reasonable request made by a member of staff or officer of the University in the performance of their duty.
- 10.1.3. 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.
- 10.1.4. Dishonestly misuse a University identity or access card or allow anyone else to use your card.
- 10.1.5. Dishonestly misappropriate, remove without permission, or interfere with University Property or the property of students, staff or officers of the University, or visitors.
- 10.1.6. Intentionally or recklessly damage or deface University Property or the property of students, staff or officers of the University, or visitors.
- 10.1.7. Make an application for financial support from the University that contains information that you know or suspect is false or misleading.
- 10.1.8. Disclose confidential information relating to disciplinary investigations or proceedings (including fitness to practise proceedings) against another student except with their express written consent.
- 10.1.9. Seek improperly to influence the testimony of any witness or complainant in relation to a breach of these Regulations.
- 10.1.10. Fail to comply with any penalty previously imposed for a breach of these Regulations or the terms of a Suspension from Study or Suspension from Study and Exclusion from University Property.
- 10.1.11. Make a complaint against another student or any member of staff or officer of the University that is motivated by malice and/or mischievousness, or which is vexatious or that you know to be untrue.

- 10.1.12. Use or occupy University Property unless authorised by the University.
- 10.1.13. Knowingly receive, use, or possess controlled drugs other than as required by a programme of study or prescribed to you by a medical practitioner licensed by the General Medical Council.
- 10.1.14. Knowingly supply or produce controlled drugs other than as required by a programme of study.
- 10.1.15. Commit or participate in any act that is unlawful.
- 10.1.16. Commit or participate in any act that constitutes disorderly conduct causing nuisance or distress.
- 10.1.17. Commit or participate in any act the effect of which is to bring the University into disrepute.
- 10.1.18. Commit any act that constitutes harassment as defined by paragraph 9 ('University's Definition of Harassment') of the [University's Policy Statement on Student Harassment and Sexual or Physical Misconduct](#).
- 10.1.19. Breach the [University's Conditions of Computer Use](#).
- 10.1.20. Breach the [Library Rules](#).
- 10.1.21. Drive, park or wash a motor vehicle on University Property except as permitted by the [University's Vehicle Regulations](#).
- 10.1.22. Breach the [University's Code of Practice relating to Freedom of Speech](#).

Guidance: The [University's Code of Practice relating to Freedom of Speech](#) reflects the University's legal responsibility to ensure that freedom of speech is secured for students, staff, officers, and visitors while at the same time prohibiting or placing special conditions on activities, events or meetings where it is appropriate to do so.

- 10.2. You must not *intentionally* commit or participate in the commission of any act which:
 - 10.2.1. has the effect of preventing, hindering, or disrupting students of the University in their academic pursuits or use of University leisure facilities; or staff or officers of the University in their duties, academic pursuits or use of University leisure facilities; or visitors to the University from carrying out their lawful business.

- 10.2.2. has the effect of preventing, hindering, or improperly disrupting students, 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.
- 10.2.3. is detrimental to the University's obligations under its [Charter](#).
- 10.2.4. results in damage or loss to the University or to the persons or property of students, staff, or visitors.
- 10.3. You must not incite or encourage anyone to breach this Regulation 10.
- 10.4. You are responsible for:
 - 10.4.1. making good any damage or loss resulting from any act or omission by any person you invite onto University Property or to whom you have given access to University facilities or services, where such act or omission, if done by a student, would be a breach of these Regulations.
 - 10.4.2. making good any damage or loss resulting from a breach of these Regulations.

11. Statements to the media

You must not make statements to the media (including press, radio, television, and online) on behalf of the University without the prior written permission of the Vice Chancellor.

Guidance: The prohibition on making statements without permission does not prevent students from making statements on their own behalf or on behalf of another organisation. Students seeking permission to make a statement on behalf of the University should contact the officers of the Student Union in the first instance, who shall liaise with the office of the Vice Chancellor.

12. Health and safety

- 12.1. You must take reasonable care
 - 12.1.1. for your own safety and for the safety of the University's staff, students, officers, visitors, and anyone else who may be affected by your acts or omissions.
 - 12.1.2. for the safety of property belonging to the University or the University's staff, students, officers, visitors, and anyone else who may be affected by your acts or omissions.

- 12.2. You must follow the University's [health and safety policies, codes and rules](#) and follow any instructions given to you by a member of staff in the interests of your own and others' health and safety.
- 12.3. You must report health and safety incidents or concerns relating to University Property or University staff, officers, visitors, or students in accordance with the policy [here](#).
- 12.4. You must not incite or encourage anyone else to breach this Regulation 12.

Guidance: The University has a number of important policies, codes, and rules on health and safety that are designed to reflect its legal obligations and the need to protect the wellbeing of the University community and public. These policies deal with issues such as smoking in enclosed spaces; use of laboratory equipment; interfering with fire safety equipment; and not accessing roofs or the University broad. These Regulations require you to follow these policies, codes and rules. You must familiarise yourself with them. They can be found [here](#):

Academic and professional integrity

13. Engagement

- 13.1. You must:
 - 13.1.1. Register with the University at the commencement of your programme of study, the start of each subsequent academic year, and any other times requested by the University.
 - 13.1.2. Notify the University immediately upon registration for your programme of study if you are unwilling to carry out University work or examinations on Saturdays or on certain other days during the year because to do so would be contrary to your religion or belief as defined in the Equality Act 2010
 - 13.1.3. Attend lectures, seminars, research training, and other classes and events that are required as part of your programme of study. Attendance means your physical presence on a timely basis.
 - 13.1.4. Engage with your programme of study or research degree. Engagement means your active involvement in your studies.

- 13.1.5. Be sufficiently fit to be able to fulfil the academic requirements of your programme of study and effectively and safely engage with University life.
- 13.1.6. Attend any meeting called by or on behalf of a member of University staff undertaking their duties.
- 13.1.7. If you are on a taught programme, you must meet your academic adviser in accordance with the [Policy on the Advising System](#).

Guidance: If you are at risk to yourself or others, the University may invoke emergency action to consider whether you are fit to continue to study at the University.

Guidance: If you are a Tier 4 visa holder, breach of this Regulation 13 can have the serious consequence of the University withdrawing its sponsorship of your visa and will mean that you are withdrawn from the University.

Guidance: If your engagement falls below the requirements of the University, your PSRB or the UKVI, the Engagement Procedures will begin. The [Student Engagement Procedure](#), for student on taught programmes, and the [PGR Procedure on Attendance, Engagement and Progress](#), set out what measures the University will take to identify and act on non-engagement in a supportive way. If your engagement continues to fall below the requirements, you may be referred to the Discipline Procedures.

- 13.2. If you are on a taught programme, you may take a leave of absence of up to two weeks' duration at any time during your programme of study, provided that you have the permission of your Head of School or someone that they have authorised to give permissions.
- 13.3. Postgraduate research students may take a leave of absence in accordance with the [PGR Procedure on Attendance, Engagement, and Progress](#).

Guidance: Your School may grant permission if you have a good reason to be absent and you undertake to fulfil all obligations to the University required during this period. You are solely responsible for catching up with any missed work.

14. Professional misconduct and/or unsuitability/fitness to practise

- 14.1. If you are on a programme of study that may lead to entry to a profession overseen by a Professional, Statutory and Regulatory Body, or you are accredited by such a Body, you must not act or behave in a manner that:

- 14.1.1. jeopardises the welfare of your professional subject, such as a pupil, patient, or client ('professional misconduct'); or
- 14.1.2. jeopardises the welfare of a colleague ('professional misconduct'); or
- 14.1.3. contravenes the relevant professional code of conduct ('professional misconduct'); or
- 14.1.4. is incompatible with the behaviour required by the profession ('professional unsuitability').

Guidance: Behaviour constituting professional misconduct or unsuitability/fitness to practise could be part of a pattern or a single event, or an attitude, or any other breach of these Regulations such that there are concerns that you are not meeting the expectations of the profession.

- 14.2. These requirements apply to you at all times that you are registered on your programme of study and are not limited to the periods spent on professional placement or on campus.
- 14.3. If you are found to be in breach of these requirements you may be expelled or temporarily suspended from the University in accordance with the University Disciplinary and Investigative Procedures and Powers.

15. Misconduct in research and research ethics

- 15.1. If you conduct research, you must act with integrity.
- 15.2. You must not act in a way that constitutes misconduct in research. Misconduct in research is fabrication, falsification, plagiarism, misrepresentation, impersonation, or any other practices that seriously deviate from those that are commonly accepted within academic or scientific communities for proposing, conducting, or reporting research.
- 15.3. Honest error or honest differences in the interpretation or judgment of data does not constitute misconduct in research.
- 15.4. You must comply with the [University Research Ethics Policy](#). Failure to do will be investigated as potential misconduct in research.
- 15.5. You must comply with the [University Research Data Management Policy](#). Failure to do so will be investigated as potential misconduct in research.
- 15.6. Allegations of research misconduct shall be dealt with under the [Procedures for Investigating Allegations of Research Misconduct Made Against Students](#)

Guidance: Misconduct in Research includes but is not limited to:

- *Piracy: the deliberate exploitation of ideas from others without acknowledgment.*
- *Fabrication: making up data or results and recording or reporting them.*
- *Falsification: manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.*
- *Plagiarism: the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.*
- *Mismanagement or inadequate preservation of data and/or other primary materials.*
- *Misappropriation of research data.*
- *Improper conduct in peer review.*
- *Failure to declare a conflict of interest.*
- *Failure to comply with the University Research Ethics Policy, such as conducting research for which the University requires there to be prior ethical approval when you have not secured that approval, or conducting research in a way that contravenes the terms of the ethical approval granted by the University or by any other relevant bodies accepted by the University as governing the conduct of the research in question.*
- *Failure to follow accepted procedures or exercise due care when carrying out research, so that there is a risk of harm to people, animals, the environment, and/or cultural objects.*
- *Misrepresentation of involvement in authorship.*

Misconduct in research does not include:

- *Honest error or honest differences in interpretation or judgment of data.*

Guidance: Note that some aspects of research misconduct may break the law, including the criminal law, or incur civil penalties. The University will report such breaches as described in Part A2 of the University Disciplinary and Investigative Procedures and Powers.

16. Intellectual property, data protection, and copyright

- 16.1. You must comply with the [University's Intellectual Property Regulations](#).
- 16.2. You must 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 means reproducing the work in any form including storage by electronic means in any medium.

- 16.3. You must not access, construct, maintain, or use computer or manual files of personal data relating to living individuals for use in connection with your studies or research without the written prior approval of your adviser or supervisor, copied to the University's Data Protection Officer.
- 16.4. You must abide by the [Data Protection Principles](#) whenever you access, use, or store personal data held by the University.
- 16.5. In order that the University can comply with its licences for access to electronic resources, you must ensure the security and confidentiality of the electronic resources made available to you, whether that is via a university-owned device or any personal device you connect to the network. You must also ensure that any information you derive from these electronic resources are used only for the purposes defined in the relevant licence(s).

Guidance: Copies of the relevant licences can be obtained from the library.

17. Attendance for assessment and submission to deadline

- 17.1. You are responsible for noting correctly the times and places of examinations (including viva voce examinations) and course tests and the submission dates of coursework. No special arrangements can be made if you fail to attend an examination or course test at the proper time, or if you fail to submit coursework by the deadline.

*Guidance: If you are too ill to attend an examination or course test, it is extremely important to be able to obtain contemporary evidence from your GP to explain your absence from the examination or course test. This means obtaining such evidence immediately **on the day of the examination** by going to see your GP or informing your GP in the event that you are too ill to do so. **Even if you are not registered at University Medical Centre, you can still see a GP there about an absence from an examination or course test.** You can use this evidence to support any application you make under the Extenuating Circumstances Policy. You should also report your circumstances to your Learning and Teaching Service Hub or to the Postgraduate Research Service as soon as possible.*

In the event that there are non-medical circumstances preventing your attendance at an examination or course test, you should notify your Hub and collate evidence to support any application you can make under the Extenuating Circumstances Policy.

Guidance: If you are referred to Reassessment or have been granted a Delayed Assessment or Reassessment, or a Further Reassessment, you are expected to sit the examinations or course test (as appropriate) at the University. If you have serious extenuating circumstances which prevent you from returning to the

University, you may apply to the Learning and Teaching Committee of Senate (via your Learning and Teaching Service Hub) for permission to sit at an overseas examination/test centre in your country of residence. The overseas examination/test centre will be subject to approval by the Academic Director of Taught Programmes. In the case of postgraduate research students, your application should be made to the Postgraduate Research Service and your application will be subject to approval by the Academic Director of Research Degree Programmes and payment of the appropriate fee.

Permission to sit an assessment overseas is given only in exceptional situations because of the resource implications and the need to ensure the academic integrity of our assessments. Permission is at the discretion of the Academic Director of Taught Programmes/ Academic Director of Research Degree Programmes. There is no appeal from the decision.

- 17.2 You must notify the University immediately upon registration for your programme of study if you are unwilling to carry out University work or examinations on Saturdays or on certain other days during the year because to do so would be contrary to your religion or belief as defined in the Equality Act 2010

Guidance: The University will consider whether or to what extent it can arrange learning, teaching, and assessment to accommodate your religion or belief, in accordance with the [University Policy on Students' Beliefs and the Organisation of University Work](#).

18. Plagiarism and collusion

You must not commit plagiarism or collusion, as defined in the [Policy on Plagiarism and Collusion](#), in any assessments.

Guidance: Where the student is a postgraduate research student, it may be more appropriate (because there are greater procedural safeguards) for any allegations of plagiarism to be addressed under Regulation 15.

19. Illegible or offensive material

- 19.1. You must not include gratuitously offensive material in any work submitted for assessment. If you do so, you are guilty of a breach of this Regulation.
- 19.2. You must ensure that work submitted for assessment is legible.
- 19.3. Gratuitously offensive work and/or illegible work will be dealt with according to the [University Policy on Illegible or Gratuitously Offensive Assessment Submissions](#) and may be dealt with as a breach of Regulation 13 and/or 14.

20. Behaviour in the examination or course test

- 20.1. You must not commission or otherwise allow another person to pass themselves off as you during an examination or course test.
- 20.2. You must not impersonate another candidate at an examination or course test.
- 20.3. During the examination or course test you must maintain good order and obey all instructions given by the invigilators. Invigilators may take appropriate action to ensure the integrity of the assessment.
- 20.4. You must not enter the examination or course test room more than 30 minutes after the scheduled start time of the examination or leave the examination or course test room in the first 30 minutes or the last 15 minutes of the examination or course test.

Guidance: Apart from these periods, you may leave the examination/course test room temporarily only under supervision and, if visiting the toilet, must sign out and in again. If you have to leave your desk, you must move quietly and create as little disturbance as possible.

- 20.5. You must not communicate with anyone other than an invigilator in the examination or course test.
- 20.6. You must write your answer legibly in ink unless you are told otherwise.
- 20.7. You must not turn over the question paper or write on the question paper or your answer booklet until you are told to start the examination or course test. You must not continue to write in examinations or course tests after you have been instructed to stop.
- 20.8. You must not remove any answer booklets or other stationery.
- 20.9. If an invigilator has a reasonable suspicion that you have brought unauthorised materials into an examination or course test room, you must comply with any request by them to empty your pockets of all contents and turn your pockets inside out; remove outer items of clothing; pull back long hair to reveal ears and/or neck; roll up sleeves or trousers; remove socks and shoes.

Guidance: Failure to comply with this request will be a breach of these Regulations. Moreover, the University may determine that such failure supports a finding that you do indeed have unauthorised materials in your possession.

- 20.10. You must not take into the examination room:

- 20.10.1. Any coats, jackets, or bags where there is provision for separate storage of these items
- 20.10.2. Any materials – such as blank paper, ear plugs, notes, texts, mobile telephones, dictionary pens, visual aids, smart watches, electronic devices, audio equipment, and any other devices capable of receiving, storing, or transmitting data – unless they are specifically authorised for use in the examination or course test.
- 20.11. If you find yourself in possession of a coat, jacket, bag, or unauthorised materials such as a mobile phone you should immediately notify the invigilator.
- 20.12. You must give to the invigilator any items that the invigilator indicates they believe are unauthorised.

Guidance: You must not cheat in an assessment of any kind, including examinations, course tests, and coursework. Cheating in an assessment is defined as an attempt to gain an advantage by unfair means. Where you are suspected of cheating, the University will take action in accordance with the relevant disciplinary procedure.

If you are suspected of any form of cheating, the invigilator should, in accordance with Part C of the University Disciplinary and Investigative Powers and Procedures:

Step A: Immediately inform you that you are suspected of cheating.

Step B: Request your student card, which you must provide in accordance with Regulation 10.1.3.

Step C (applicable only where there is a reasonable suspicion that you have brought unauthorised materials into an examination or course test room): Ask you to empty your pockets of all contents and turn your pockets inside out; remove outer items of clothing; pull back long hair to reveal ears and/or neck; roll up sleeves or trousers; remove socks and shoes. You must do this in accordance with Regulation 20.9. If you request, and if this is reasonably practicable, we will try to ensure that this search is carried out by a person of the gender of your choice in a private room.

Step D: (applicable only where there is a reasonable suspicion that you have brought unauthorised materials into an examination or course test room): Confiscate any materials they believe to be unauthorised.

Step E: Mark your answer booklets with the time at which the suspicion arose.

Step F: Tell you to wait behind at the end of the examination in order to be interviewed by the venue's invigilation manager.

Step G: Thereafter allow you to continue with the examination or course test.

Step H: At the end of the examination, interview you about the suspected breach of the General Regulations and provide you with a handout about the procedure.

Step I: Notify the Assessments and Quality Office, so that disciplinary proceedings can be started against you.

Guidance: The University may be required to report students on programmes of study that qualify them into a profession overseen by a Professional Statutory Regulatory Body. However, there are other programmes at UEA, such as in LAW or PSY, where misconduct such as criminal offences, criminal cautions, or breaches of these Regulations (especially those relating to plagiarism and collusion or cheating) can prevent a student from gaining entry to a profession even though the University has no role in directly qualifying students into the profession.

For example, unless there are exceptional circumstances the Solicitors' Regulation Authority will refuse admission to the solicitors' profession to those who have committed a deliberate assessment offence which amounts to plagiarism or cheating.

You should therefore ensure that you are familiar with the expectations of any organisation that may regulate you in the future.

21. Use of an electronic calculator

21.1. You may use an electronic calculator in examinations and course tests unless the Learning and Teaching Committee of the Senate on the recommendation of the Board of the School has prohibited the use of calculators in that examination or course test. Using a calculator which is not authorised is a breach of Regulation 20.10.

21.2. Where the use of a calculator is permitted, you are responsible for providing your own calculator and for ensuring that it is in working order. That calculator must be a model that appears on the University's list of approved calculators.

Guidance: Your calculator may be checked by the Invigilator in the examination/course test room. Calculators that do not comply with the above requirements will be removed from you and disciplinary proceedings started.

The University's list of approved calculators can be found [here](#).

22. Use of a dictionary

- 22.1. If your first language is not English you may use a dictionary in any examination or course test unless it is expressly forbidden, such as where the purpose of the assessment is to test competence in a language.
- 22.2. Where the use of a dictionary is permitted, you are responsible for providing your own dictionary and that dictionary must:
 - 22.2.1. be paper-based, unless you have an approved assessment adjustment allowing a dictionary in an alternative format.
 - 22.2.2. be of a type that is on the University's list of approved [dictionaries](#).
 - 22.2.3. be English to a foreign language, foreign language to English and/or foreign language to foreign language.
 - 22.2.4. *not* be a technical dictionary or a dictionary that contains content other than simple translations.
 - 22.2.5. *not* contain any notes, tabs, or annotations other than your name. Any notes, tabs, or annotations discovered in a dictionary will be treated as evidence of an intention to cheat.
- 22.3. Use of a dictionary which is not authorised is a breach of Regulation 20.10.

Guidance: Your dictionary may be checked by the Invigilator in the examination/course test room. Dictionaries that do not comply with the above requirements will be removed from you and disciplinary proceedings started.

The University's list of approved dictionaries can be found here:

23. Conferment of qualifications

- 23.1. You must not describe yourself as holding a degree or other qualification granted by the University unless the qualification has been awarded to you at Graduation or by special resolution of the Senate.
- 23.2. If you are a candidate for a degree (including a degree apprenticeship), postgraduate certificate or diploma, or Diploma or Certificate of Higher Education, you can elect to present yourself in person at Graduation or elect to have the qualification conferred *in absentia*.
- 23.3. If you have been excluded from all University Property (referred to within the Disciplinary Procedures as SSEP) for a period of time

which includes your scheduled Graduation ceremony, or you have been expelled from the University, your award, if any, shall be conferred *in absentia* irrespective of the location of the Graduation ceremony.

- 23.4. Any certificate or other document issued by the University as verification that you are a student remains the property of the University. If a member of staff or officer of the University asks you do so, you must show or surrender the certificate or document. The University imposes a charge for a replacement.

Regulations relating to student health and fitness

24. Fitness for study

This regulation has been removed from the General Regulations for Students from academic year 2019/20. It is now part of General Regulation 13, Engagement.

25. Registration with a general practitioner

- 25.1. You are required to register with a general practitioner (GP) within ten kilometres (6.2 miles) of the address at which you live during semesters if you:

25.1.1. Are a full-time student registering for a programme of study that exceeds three months' duration; and/or

25.1.2. Intend to reside in University Residences for longer than three months.

Guidance: If you live on campus or elsewhere in Norwich we recommend that you register with University Medical Services.

26. Tuberculosis screening

- 26.1. Whether or not you are registered with University Medical Services, you must be screened for tuberculosis at University Medical Services within 28 days of registration for a programme of study at the University if your programme of study is longer than three months' duration and

26.1.1. you are usually resident in a country listed by University Medical Services as high risk for tuberculosis, or

26.1.1.1. you were born in a country listed by University Medical Services as high risk for tuberculosis, or

26.1.1.2. you have been travelling or living in such a country for at least six of the last twelve months

unless your programme of study was immediately preceded by a previous programme of study at the University and you were screened when you started that previous programme.

- 26.2. If your screening results are not available within 42 days of registration at the University, you may be suspended from the University (and therefore from University Property) until the screening process is completed.

Guidance: You can find the list of high risk countries here: <http://www.umsuea.co.uk/new-patients.aspx?t=2>

The cost of student screening will be paid by the University.

If you are a postgraduate student accompanied to the UK by your family, the University Medical Service may also offer them the opportunity to be screened. We recommend that you take up this opportunity, but you will be charged a fee for this.

A programme that was immediately preceded by a previous programme of study means one at the University or INTO UEA which finished fewer than six months ago.

27. Infectious illness

- 27.1. An infectious illness is one that is listed by UEA Medical Services here: <http://www.umsuea.co.uk/info.aspx?p=18>

- 27.2. You must immediately tell University Medical Services and the Director of Student Services if:

27.2.1. you are suffering from an infectious illness, or

27.2.2. you or a medical doctor suspect that you are suffering from an infectious illness, or

27.2.3. you are living with someone else who has an infectious illness.

- 27.3. The Director of Student Services may decide to quarantine you for the isolation period recommended by University Medical Services. You must comply with the terms of the quarantine.

Guidance: Where it is possible for you to return to your own home or your parents' home without risking infecting others, the Director of Student Services or their representative will usually arrange for you to do so.

- 27.4 If you do not comply with the terms of the quarantine, the University may suspend you and make you leave campus in accordance with paragraph E3 of the Disciplinary Procedures and Investigative

Powers. Any suspension and exclusion (SSEP) shall come to an end upon receipt of a certificate from a medical practitioner licensed by the General Medical Council which says that you no longer present a risk of infection to other people.

28. Students on placements

28.1. If your programme of study includes any form of clinical placement:

28.1.1. You are required to present evidence of a satisfactory standard of health and level of immunisation in accordance with criteria published by your School of study before being permitted to undertake such a placement.

28.1.2. You must contact the Occupational Health department of the University for advice if you believe that you have come into contact with someone suffering from an infectious illness as defined in 27.1 above or believe for any other reason that you may place a patient or vulnerable person at risk of infection. You must also comply with such advice.

28.2. If your programme of study includes a requirement that you undergo a disclosure and barring check before undertaking any form of research or placement (whether clinical or otherwise), you must consent to such a check and provide a copy of the results to your School of study.

28.3. If your programme of study includes a requirement that you undergo occupational health clearance you must cooperate with this clearance requirement.

28.4. If you do not comply the requirements of this paragraph 28 you are not eligible to undertake the placement and you may be excluded from the module and/or programme, and/or suspended from the University.

There is a Code of Practice on Placement Learning and Workplace Learning , which can be found at
<https://portal.uea.ac.uk/documents/6207125/8573237/COP%2BFlowcharts+20161020.pdf/aa45946e-718c-483f-8712-4b168ea8e24f>

Regulations relating to student fees and charges

29. Payment of invoices

- 29.1. You must pay all fees and other charges (including fines) levied by the University in accordance with its [Schedule of Fees and Charges](#).

Guidance: Even if you arrange for a third party to pay fees and charges on your behalf, such as a parent or sponsor, you are responsible for ensuring payment.

- 29.2. These must be paid to the University within 28 days of the date of the University's invoice, unless a different period for payment is specified.
- 29.3. If you do not pay fees and other charges within 28 days of the date of the University's invoice (or such other period as may be specified), the University may choose to impose late fees, as set out in the [Schedule of Fees and Charges](#). Such fees are payable for each 28 days or part thereof that the fees or any part thereof remain outstanding after the initial 28 days (or such other period as may be specified).
- 29.4. If you have agreed with the University that you may pay in instalments but you do not pay your instalment on the due date, the University may withdraw the right to pay by instalments and the invoice shall immediately become payable in full.
- 29.5. If a grant or payment is due to be made to you by the University, the University may reduce that grant or payment by the amount of any outstanding debt or set off against the outstanding debt.
- 29.6. You must pay the appropriate fee laid down in the [Schedule of Fees and Charges](#) in order to be eligible for assessment.

Guidance: Assessment fees are currently included in the annual tuition fee but reassessment fees are currently payable in addition.

- 29.7. If you withdraw from assessment or do not submit an assessment item, or you leave the University without submitting an assessment, you are not entitled to recover any proportion of the tuition fee or assessment fee or reassessment fee paid and no part of the fees are transferable to a later assessment, unless the University at its discretion agrees.

30. Effect of non-payment on programme of study and qualifications

- 30.1. If you do not pay all outstanding fees and charges to the University by the due date and you have not agreed with the University a revised payment timetable, you may be suspended by the University until such time as the fees and charges are paid in full. If the sum or

any part thereof remains outstanding for more than 12 months, you will be automatically withdrawn from the University unless the University expressly agrees otherwise.

- 30.2. No degree, diploma, or other qualification shall be conferred upon you if you have not fulfilled all academic-related financial obligations to the University.
- 30.3. You are not permitted to register with the University for a programme of study (whether fresh or renewed) if you have any academic-related financial obligations to the University that are outstanding from a previous academic year or programme, including those that have accrued during a break in your studies or vacation.

Guidance: Academic-related financial obligations include but are not limited to tuition fees, charges relating to attendance at field trips, and other charges relating to your programme of study.

Guidance: If you are in difficulties about paying any fees or charges due, you should immediately make contact with the University's Finance Division to discuss your payment options. Advice can also be sought from the Students' Union and Student Support Services.

IMPORTANT: The Regulations covering academic awards state that your studies must be completed in a specified amount of time. There may be situations where you are suspended and then pay your fees and charges but are still not permitted to re-join your programme of study because of the length of time that has passed.

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 interruption to study (an approved interruption to the period of study)):

A full list of fee liability cut-off dates can be found on the [Tuition Fees](#) pages.

- 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 interruption 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 (except entrants in 2019 and 2018, which is 20% 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:

First year of registration-only period £360
(Payable at the end of 12 months but waived if submission made before the end of this period)

Second Year (or part year) of registration-only period: £720

All subsequent years or part years: 50% of
the standard UKRI fee rate for home students

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: 50% of
the standard UKRI fee rate for home students

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 Chief Resource Officer (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 or the PGR 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 or the PGR Service.

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

(2) **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

(3) **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.

(4) **Campus Card**

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

(5) **Payment Method**

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

(6) **Unpaid Cheque/Direct Debit**

There will 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
Primary placement reassessment £375
Secondary placement reassessment £600

Postgraduate Research Reassessment including professional doctorates

On resubmitting a thesis £350
For second OSCE, oral examination or written assignment/examination £110
Primary placement reassessment £375
Secondary placement reassessment £600

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

Delayed first sit examinations at an overseas centre: £50 per module.

Reassessment at an overseas centre: £200 for the first module and £100 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 £10.00 per copy.

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

(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 £5.00 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 £35.00 shall be made for providing a replacement parchment which is identical to that originally produced. In the case of a student who requests a name change subsequent to their pass list being issued, an administration charge of £120 will be made.

(b) Up to five photocopies of parchments will be certified free of charge. A charge of £5.00 shall be made for the certification of each additional photocopy.

(5) 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.

(6) Residences

There are University residences on University Plain, University Village and in 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.

(7) 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, Health Science and Norwich Medical 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. Students who undertake authorised independent fieldwork or research at another place as part of their degree will be liable for all costs associated with their research away from University.

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

(8) Freedom of Information Act: Fee schedule

The Finance 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)

(9) DHL

A fee of £35 is chargeable for any international posts by DHL

Library Rules 2020/21

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.

Our ethos is to work in partnership with library users to provide a friendly, safe and respectful environment, with differential services that take the different needs of our users are taken into account.

These Library Rules have been updated at the time of an ongoing pandemic and are subject to change at short notice. The most up-to-date version can be found on the Library web site.

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:

- 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
- Staff teaching on UEA award-bearing courses at associate colleges

1.2 External users wishing to use the Library for study or research purposes may be granted limited borrowing facilities on written application through a form available on the Library web pages. They may be required to restrict their use of Library materials and to observe any other regulations which may be determined by the Library Director, or their representative. External membership is granted on a "best efforts" basis and may be suspended for periods of time owing to circumstances beyond the Library's control, such as a global pandemic. Always check the Library web site before travelling. In such circumstances, memberships may be extended to cover the time the Library was closed to External users.

1.3 To apply for a Day or Weekly Pass for reference purposes only, Visitors should report to the Library Reception and show a form of photographic ID, e.g. Driving Licence, and proof of address. Visitor access is granted on a "best efforts" basis and may be suspended for periods of time owing to circumstances beyond the Library's control, such as a global pandemic. Always check the Library web site before travelling.

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. Following the COVID-19 pandemic it is no longer possible to enter the Library without a valid campus card. Replacement cards can be obtained from the ITCS Helpdesk. Old cards must be returned to the ITCS Helpdesk prior to a new card being issued; failure to do so will result in a replacement card charge being levied. The loss of a campus or Library card should be reported immediately.

1.7 Users must produce their campus card or Library card if requested to do so by a member of Library or Security staff. Cards remain the property of the University and can be retained by staff if necessary.

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 Library's Head of User Experience, UEA Security and/or the University's Disciplinary Officers. This includes compliance with all health and safety measures and notices in place to reduce the risk of transmission of COVID-19 or related diseases.

2.2 The Library welcomes comments and constructive feedback on 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 in line with the University's Smoke Free Policy.

2.4 For Health and Safety reasons following the COVID-19 outbreak, the consumption of food is no longer permitted in public areas. Users found with such items may be asked to leave temporarily to consume or dispose of them before re-entering. Bottled water or (non-alcoholic) drinks in 'lidded cups' may be consumed anywhere in the Library.

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.

2.6 The Library is intended to be a quiet space for individual and group study. For phone conversations or audio/video conferencing calls, users are asked to use spaces outside the library building to avoid disturbing other users or blocking the stairwells or corridors.

2.7 You should avoid disturbing other Library users and should observe the silence rule in designated areas. Whilst talking is permitted in group study areas, loud or exuberant behaviour is not permitted and you may be asked to leave if you disturb or cause offence to other Library users.

2.8 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.

2.9 Use of computer facilities and computer terminals located in the Library is subject to the existing UEA conditions of computer use available on the ITCS website. Users are reminded that computer facilities are provided primarily for legitimate academic purposes such as learning, research or personal educational development. You may be asked to leave if you disturb or cause offence to other Library users.

2.10 In order to ensure fair access to study spaces and facilities in the Library, any open access study spaces and computers may not be "reserved" by simply leaving your belongings there for prolonged periods. Library staff may clear away any personal property left on tables or in study rooms and shut down any computers left unattended for longer than 30 minutes so that other users can find a space to study.

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. Valuables left unattended may be removed by library staff who work 'in pairs' to ensure the security of any lost property.

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. Unauthorised removal of items from the Library will be treated as a University disciplinary offence and has, on occasions, been referred to the Police. Any items that may have set off the Library's security alarm must be taken out of bags and 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 Users are responsible for ensuring they are aware of the due dates of items borrowed. Most items will be automatically renewed on the date they are due to be returned. Items that have been requested by another user will not automatically renew and must be returned on or before the due date. See the Library website for further details.

3.4 Library notices will only be sent by email, normally to UEA email addresses (or personal email addresses for external members). Non-receipt of notices, for whatever reason, cannot be accepted as a reason for late return, otherwise other users are potentially disadvantaged. Users are therefore advised to check their Library account and emails 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 immediately who will advise you on our procedures and our Alleged Misuse of Card policy.

3.6 A temporary freeze on further borrowing may be imposed for the late return of any Library material requested by other users. Users are encouraged to speak to Library staff as there is a range of extenuating circumstances where we may be able to provide mitigation.

3.7 Refusal 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, plus a non-refundable handling charge, so that other users are not disadvantaged. Further details are available on the Library website.

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 and pay any charges 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 box(es). Should neither option be available, items must be handed to Library reception. 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 Users should contact the Library Helpdesk as soon as possible with any problems or queries relating to their Library account or items they have borrowed as there is a range of extenuating circumstances where we may be able to help resolve the problem or provide mitigation.

3.11 Some items may be borrowed by UEA students and staff for an extended period over the vacations. See the Library website for further details.

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

3.13 Audio Visual material is licensed 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 supported by an appropriate member of academic staff. Details of which schools require this additional step can be found on the library web pages.

4.2 Inter-library loan material is subject to any conditions imposed by the lending library and failure to comply with such conditions may lead to the suspension of borrowing privileges. Infringement of these rules may result in suspension or withdrawal of borrowing privileges, formal disciplinary procedures or other sanctions as imposed by the Library Director, or their representative.

20th July 2020

Conditions of Computer Use

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

Approved by the Information Strategy and Services Committee 12 June 2018.

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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 Service Desk (see [section 7](#) for contact details).

IT and Computing Service (ITCS) 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 MUST NOT RESPOND TO ANY REQUEST TO DISCLOSE YOUR PASSWORD INCLUDING THOSE PURPORTING TO COME FROM THE UNIVERSITY OR INFORMATION SERVICES.** [See 3.4k.](#)
- 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 2018 and the General Data Protection Regulation. 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 by the [ITCS team](#).
- 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 on the ITCS Policies Page on MyUEA. Where a device has been registered using an authorised self-registration process

¹ Authorised by the IT or information (data) asset owner. See GISP17 for further details.
<https://beta.uea.ac.uk/documents/20142/577003/GISP-full.pdf>

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.

(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 and in support of the University's obligations under anti-terrorism legislation. 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

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 on the ITCS Policies Page on MyUEA pages.

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. The University has a statutory duty, under the Counter Terrorism and Security Act 2015, termed "PREVENT", to have a due regard for the need to prevent people from being drawn into terrorism.
- 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.

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 the [guidance](#) applying to higher education institutions in England and Wales. Security sensitive material shall be handled following UUK guidance <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/security-sensitive-research-material-UK-universities-guidance.aspx>

- h) Unauthorised interception or hacking of communications over the network including but not limited to email and telephone messages.
- 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 email, 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 ITCS 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 privacy

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:

- Processed lawfully, in a fair and transparent manner
- Processed for specified, explicit and legitimate purposes
- Adequate, relevant, and limited to what is necessary
- Accurate and, where necessary, up to date
- Kept in a form which permits identification of individuals for no longer than is necessary for the purpose(s)
- Processed in a manner that ensures the appropriate security of the data

The University must be able to demonstrate that it complies with the above principles, for example by maintaining documented and approved procedures for data processing activities.

- a) All handling of UEA-controlled personal data must be in accordance with the [University's Data Protection Policy](#). No user may use the University's computer systems to hold or process personal data except in accordance with the Data Protection Policy and the provisions of the Data Protection Act 2018 and General Data Protection Regulation.
- b) All UEA-controlled personal data must be classified and handled in accordance with the Information Classification and Data Management Policy [<https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies>]. In particular, the security requirements for sharing of different types of data via email or other digital means must be followed.
- c) Personal data must be secured in accordance to the [General Information Security Policy](#) and in line with legal or regulatory requirements and industry best practice.
- d) Managers of staff with personal data responsibilities must ensure that their staff follow University data and security policies and advice, that they undertake relevant training as required by University policy, and in general adopt good practices in this regard.
- e) Individuals have a range of rights in relation to their personal data. All requests from data subjects who wish to exercise these rights, including the right of access to data, must be directed without delay to the Data Protection Officer (dataprotection@uea.ac.uk).
- f) The University reserves the right to remotely extract relevant information from emails and other filestores where necessary to comply with our legal obligations, in particular to fulfil data requests, and in the case of a suspected data breach. This activity will be handled in accordance with an auditable search protocol, designed to retrieve only relevant materials.

- g) Staff must not construct or maintain computer files of personal data unless required to do so as part of their work responsibilities and as approved by their manager.
- h) Students must not construct or maintain computer 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. It may also be appropriate for students to obtain ethical approval in compliance with GDPR requirements.
- i) If you share or grant access to UEA-controlled personal data with third parties external to the University on a systematic basis, a data sharing or data processing agreement must be in place to govern the activity, prior to any sharing taking place. The Data Protection Officer must be informed of all such activities (dataprotection@uea.ac.uk).
- j) Any loss, theft, accidental or deliberate destruction, unauthorised access or disclosure of personal data (or devices containing personal data including removable storage and media) must immediately be reported to the Data Protection Officer at dataprotection@uea.ac.uk. See the Staff Guidance pages in the ITCS MyUEA pages.
- k) 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 must 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.
- l) 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 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 on the Staff Guidance pages in the ITCS MyUEA pages., and note that FOIA applies to all recorded information held electronically, including documents, records, 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 on the Copyright MyUEA pages.

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.
- 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.
- i) Staff must ensure that only UEA approved software is used to process personal data. Exceptions must be approved by the Director of ITCS.

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 on the IT Security MyUEA pages and complying with the University's password policies as defined in GISP5 of the General Information Security Policy on the ITCS MyUEA pages.. Passwords must be changed at least every 12 months to maintain security.
- c) All IT equipment under the University's care must 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 must 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 must 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 must be installed and configured according to ITCS recommendations with auto updating enabled and following policies defined in the General Information Security Policy.
- e) Strictly only those authorised to do so⁷ are to install data or software onto University-owned devices and they must ensure it has been checked for viruses or other malware. All installed software must be securely configured according to ITCS recommendations and following policies defined in the General Information Security Policy. Where necessary, administrative rights may be granted to permit users to install software on University devices following processes described on the IT Security pages on the MyUEA. Users should not transmit files/data to others, without first checking for viruses or other malware.
- f) ITCS 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 must 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 on the Connecting Equipment ITCS MyUEA pages.
- 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 ITCS.
- c) User-owned computers which have been authorised or registered using self-registration processes detailed on the Connecting Equipment ITCS MyUEA pages. must also comply with the additional Self-registered Equipment Terms and Conditions detailed on the Self-Registered Equipment ITCS MyUEA pages.
- 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.

⁷ Authorised by the IT or information (data) asset owner. See GISP17 for further details.
<https://beta.uea.ac.uk/documents/20142/577003/GISP-full.pdf>

- e) The registered owner of a device will be held responsible for any inappropriate activity arising from that device⁸. In the case of personally-owned systems the owner must ensure 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. . According to the terms outlined in section 5 – Breaches of these Conditions of Use, devices found not to be up-to-date will have their access revoked.

3.11 Electronic mail

- a) Only ITCS approved and provided systems should be used by staff for email communications concerning University matters⁹.
- b) Staff must regularly access their UEA email account mailbox to manage any received correspondence.
- c) Where practical, staff should not use University email systems for sending personal messages unrelated to University matters¹⁰.
- d) Email 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 email are published on the Email Security and Compliance Guidelines ITCS MyUEA pages.at
- e) The DPA/GDPR and Freedom of Information Acts also apply to emails. Such emails must be stored and processed in accordance with the DPA/GDPR 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) Emails which infringe the copyright of another person should not be passed on.
- g) Anything sent electronically, including email, is susceptible to interception. Users should whenever possible avoid sending highly confidential or sensitive information by email. 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 on the Passwords ITCS MyUEA pages.at and should be communicated to the intended recipient by other means.
- h) Users should never send their UEA password in an email. Any email which asks for your password is a hoax.

⁸ 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.

⁹ 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 ITCS.

¹⁰ Staff wishing to send or receive personal email messages whilst at work should use a web-based external email service such as those provided by Google, Yahoo, or Microsoft etc.

- i) Before sending an email 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 on the Email ITCS MyUEA pages.at
- j) Only a user's UEA assigned email address will be used to send email messages from the University to the user. Undergraduate and postgraduate (PGT and PGR) students wishing to read their emails from the University using an external service provider's email system are responsible for changing the settings on their UEA email 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 email account or in their pigeonhole.
- k) Users should note that their use of the University email 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 emails under special circumstances as declared in [section 4 'Monitoring and Privacy'](#).
- l) Files downloaded from the internet, including mobile code¹¹ 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.

¹¹ 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.

- c) Students are advised to consult the guidance on the use of social media published by the Student Support Service ¹².
- d) Staff and those with comparable honorary status are advised to consult the code of conduct on social media use published by HRD which outlines the standards expected for safe, professional and appropriate online behaviour. ¹³
- e) Any social media accounts and blogs affiliated to the University must follow policy ¹⁴ and take note of guidance ¹⁵ published by the University Marketing Team, and should be confirmed and registered with the Social Media Co-ordinator via tweet@uea.ac.uk as soon as they are created.
- f) Before creating a new website affiliated with the University, the user must consult the Digital Innovation Team at digital@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 Innovation Team and set up and administered by ITCS via digital@uea.ac.uk.)
- g) 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.
- h) 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 emails sent to external parties is available. ¹⁶
- i) 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

¹² <https://my.uea.ac.uk/divisions/student-and-academic-services/student-services>

¹³ <https://my.uea.ac.uk/documents/20142/193624/Code+of+Conduct+on+Social+Media+Use.pdf/>

¹⁴ <https://my.uea.ac.uk/divisions/admissions-recruitment-marketing/marketing/guidance-and-support/social-media-guidance>

¹⁵ <https://my.uea.ac.uk/divisions/admissions-recruitment-marketing/marketing/guidance-and-support/social-media-guidance>

¹⁶ <https://my.uea.ac.uk/divisions/it-and-computing-services/service-catalogue/communication-and-collaboration-services/email>

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 emails 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 circumstances as described in Section 4 apply, or 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 email 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 Director of ITCS or a member of the ITCS 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 department should

contact the Service Desk, who will request the completion of an IT account access authorisation form. 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, email 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 Director of ITCS or a member of the ITCS 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 are published on the Procurement web pages (
- 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 Enhanced¹⁷ 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 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.

¹⁷ A standard for erasure of data determined by the Computer-Electronics Security Group (CESG) which is part of the UK Government Communications Headquarters (GCHQ).

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 on the Self-Registered Equipment ITCS MyUEA pages.at
- 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.
- 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, enforcement of these Conditions of Computer Use, and in support of the University's obligations under anti-terrorism legislation to prevent people from being drawn into terrorism. Monitoring may reveal to operational staff unencrypted data and sites visited by users. 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 emails, 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 such as requests for information under FOIA or data protection, 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.
- d) All access and monitoring will be undertaken in accordance with the Human Rights Act 1998, Data Protection Act 2018 and General Data Protection Regulation, 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 ITCS, or their authorised deputies, in consultation with the Human Resources Division (or the Student Support Service 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 the Director of ITCS, or in their absence the ICT Systems Director. If appropriate, they will initiate any investigative action and will inform and engage with the Human Resources Division, Student Support Service and/or Head of Department as appropriate. All information received will be treated in a confidential manner, only involving other individuals where strictly necessary to any investigation.

7. Advice and Clarification

ITCS 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 Service Desk in the first instance:

- Tel. 01603 59 2345 or email it.servicedesk@uea.ac.uk

8. Document Review and Communication

IITCS 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 years¹⁸. The review will be overseen by a team consisting of representatives from I, the Human Resources Division and the Student Support Service. 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 UEA's website on the [Conditions of Computer Use](https://beta.uea.ac.uk/about/university-conditions-of-computer-use) page. [https://beta.uea.ac.uk/about/university-](https://beta.uea.ac.uk/about/university-conditions-of-computer-use)

¹⁸ Last major review was in 2015.

[information/university-governance/academic-calendar/section-3/general-regulations/conditions-of-computer-use](#) and all registered IT account holders will receive an email at the start of the academic year reminding them of the Conditions of Computer Use and their obligations.

Submission of Work for Assessment (Taught Programmes):

Submission of anonymised work for assessment, word limits and penalties, extensions and penalties for unauthorised late submission, provisional marks and feedback, and 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 or 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 (for an eVision or hard copy submission) or in the comments box (for a Blackboard submission).
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:

Less than 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 copy when requested	Mark capped to the pass mark
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, eVision.
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 a limited number of assessments, electronic submission is not appropriate, (for example because the work is an artefact or a circuit board) and the work should be submitted as advised by the Module Organiser.
18. The deadline for submission will be 15.00 on the specified date.
19. The specified date for submitting work for assessment should be a Monday, Tuesday, Wednesday, Thursday or Friday and may include vacations provided the submission is electronic.
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 that time should be allowed for the submission process and for checking the quality of the submission. The earliest time for submission being one week ahead of the deadline.
21. Electronic submission will only be considered as 'submitted' on successful completion of the defined submission process. Failed submission attempts, or partial completion of the electronic process by the deadline will not be considered as 'submitted'.
22. In instances of a student submitting an electronic file for assessment that fails to comply with the published instructions, and the work cannot be marked as a result (e.g. the file type cannot be opened and read) then this work will be given a mark of zero. This recognises that a submission has been made by the deadline, but cannot be assessed.
23. The student is responsible for checking the quality of the electronic submission. Students should check that the correct file has been uploaded and resolve any issues with corruption in transit. Where any work submitted has been corrupted in transit, to the extent that the final submission cannot be assessed, the work will be given a mark of zero.
24. Work 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

25. Submission confirmation details will be published to students (through the Virtual Learning Environment (Blackboard)) at the point of uploading, for electronic submissions, and on the day after the deadline, for artefacts that have been submitted by the deadline.

Extensions for Late Submission of Work for Assessment

26. Each Semester, submission and return deadlines should be published to students, for example through eVision.

27. Students who have a valid reason for needing an extension should refer to the [Extenuating Circumstances Regulations](#)

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, Sundays and Bank Holidays 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.
 - Where work incurs a penalty for late submission, the full penalty will be deducted from the original mark even when this results in a fail mark.
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 in Blackboard. The Learning and Teaching Service staff will deduct any penalty for late submission where there are no accepted extenuating circumstances and record this in the student records system (viewable in eVision).. 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.

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 plagiarism or collusion is detected an adjusted mark may be awarded in accordance with the [Plagiarism and Collusion Policy](#). 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. Marks for summative coursework remain provisional and possibly subject to change until confirmed by the relevant Board of Examiners.
34. 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.
35. Students will be given advice on the academic support available to them in the event of feedback indicating areas for improvement and enhancement.
36. 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).
37. 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.
38. The University is committed to returning feedback and provisional marks on summative coursework to students who submitted by the deadline as soon as possible, ideally within 15 working days and certainly no later than 20 working days after the published deadline for submission. Normally this is the return of the marked coursework. Provisional marks will also be published on the students' eVision pages.
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. Because of their nature, Dissertations, Placement Reports, Projects, and Portfolios at undergraduate and at Master's level, are normally returned within 30 working days.
41. The conditions set out in the [Re-Marking Policy](#) should be referenced by students considering making a request for an assessment to be re-marked.
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. 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.

Return and Retention of Coursework

44. The method of return of coursework will be published to students. All feedback will be available electronically via Blackboard.
45. Electronic copies of students' work will be kept on systems such as Blackboard for the duration of their study on the course plus an additional year before disposal.
46. For postgraduate students where a copy of the dissertation or research project is deposited in the School the title page shall include the candidate's name, the title of the dissertation, the name of the degree for which the dissertation is submitted and the date of submission. It should include the following words: "This copy of the dissertation has been supplied on condition that anyone who consults it is understood to recognise that its copyright rests with the author and that use of any information derived there-from must be in accordance with current UK Copyright Law. In addition, any quotation or extract must include full attribution.

UEA Policy on the Moderation of Assessment

1. PREAMBLE

- 1.1 Chapter B6: *Assessment of Students and the Recognition of Prior Learning* (2013) of the UK Quality Code for Higher Education states that assessment is not a linear process but “an ongoing cycle through which staff design, set, mark, engage in dialogue about performance, review and develop assessments.” The Quality Code’s Expectation about student assessment is that an institution’s policies, regulations and processes result in “equitable, valid and reliable processes of assessment ... which enable every student to demonstrate the extent to which they have achieved the intended learning outcomes for the credit or qualification being sought”.
- 1.2 Indicator 4 of Chapter B6 states that all staff involved in assessment processes must possess the necessary knowledge and skills to undertake their roles including appropriate training or development opportunities. The result should be a shared understanding (a “Community of Practice”) amongst Academic and Teaching Teams¹ of appropriate assessment practices within a particular academic discipline and standards (including the types of evidence that demonstrate differing qualities of student performance).
- 1.3 The means by which much of the shared understanding of assessment develops is through the framework of expectations laid out in the University’s Policy on the Moderation of Assessment. The Policy applies to all taught programmes of study leading to an award by the University or an award of credit.
- 1.4 “Moderation” refers to a holistic process designed to ensure the appropriate quality of summative assessment tasks² with respect to the stated learning outcomes of the course or module, including the valid and consistent judgement of student performance on these tasks. This is intended to assure the quality and integrity of the University’s certification of student achievement. In line with Indicator 10 of Chapter B6 the process of moderation is intended to ensure that all students for all assessments have equivalent opportunities to equitably demonstrate the learning outcomes

¹ “Teaching Team” is used to refer to those directly involved in the delivery of a particular module. “Academic Team” is used to refer to the Teaching team as well as the broader constituency of Course Directors, Teaching Director, Moderators and other individuals with an interest in the particular modules. External Examiners may also be considered part of the Academic team (see 2.6).

² Although the focus of the Policy is on summative assessment tasks, teaching teams and Module Organisers should also reflect on whether formative tasks are consistent with the precepts of the Policy.

related to a particular assessment and to have these demonstrations justly recognised.³

- 1.5 Aside from quality assurance, the process of moderation crucially contributes to the continuous enhancement of assessment practices in order to improve the quality of student learning opportunities within the University.
- 1.6 In light of the cycle of assessment described in 1.1 the Policy assumes a moderation process consisting of a co-ordinated set of practices directed at the following three broad stages of the assessment cycle:
 - (a) *Assessment Design and Development* ("Assessment-Moderation"): occurring before the assessment is released to students;
 - (b) *Marking and Grading* ("Mark(ing)-Moderation"): occurring before the return of the marks to students;
 - (c) *Review and Evaluation* ("Review-Moderation"): occurring after the marks have been returned to students.

The outputs of Review-Moderation will subsequently inform the assessment design and development phase in iterations of the cycle in future years.

- 1.7 It should be recognised that the process of moderation does not necessarily provide an absolute assurance of the veracity of a particular assessment task or the marks awarded but is designed to deliver as high a level of confidence as possible for all stakeholders (students, staff, the University, employers and the wider public) in the high quality of the assessment practices of the University.
- 1.7 The Policy permits a degree of discretion amongst Module Organisers and Academic Teams to determine the forms of moderation most suitable to particular assessments within their discipline. Where a Professional, Statutory or Regulatory body, however, requires more stringent conditions than those specified by this Policy, the former take precedence.
- 1.8 The Module Organiser is responsible for ensuring that Assessment-Moderation and Marking-Moderation is properly carried out.⁴ Review-

³ Within the Policy:

- (a) "assessment" is used to refer to the general process whereby academic staff form judgements as to the extent that students have achieved the learning outcomes of a course, a module or piece of work in a module undertaken by a student;
- (b) "assessment task" refers to any item of assessment (whether examination, course test, coursework, presentation, etc.); on occasion an assessment task, where the context is clear, may be referred to simply as an "assessment" for stylistic variation;
- (c) "assignment" refers to assessment tasks usually undertaken by the student(s) in their own time with an associated submission deadline.

⁴ In some 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 still be responsible for ensuring that it is done.

Moderation forms part of Internal Quality Assurance/Quality Review Framework.

2. ASSESSMENT DESIGN AND DEVELOPMENT MODERATION

- 2.1 The Assessment Design and Development stage of moderation ("Assessment-Moderation") focuses on the nature and description of all summative assessment tasks prior to their release to students. The central goal of Assessment-Moderation is to ensure that all module assessment tasks are transparent, valid, rigorous and as equitable as possible for all students.
- 2.2 The degree of scrutiny required for Assessment-Moderation is left at the discretion of the Teaching and Academic teams. Factors such as the inexperience of the Module Organiser, whether the assessment task is new or where similar tasks have received negative feedback in the previous years' Review-Moderation (including comments by External Examiners) are likely to require more rigorous moderation than longer-standing assessment tasks where there are only minor modifications year-on-year.
- 2.3 The moderator(s) involved in Assessment-Moderation, wherever possible, should not be part of the Teaching team in order to provide suitable external scrutiny.
- 2.4 The moderator(s) involved in Assessment-Moderation should possess sufficient discipline knowledge and experience to be able to offer appropriate and constructive comments on the proposed assessment tasks.
- 2.5 It is recognised that in some cases where there is insufficient subject knowledge outside of the Teaching Team, it may prove difficult for the School to provide moderators who are able to properly judge the subject content of the assessment task. The moderator(s) should, however, be of sufficient experience to be able to meaningfully explore with the Teaching Team broad content issues if not all specifics; in some cases it may be possible to ask the relevant External Examiner for their comments (see §2.6). It should be noted that, as outlined in §2.7, Assessment-Moderation is intended to scrutinise more than subject discipline content.
- 2.6 Assessment-Moderation should be guided by the precepts of the University's Policy on Assessment Design.
- 2.7 Once Assessment-Moderation has been satisfactorily completed, the assessment task(s) may be made available to the students.

3. ASSIGNMENT BRIEFS

This element of the policy will not be implemented until 2019/20.

- 3.1 In order that Assessment-Moderation can proceed appropriately, the Module Organiser will need to provide a written description of the assignment task.

Such descriptions will be referred to as “assignment briefs”. The assignment brief will eventually be released to the students as the core information point specifying the assessment-task.

- 3.2 An assignment brief simultaneously fulfils a number of different functions:
- (a) it is the primary document for Assessment-Moderation;
 - (b) it provides an important aid for Marking-Moderation by outlining the precise nature of the assignment task and the assessment criteria;
 - (c) it provides a useful brief for Academic Advisers when discussing assessment performance and feedback with their Advisees;
 - (d) it is the core document provided to students specifying the details of the assignment’s requirements and expectations, learning outcomes and marking criteria.
- 3.3 It is recognised that assignment briefs will take different forms depending upon the particular assessment task and the nature of the subject discipline.
- 3.4 It is a crucial part of Assessment-Moderation that the assignment brief is scrutinised from the perspective of the student regarding its content and communicative clarity.
- 3.5 The Module Organiser will ensure that students are provided with an assignment brief for all elements of summative assessment associated with the module. This should normally be provided at the earliest opportunity in advance of the submission date.

4. MARKING MODERATION

- 4.1 All summative assessments (including delayed first sits and reassessments), irrespective of the mode of assessment, from level 3 (Foundation Year) to 7 (Masters) will be Mark-Moderated irrespective of the percentage of their contribution to the overall module mark.
- 4.2 The mark or grade awarded to any assessment task must reflect how well a student has demonstrated achieving the learning outcomes and other requirements of the task in accordance with the marking criteria as specified in the assignment brief. The returned work must also provide clear feedback to the student indicating how the mark was derived against the learning outcomes and marking descriptor as well as indicating how the student may improve on future assessments (“feedforward”).
- 4.3 Marking-Moderation is designed to ensure that the assessment outcome (e.g. a mark or a pass/fail grade) is equitable, consistent with the assessment criteria and reliable (i.e. comparable judgments are made across the cohort) and with any differences in academic judgement between

markers both formally acknowledged and resolved.⁵ Moderation of the feedback to the students is a crucial component of the moderation process which involves questions of quality assurance and, possibly, enhancement.

- 4.4 It is the role of the Mark-Moderator to ensure that the requirements of §4.2 and §4.3 are consistent with the information contained in the assignment brief (learning outcomes, mark descriptors, marking schema, etc.). Further consideration may also relate to generic feedback, model answers, etc. Mark-moderation should also include reflection on the overall distribution of marks for the assessment. Other statistical measures may be used where thought relevant and appropriate in assessing the students' performance on the assessment task.
- 4.5 The Mark-Moderator will complete and submit a report detailing the nature and outcomes of the moderation process.
- 4.6 Marking-Moderation for all assessments submitted by the appropriate deadline must be completed before the work is returned to the Hubs and, subsequently, the students.
- 4.7 Mark-Moderation of late submitted work is not required if this will delay return of the marks to students beyond the University's standard turnaround period.
- 4.8 Wherever possible Mark-Moderators should not have been involved in the first marking of the assessment task. They should also possess appropriate subject expertise and Higher Education experience (at least two years) in marking.
- 4.9 Although a Module Organiser may wish to keep a check on members of a team of markers during the course of marking, this does not constitute "moderation" in the sense of Marking-Moderation in this Policy.
- 4.10 Where specialised expertise is not available, the assigned Marking-Moderator should still be able to make judgements about the consistency of marking and the quality of the feedback but will need to be guided by the first marker's individual marks and subject-specific content in the feedback.

In some cases it may be decided that external moderation may be needed to ensure quality assurance. If so, an application to the relevant Faculty Associate Dean for Teaching and Learning Quality should be made outlining the reasons. On approval, the School will appoint an external moderator with the required expertise. The marked assessment will be returned to the Hub/students within the normal deadlines but the marks will be deemed to be provisional until scrutinised by the external moderator. Copies of the work

⁵ In the case of more objectively marked tasks, Marking-Moderation may only require an assurance of procedural regularity. Examples of such cases would include Multiple Choice Question tests or examinations or assessments where there is a clearly defined marks schema (for example in some forms of Mathematics assessment).

and the distribution of marks will be sent to the external moderator for review.

- 4.11 Pre-marking moderation (or standardisation) is considered best practice when more than a single first marker is involved with an assessment task in order to ensure that there is a shared understanding of how to apply the marking criteria to achieve consistency of marking across the team. Pre-marking moderation should also reach an agreement as to the quantity, style and focus of feedback provided to the students.

If pre-marking moderation is not practical, the Module Organiser may need to check consistency across the marking-team during marking.

- 4.12 Post-marking moderation, the main focus of this Policy, happens once the assessment task has been marked by the first marker(s) and is designed to ensure that the goals of equability, consistency and reliability in academic judgement have been duly met and to assess the appropriateness and quality of the feedback to the student.

- 4.13 Marking-Moderation may be classified along two dimensions:

(a) Whether the moderator is aware of original marker's marks, comments and feedback or not:

- **Blind double marking:** the two markers mark the work unaware of the other marker's mark, comments and student feedback. Through discussion the two agree a single mark and appropriate feedback.⁶
- **Second marking** (non-blind moderation): the moderator has access to the first marker's mark, comments and student feedback and verifies the equability, consistency and reliability of the academic judgement along with the quality and appropriateness of the feedback.

(b) The proportion of submitted assessments scrutinised:

- All submitted assessments moderated.
- A sample of assessments moderated.

- 4.14 In principle both dimensions of §4.11 can be combined so that either all or a sample of assessments may be blind double or second marked.

- 4.15 Where a subset of the overall submission is used for Mark-Moderation, the *minimum* sample size will be \sqrt{n} (where n is the number of assessments submitted by the published deadline and \sqrt{n} is rounded up to the nearest integer) in addition to all failing assessments. For example, given 10 submissions, $\sqrt{10} = 3.2$ which rounds up to a sample size of 4 (plus any

⁶ With Blind Double Marking the notions of "first marker" and "moderator" do not apply although the overall process is one of Marking-Moderation.

failing scripts). Aside from the fails, the sample should include examples from the full range of marks.

- 4.16 Where marking is conducted by a team of markers, the sample shall be ✓/n for each member of the team.
- 4.17 Since Marking-Moderation cannot provide an absolute assurance of the veracity of academic judgements and since moderation comes with significant resource implications, Teaching and Academic Teams during Assessment-Moderation are advised to consider a “cost/benefit” calculation regarding the type of marking moderation which delivers the most reasonable level of confidence in the quality of the marking process given the required resource.
- 4.18 Special consideration needs to be taken over the moderation of assessment tasks which carry particular risks of being inequitable or inconsistent. In general it is for the Assessment-Moderation process to identify which assessments may be at risk and to determine the method of marking best suited to mitigate the issues.
- 4.19 For oral examinations and presentations, the first marker(s) and Mark-Moderator may each be in attendance at the assessment event. In such cases, marks will be awarded without consultation before discussion results in an agreed mark. If the moderator is not in attendance, a video or sound recording⁷ of suitable quality made for post-event moderation will be required.
- 4.20 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. Where an OSCE or OSPE is assessed by a single marker, a suitable moderation process should be in place; for example
- (a) identified individuals appointed to oversee and observe the assessment practice across a sample of stations and assessors;
 - (b) video or sound recording⁸ of a sample of stations for later review;
 - (c) post-assessment analysis of assessor behaviour using relevant data.
- 4.21 Where an External Examiner is routinely scrutinising a module, the sample of scripts sent should normally include, at least, the moderated sample (or part thereof) along with the Mark-Moderator’s report.
- 4.22 On occasion, the Mark-Moderator may find their judgements differ significantly from those of the first marker(s). Such discrepancies need to be carefully resolved through discussion between the marker(s) and Mark-Moderator in order to agree a final mark.

⁷ NB students must consent to any recording.

⁸ NB students must consent to any recording.

- 4.22.1 Individual marks may only be changed if the individual submission has been Blind double marked or the complete set of submissions has been moderated.
- 4.22.2 With respect to second marking of a sample where the moderator identifies significant differences with their own judgements (for example where there is a 10% or more variation between the original mark and that of the moderator in, at least, half of the moderated submissions or the averaged marks across the sample for the two markers is greater than 5% suggesting a consistent pattern of disparity) or an anomalous distribution of marks, the moderator can suggest remarking or a suitable adjustment of marks (scaling):
- (a) for all submissions irrespective of they have been moderated or not, 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);
 - (b) for all of the work by individual markers irrespective of they have been moderated or not (but not individual submissions);
 - (c) for sections within a submission for all submissions (e.g. where a problem is identified relating to one question on an examination paper).
- 4.22.3 If the markers cannot satisfactorily resolve their differences, an appropriate third party will adjudicate. The adjudicator should be an appropriate office holder in the School such as:
- (a) Chair of the Board of Examiners;
 - (b) School Director of Learning and Teaching;
 - (c) Assessment Coordinator/Lead or equivalent in those Schools which possess such roles.
- 4.22.4 The adjudicator is required to arbitrate on the nature of the disagreement between the markers rather than re-mark the assessment itself. Accordingly, the adjudicator will mainly consider the marks and comments of the two markers, including the Moderator's report. In some cases the adjudicator may wish take advice from a third party, including the External Examiner(s).
- 4.22.5 The adjudicator shall be responsible for making the final judgement. The awarded mark should be within the range bounded by the first marker's and moderator's marks nor the two markers in the case of Blind double marking.
- 4.22.6 Before the return of work where disagreements in judgment have been identified and discussed, the feedback must be checked for consistency with the final agreed mark.

- 4.23 A clear and transparent audit trail is required detailing Mark-Moderation and recorded through the Moderator's report. The report should include the form of moderation used (blind double or second marking moderation) and the particulars of the sample. Where marking discrepancies have been discussed, the report should provide details of the nature of the differences (including the raw marks) and the method and rationale by which the agreed mark(s) was/were arrived at (including any adjudication).

5. EXTERNAL EXAMINERS AND EXTERNAL MODERATION

- 5.1 As part of their duties, External Examiners are expected, not only to ensure that the academic standards for UEA awards are at the appropriate level in comparison with other Higher Education Institutions, but also to confirm that assessment processes appropriately measure student achievement against learning outcomes in ways which are transparent, valid, rigorous and as equitable as possible for all students.
- 5.2 External Examiners should be encouraged to be involved at all three levels of moderation, including Assessment-Moderation, to allow their expertise to "inform [the] Institution's practice as it occurs, rather than providing an exclusively retrospective comment on past practice" (UK Quality Code for HE, Chapter B7: *External Examining*). Any sample sent to the External Examiner for scrutiny should, at a minimum, include those scripts internally moderated plus an additional 10% or 3, whichever is the larger. The External Examiner may request a larger sample on request.
- 5.3 The particular duties of an External Examiner are laid out in the University's *Code of Practice for the External Examiner System*:

<https://portal.uea.ac.uk/documents/6207125/8551351/cop-for-the-external-examiner-system-of-awards.pdf/f0bf44d7-2b7d-4ce9-a94e-53843d704f6a>

6. REVIEW AND EVALUATION MODERATION

The details of this section are currently under review as part of the implementation of the Quality Review Framework.

END OF DOCUMENT

UEA Policy and Guidance on Re-marking requests

1 Student requests for a remark

- 1.1 Where a summative assignment, presentation, oral examination or a written examination has been Blind¹ double marked, 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.
(<https://portal.uea.ac.uk/documents/6207125/7465906/Section+3+Academic+Appeals+and+Complaints+Procedure.pdf>)
- 1.2 Where (except in the case of OSCEs, OSPEs and written examinations see 1.6 below) a summative assignment, presentation or oral examination has been Second marked a student may request a remark within **10 working days** of publication of the mark on eVision.
- 1.3 A student requesting a remark will need to provide justification that either:
- the mark is not consistent with the feedback given or;
 - the feedback suggests that part of the student's submission has not been considered or;
 - the assessment criteria have not been applied appropriately.
- 1.4 Students are required to discuss their mark with the marker before asking for a re-mark. If this is not possible for reasons beyond the student's control, they should meet with their Adviser. In exceptional circumstances a student may meet with an alternative member of staff such as the School's Senior Adviser.
- 1.5 Students are required to submit a re-mark request form clearly indicating how their request meets one or more of the criteria outlined in 1.3 above.
- 1.6 Where a written examination, an Objective Structured Clinical Examination (OSCE) or an Objective Structured Practical Examination (OSPE) has been double marked, or has moderated in another way, students may not apply for a remark but may submit an Academic Appeal.

¹ Blind double marking is where two markers mark the work unaware of the other marker's mark, comments and student feedback. Through discussion the two agree a single mark and appropriate feedback (taken from Section 4.13 of the UEA Policy on Moderation of Assessment).

2. Re-marking request procedures

Procedure for requesting a re-mark

- 2.1 Requests for work to be re-marked should be submitted to the Hub of the School in which the module is based using the form LTS005 [Request for re-marking of work which has not been blind double marked](#). The piece of marked work should also be submitted at the same time. A clean copy of the work is only required if it was not originally submitted electronically.
- 2.2 A student submitting a request must clearly state on the re-marking request form (henceforth referred to as “the Form”), why, having received an explanation of the mark from the original marker, or from their Adviser in cases where it has not been possible to meet with the original marker, they feel they have grounds for making the request based on the criteria outlined in 1.3 above.
- 2.3 The relevant Learning and Teaching Service (LTS) Team Leader will consider the re-mark request. The LTS Team Leader will consider whether the Form has been properly and fully completed. If the student has indicated clearly which of the three allowable grounds they are applying against, and have provided evidence to substantiate their application accordingly, the application will be processed accordingly.
- 2.4 Prior to submitting a request for work to be re-marked, LTS or academic staff as appropriate, should strongly recommend that the student seeks guidance and support from the Student Union Advice Centre in completing their request. Although LTS staff can advise students on the procedure for requesting a re-mark, they cannot advise on the completion of the form itself.

3. Requirement for students to discuss the original mark with the first marker

- 3.1 Students are expected to indicate on the Form that they have met in person, or via other means such as Skype or Facetime, with the original marker prior to submitting a re-mark request. In cases where this is not possible, for example because the marker is ill, absent from the University, or no longer employed by UEA, the student should meet with their Adviser (or, in exceptional circumstances, with another member of the School such as the School’s Senior Adviser) before submitting a re-mark request.
- 3.2 Where a re-mark request is deemed by the LTS Team Leader to be incomplete or where there is insufficient explanation or evidence provided in the Form, the application will be referred back to the student for revision.
- 3.3 A revised Form should be submitted by 6pm on the third working day following initial submission.

- 3.4 If, on re-submission, the LTS Team Leader is satisfied that the Form has been properly completed, the re-mark process will be initiated. The LTS Team Leader will contact the Module Organiser to identify an appropriate second marker.
- 3.5 If the LTS Team Leader is still not satisfied that the Form is complete, it will be referred to the School Director of Teaching and Learning in the School in which the module is based for a final decision as to whether the request should be processed and the re-mark process initiated accordingly.
- 3.6 If rejected by the School Director of Learning and Teaching, the original mark will stand. However, the student may still submit an Academic Complaint if they feel there were procedural irregularities associated with the conduct of the assessment, including the marking or moderation process.
- 4. **Confirmation from the original marker that they have discussed the awarded mark with the student**
 - 4.1 The original marker should confirm, by signing the Form or by responding to an email from the relevant member of LTS staff, that they have discussed the mark with the student face-to-face and that they have made efforts to clarify why the mark in question was awarded and to address the student's concerns.

In cases where the student has not – due to circumstances beyond their control - been able to meet with the original marker, they should meet with their Adviser. The student's Adviser, in such cases, should sign the Form or confirm via email that they have discussed the mark with the student. In exceptional circumstances a student may meet with an alternative member of staff such as the School's Senior Adviser.
 - 4.2 The re-mark request will not be processed until the original marker (or the student's Adviser in accordance with 4.1 above) has signed and returned the Form, or confirmed in writing by email, that the meeting has taken place.
- 5. **Re-marking the work and processing the mark**
 - 5.1 Once a second marker has been identified by the Module Organiser, the Hub will send a copy of the Form and a clean copy of the student's work, or a recording of the presentation/oral examination to the second marker electronically. The copy of any written assignment sent will be the original submission as lodged in eVision or Blackboard or a scanned version of the work if it was submitted in hard copy.
 - 5.2 The second marker will be asked to re-mark the work in three working days after receiving it. Once re-marked, the second marker will return the completed re-mark request Form, duly signed, with the second mark clearly indicated. The second marker's feedback on the script

should be included in the relevant section of the Form. 5.3 A copy of the completed Form, with the first mark, second mark and final agreed mark (see the method for reaching a final mark below), together with feedback from the second marker should then be forwarded to both the Module Organiser and the student. A copy will be retained in the student's file.

5.4 The outcome of the re-marking request will be recorded by the relevant LTS team.

5.5 The re-marking process should normally be completed within 10 working days of a student completing a re-marking request Form after they have met with the original marker.

6. Process where there are differences between marks awarded by the first and second markers

In cases where there are differences between the mark awarded by the first and second markers the procedure will be as follows:

- a) If the mark of the second marker is within 4% points of the original mark (either higher or lower) and within the same classification band, then no adjustment of the mark will be made; e.g. 1st mark is 63%, 2nd mark is 67% = no adjustment;
- b) If the mark of the second marker is within 4% points of the original mark (either higher or lower) but in a different classification band, then the mark will be adjusted to the entry point of the upper classification band; e.g. 1st mark is 59%, 2nd mark is 62%, adjusted mark = 60%. This equally applies where the marks straddle the pass/fail boundary; e.g. 1st mark is 37%, 2nd mark is 41%, then adjusted mark = 40%;
- c) If the mark of the 2nd marker is more than 4% points but less than 11% points (either higher or lower) from the original mark, then the mark will be adjusted to reflect the mid-point between these two marks; e.g. if 1st mark is 60%, and 2nd mark is 68%, adjusted mark = 64%. Marks can go up or down; e.g. if the 1st mark is 56% and the 2nd mark is 50%, the adjusted mark = 53%. In some cases where marks straddle the pass/fail boundary, an adjusted mark may result in a formerly passing mark becoming a fail mark; e.g. 1st mark is 43% and 2nd mark is 35%, adjusted mark = 39%;
- d) In cases where the difference between 1st and 2nd markers is more than 10% points (e.g. 1st mark 60%, 2nd mark 72%), this discrepancy will be flagged for the Teaching Director in the School concerned, who will be required to adjudicate and consider any implications with regard to consistency of marking in the School. The Teaching Director's adjudicated mark will stand as the final mark.

7. **Marker's meeting with a student to discuss a mark**

A mark cannot be changed as the result of the discussion between the student querying a mark and the original marker (as outlined in section 3) unless it becomes apparent that either there has been a transcription error (see section 8 below) or if the marker has accidentally missed a section of the work so that not all pages of the work were marked. In all other cases the student must submit a re-marking request if they feel they have grounds based on the criteria outlined in 1.3 above.

8. **Transcription errors**

Where a student is concerned that there has been an error in the transcription of a mark from a piece of coursework to the mark appearing on eVision, they should contact the Hub of the School which owns the module so that this can be investigated.

Revised 2/12/2015 LTC Minute 45

Revised 12/7/17 to clarify that, where applicable, the adjudicator's mark will be the final mark

Revised 20.7.18 to align definitions of marking and moderation with those in the UEA Policy on the Moderation of Assessment

University Policy on Plagiarism and Collusion 2019/20 (revised May 2020)

SECTION A: POLICY

A1. Introduction

- 1.1 The University of East Anglia expects that all its members, both staff and students, adhere to the principles of Academic Integrity defined as a commitment to the values of honesty, trust, fairness, respect, responsibility, and courage.¹ Failure to adhere to these principles may result in academic misconduct if an individual gains either for themselves or another person an unfair or unjustified academic advantage.
- 1.2 All students complete an online declaration, as a condition of becoming a student at UEA, to agree that their work is their own, that there is no unacknowledged use of another person's work, that there has been no unauthorised cooperation between them and another person in the preparation and production of their work. This policy covers those forms of academic deception referred to as "plagiarism" and "collusion" including "contract cheating".
- 1.3 The University takes allegations of plagiarism and collusion extremely seriously since such acts:
 - threaten the credibility, integrity and standards of the University's awards if students gain credit for work which is not their own;
 - cast doubt on a student's commitment and responsibility to their learning as well as their personal integrity;
 - represent an unfair advantage over those students who do not plagiarise or collude.
- 1.4 Suspected plagiarism, collusion or contract cheating, at any point of a student's course, or whether discovered before or after graduation, will be investigated and dealt with appropriately and proportionately by the University.
- 1.5 Any breach in academic integrity is treated as misconduct. Where misconduct relating to plagiarism and collusion has been established, the student may be penalised. The most serious cases can result in referral to the Senate Student Discipline Committee (SSDC) where disciplinary actions may result in the student failing their degree, temporary suspension or permanent exclusion from the University.

In cases where plagiarism, collusion or contract cheating has been discovered after graduation, the Senate has the authority to reduce the classification of a conferred Degree, or to revoke a Degree, Diploma or Certificate or other distinction conferred by the University.

¹ *The Fundamental Values of Academic Integrity* (2014), International Centre for Academic Integrity.
<https://www.academicintegrity.org/fundamental-values/>

- 1.6 Section A of this policy applies to all students registered at the University. Section B Procedures for Dealing with Suspected Cases of Plagiarism and Collusion applies to all students on undergraduate and postgraduate taught programmes and to the taught components of professional doctorates.
- 1.7 Matters of plagiarism, collusion or contract cheating relating to the research work of a postgraduate research degree candidate or graduate should be brought to the attention of the Head of Postgraduate Research Service and will be handled under the Procedures for Investigation with Allegations of Research Misconduct Made against Students (available within the Universities [General Regulations](#))

A2. Definitions

- 2.1 The principles and values of Academic Integrity entail using, generating and communicating materials in an ethical, honest and accountable manner. With respect to student assessments, submitted work is received on the understanding that it represents the student's own intellectual efforts and understanding, without any form of falsification or fabrication.

This means if the ideas used in a student's work are not their own, they must reference the sources they have used.

2.2 Plagiarism

- 2.2.1 Plagiarism occurs when one of the following has occurred in a student's assessed work:
- a. Use of words, ideas, or any other type of work produced (see 2.2.2 for other work included) but without attributing another person or source from which it was obtained;
 - b. Does not attribute other work they have previously produced for the purposes of summative assessment or publication. This refers to "self plagiarism" but does not apply to undergraduate or taught postgraduate work not submitted for credit or to formative assessment for all students².
 - c. Where the individual obtains some form of academic benefit, credit, or gain.³

² Although non-credit bearing assessments are not covered by the Policy, failure to comply with a-c may still be considered unacceptable or inappropriate academic practice and necessitate some form of information intervention.

³ Based on Teddi Fishman (2009), "We know it when we see it' is not good enough: Toward a standard definition of plagiarism that transcends theft, fraud, and copyright" in *Proceedings of the Fourth Asia Pacific Conference on Educational Integrity* (4APCEI), 28-30th September, 2009, University of Wollongong, NSW, Australia.

- 2.2.2 The definition covers all assessment types and all forms of attributable intellectual property (published or not) including, but not limited to, words scientific formulae, program code, music, research data, tables, graphs, diagrams, images, web content and audio-visual resources as well as ideas and concepts. The sources may include, but are not confined to, books, articles, theses, working and conference papers, posters internal reports, plans or designs, a student's own previously published or assessed work, and teaching materials (e.g. lecture slides or handouts).
- 2.2.3 The definition does not make reference to the motivation or intent of the student and so, includes accidental plagiarism, for example due to poor academic practice arising from a lack of understanding of what constitutes the intellectual property of others as well as the appropriate means of acknowledging or referencing it. Intention only becomes an issue in determining the seriousness of the plagiarism with respect to any penalties to be applied (see Section B, Paragraph 5 of Procedures for Dealing with Suspected Cases of Plagiarism, and/or Collusion and Contract Cheating).

This means:

- i) deciding whether plagiarism has occurred follows consideration of whether the source of the work has been appropriately cited;
- ii) it does not take account of the reason why plagiarism has occurred or the intent of the student, that is, whether it was deliberate or poor academic practice;
- iii) factors such as motivation or intent to deceive should be taken into account when considering any penalties.

2.3 **Collusion**

- 2.3.1 Collusion is unauthorised cooperation by a student and at least one other person in the production of submitted work.
- 2.3.2 Plagiarism is a private, individual action, but collusion is a social interaction involving the student and other parties (students or otherwise) working together in an unauthorised manner.

Collusion occurs when, with respect to an assessment:

- a) A student interacts with others (student or otherwise) in the completion of the assessment task and where the nature and/or extent of the interaction is not authorised (either implicitly or explicitly) for that task, and
- b) The situation is such that there is a legitimate or reasonable expectation that students should understand that such interactions are not acceptable.

- 2.3.3 Collusion is sometimes difficult to distinguish from legitimate collaboration

(e.g. group work⁴).

- 2.3.4 Some actions may be considered as either plagiarism or collusion: a student copying another's work with permission is an example of both. For plagiarism only the submitting student has committed an offence, whilst for collusion both are guilty of misconduct. Care needs to be taken in deciding the form of the offence.

This means:

There is a significant difference between collaboration, where students work together to produce work or looking at someone else's work with their knowledge and using someone else's work or ideas without their knowledge or without referencing this in their work.

2.4 Contract Cheating

- 2.4.1 Contract cheating occurs when the student's submitted assessment has been completed for them partially or wholly by a third party. The third party can range from friends and family, fellow students or academic members of staff to commercial providers, sometimes referred to as "essay mills" although such "services" typically supply more than just essays. Contract cheating includes both paid and unpaid outsourcing.
- 2.4.2 Although contract cheating can be viewed as a form of collusion, the University treats it as a distinct and especially serious form of misconduct since engaging a third party to complete the student's work can only be a deliberate, intentional action.

2.5 Online examinations

In addition to understanding that plagiarism, collusion and contract cheating constitute misconduct students are required to familiarise themselves with the expected behaviour required in examinations (see General Regulation 20.1 and 20.2 of the University's [General Regulations for Students](#)).

A3. Student Obligations

- 3.1 On registering at UEA all students are expected to abide by the principles of Academic Integrity defined as a commitment to the values of honesty, trust, fairness, respect, responsibility, and courage.
- 3.2 With respect to academic assessment the student should understand why plagiarism and collusion run counter to the principles of Academic Integrity⁵.
- 3.3 Student are expected to familiarise themselves with and ensure that they understand the nature of plagiarism and collusion as outlined in this Policy and the *University Student Handbook for Taught Programmes* for

⁴ <https://portal.uea.ac.uk/documents/6207125/8551351/guidance-note-on-groupwork.pdf>

⁵ <https://portal.uea.ac.uk/student-support-service/learning-enhancement/study-resources/plagiarism>

undergraduate and taught postgraduate students or the Code of Practice for Research Degrees for postgraduate research students.

- 3.3 Students are expected to attend all timetabled induction sessions relating to plagiarism and collusion. They should also familiarise themselves with any discipline-specific conventions (e.g. referencing methods). If there are any issues of understanding, it is the student's responsibility to seek clarification as soon as possible.
- 3.4 Where an induction session relating to plagiarism and collusion has been missed, it will be assumed by the University that the student has made every effort to catch up on the covered content as soon as possible and that subsequent claims of ignorance or misunderstanding will not be accepted.
- 3.5 The student should understand that there are no mitigating factors which may excuse plagiarism or collusion. There is always a legitimate alternative to academic deception such as a formal request for an extension, seeking advice from the Module Organiser or the student's Academic Adviser or Supervisor, seeking support from Student Services and/or Learning Enhancement Team, or applying for an interruption to studies.

A4. Use of Text-Matching Software to Detect Plagiarism

- 4.1 University approved text-matching software (software that searches submitted work for matches against text contained in its databases) may be used for students taking undergraduate modules, postgraduate modules or the taught component of professional doctorates for all elements of assessment. The University recognises that such software does not, of itself, detect plagiarism but only produces a "similarity" report which indicates all the matches in the submitted text to any materials within the database. The similarity information requires careful interpretation since appropriately referenced texts will be highlighted alongside potentially plagiarised materials.
- 4.2 Schools shall:
 - 4.2.1 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);
 - 4.2.2 in the case on online examinations, make use of the automated batch processing service;
 - 4.2.3 monitor its use for equality impact assessment.
- 4.3 University approved text-matching software may not be used for the purposes of screening any parts of the thesis or research work of postgraduate research students except where this is explicitly approved via a concession request submitted via the Postgraduate Research Service to the Academic Director of UEA Doctoral college, for example in certain cases of

alleged misconduct in research.

- 4.4 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:
 - 4.4.1 Students are informed in advance of the assessments that will be subject to batch screening using the University's approved text-matching software;
 - 4.4.2 An originality report is generated for **all** student submissions for the assessment in question, not just a sample of students from the cohort;
 - 4.4.3 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.
- 4.5 In cases where coursework is subject to batch screening, students on the module in question shall:
 - 4.5.1 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;
 - 4.5.2 be provided with training by the staff members who have access to the system on how to access the University approved text-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;
 - 4.5.3 have access to online guidance resources that address section 4.5.2.

SECTION B: PROCEDURES FOR DEALING WITH SUSPECTED CASES OF PLAGIARISM AND/OR COLLUSION OR CONTRACT CHEATING

B1. 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.

B2. Collection of Evidence

- i. If a marker suspects plagiarism and/or collusion or contract cheating, they will continue to mark the work as if not plagiarised, keeping a separate copy of the annotated work as evidence.
- ii. All online examination submissions will be automatically checked by text matching software that will detect any similarity between different students' submissions and to detect similarity with web based sources.
- iii. Where a marker believes that plagiarism, collusion or contract cheating may have occurred they will advise their School Plagiarism Officer
- iv. The marker will gather the necessary evidence to allow the Plagiarism Officer to decide whether an investigative meeting with the student is required. 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, with the similarity report for exams.
- v. 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 delivered by other Schools, and may seek help from the relevant School University approved text matching software specialist.
- vi. Where an allegation of plagiarism and/or collusion concerns a module not in a 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.
- vii. Subsequently, the Plagiarism Officer in the School in which the module(s) is/are located, will arrange an investigative meeting with the student
- viii. If a marker suspects plagiarism and/or collusion but is unable to identify the original sources, they should collect what evidence is

available and present it to the Plagiarism Officer, who will decide if there is a case for plagiarism and/or collusion which would warrant an investigative meeting to discuss possible Plagiarism or Collusion

- ix. 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 report and should form part of the documentation for the investigative meeting.

B3. Initial screening of evidence

- i. 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.
- ii. For cases classified as Low Level, the Plagiarism Officer will proceed as stated in paragraph 5.2.1 below and may recommend an action plan setting out an appropriate learning package without having a formal investigative meeting
- iii. In all other cases, a formal investigative meeting should be held.

B4. School Plagiarism/Collusion Investigative Meetings

- i. Where an investigative meeting to determine whether plagiarism or collusion has taken place is considered necessary, the student will be required to attend, in person or virtually, to discuss the alleged plagiarism and/or collusion, which may also include other work being re-called as set out in paragraph 2. This will be attended by the marker and the School Plagiarism Officer.
- ii. The meeting shall be chaired by the School Plagiarism Officer. If the School Plagiarism Officer is also the Module Organiser/internal marker, then the Deputy Plagiarism Officer (where a School has made such an appointment) or a Plagiarism Officer from another School will act as Chair.
- iii. The meeting will normally be arranged by a member of LTS or PGR staff who shall act as secretary to the meeting. They shall normally be a senior member of administrative staff in the relevant office.
- iv. The student will be provided with a copy of the annotated work and the University approved text matching software report, if appropriate.
- v. The student will also be advised to have with them or provide any supporting evidence to assist with the investigation including anything relating to any mitigating circumstances. The meeting request shall be e-mailed to the student at least five working days (not including Saturdays, Sundays and University closure days) before the meeting.
- vi. The marker and others in the meeting may ask a series of questions to examine the student's understanding of the subject matter of the work they

have submitted. The role of the Plagiarism Officer is to determine from the answers given by the student whether, on the balance of probabilities, the student has plagiarised or colluded.

- vii. The student should make every effort to attend the meeting either virtually or in person, but it may be rearranged if the student can demonstrate they have good reason for it to be rescheduled. . If a student fails to attend the meeting without providing good reason, the meeting shall proceed in their absence.
- viii. The student may, if they wish, have an accompanying person in attendance, 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.
- ix. A record of the meeting shall be taken by the secretary to the meeting

The meeting shall proceed in the following order:

- a) the marker who has initially raised the suspicion of plagiarism/collusion presents their concerns. The marker may ask a series of questions to test the student's knowledge of the subject matter in their assignment ;
- b) the Plagiarism Officer shall then provide the student with an opportunity to respond to the concerns of the marker;
- c) the marker and Plagiarism Officer may ask further questions;
- d) the Plagiarism Officer shall advise the student that, where plagiarism/collusion is denied but the outcome of the meeting is that it has been judged to have taken place, 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;
- e) the Plagiarism Officer shall ask the student if there are any mitigating circumstances that they would like to raise in the meeting. In cases where the Plagiarism Officer is aware of mitigating circumstances these should be taken into consideration when determining an outcome.
- f) the marker, student and accompanying person shall then leave the meeting;
- g) the Plagiarism Officer shall decide on the suitable outcome using the grid below to assist with decision making. They will then consult a Plagiarism Officer from another School outlining the facts of the case and the basis on which the decision was reached to confirm that the outcome is appropriate;
- h) where there is a difference of opinion between the two Plagiarism Officers a third Plagiarism Officer from another School will be asked to help reach an

agreed outcome

- i) the student shall be advised of the outcome of the meeting in writing normally within five working days;
- j) the student can reconsider their plea within five working days of the formal meeting;
- k) the Head of School shall be advised of the outcome.

B5. Outcomes

- 5.1 In the event that the student **admits** plagiarism or collusion, the Panel shall determine the seriousness of the offence, any mitigation presented by the student, 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.

Plagiarism/Collusion Classification Guide

Plagiarism and Collusion			
	Classification		
Criteria	Low Level	Medium Level	High Level
Experience: Student's familiarity with the presentation requirements of the relevant academic work	Description: The student is unfamiliar.	Description: The student is familiar with the requirements and the rules regarding plagiarism and collusion but may not have fully understood their implications.	Description: The student fully understands the requirements and the rules governing plagiarism and collusion.
Extent of plagiarism or collusion (as determined by the marker/Module Organiser)	Description: Suspect element(s) only minimally impact on the ability to meet the learning outcomes of the assessment.	Description: Suspect element(s) moderately impact on the ability to meet the learning outcomes of the assessment.	Description: Suspect element(s) substantially impact on the ability to meet the learning outcomes of the assessment.
Intent of student to deceive	Description: On the balance of	Description: On the balance of	Description: On the balance of

	probability, the act of plagiarism or collusion was unintentional.	probability, the act of plagiarism or collusion was not intentional but the result of negligence or carelessness rather than an attempt to deliberately deceive.	probability, the act of plagiarism or collusion was intentional and knowingly meant to deceive. The evidence indicates that the act of plagiarism and/or collusion was deliberate and planned. The assessment may contain fabricated references
Nature of plagiarism or collusion	<p>Description: Poor academic practice relative to the academic task.</p> <p>Plagiarism For example: Suspect element is incidental to the fundamental argument; Referencing or attribution of work is not clear or has numerous errors.</p> <p>Collusion For example: Misunderstanding of what constitutes collective activity.</p>	<p>Description: Unacceptable academic practice relative to the academic task.</p> <p>Plagiarism For example: Suspect element contributes to or supports analysis, argument or conclusions but student's own work can be identified and is of greater or at least comparable significance; Failure to reference and/or cite appropriately.</p> <p>Collusion For example: Copying segments of other students' work;</p>	<p>Description: Clear breach of acceptable academic practice.</p> <p>Plagiarism For example: Suspect element contributes the sole or greater part of analysis argument or conclusion and the student's own work cannot readily be discerned; Absence of appropriate attribution.</p> <p>Collusion For example: Whole/substantial parts of the work is copied from other</p>

		Lending own work to another student in the belief that it may be copied.	<p>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>
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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 will receive a mark for the work excluding that which has been identified as plagiarism or collusion. 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 action plan and/or appropriate learning support package. 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.

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.

Plagiarism in formative work: 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.

Plagiarism in work where the mark is pass fail: the work will be assessed using only the non-plagiarised sections and a mark of pass or fail shall be recorded accordingly.

(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.

5.2.2 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 the work should be given a mark of 0% and the offence should be recorded as high level for both formative and summative work..

(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 3 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 paragraph 2 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. The outcomes of Senate Student Disciplinary Committee considerations will be final.

(d) Fitness to Practise Panel

Where programmes lead to professional qualifications, a Head of School in which a student is registered may refer a student with a confirmed High Level offence to a Fitness to Practise Panel. This will happen prior to consideration of a referral to a Senate Student Discipline Committee

- 5.3 When determining the outcome following a Plagiarism/Collusion investigative meeting, the Plagiarism Officer may decide that the student's work completed within the Stage should be recalled. If plagiarism or collusion is detected in any recalled work and a high level outcome is determined, this work shall also be submitted to the Senate Student Discipline Committee.
- 5.4 The documentation relating to (i) the record of the investigative meeting, (ii) the assessed work in question, (iii) the Plagiarism Officer's 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).
- 5.5 The student will be given a copy of the documentation relating to (i)–(iv) above. The secretary of the investigative meeting shall also send copies of the documentation referred to in (iii) and (iv) above to the Head of School in which the student is registered
- 5.6 The secretary to the investigative 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.

B6. Denial

In the event that a student denies that they have engaged in plagiarism, collusion or contract cheating 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.

B7. Appeals

A student may appeal against a **penalty** (i.e. the level and consequences) applied under paragraph 5.2 except where they have been referred to the Senate Student Discipline Committee (4.1 (v) of the [Academic Appeals and Complaints Regulations](#) refers) and should do so in writing to the Head of LTS for taught students and the Head of PGR Service 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:

Postgraduate Research students can find the *Postgraduate Research Appeals and Complaints procedures* within the [UEA Portal](#) (login required)

B8. Reporting Plagiarism

School Plagiarism Officers shall complete an annual report to the Learning and Teaching Committee of Senate which should include information on referrals made to them, investigative meetings held, outcomes, and equality monitoring data.

Implementation date of revised policy 18 May 2020

Reporting concerns about wrongdoing at UEA: our approach to Student Whistleblowing

A policy designed to reassure and advise students who want to raise a concern with the university about apparent serious wrongdoing.

What is whistleblowing?

Whistleblowing is the term we are using for situations in which a student raises concerns with the university about any of the following serious issues:

1. That another student is cheating on an assessment, such as colluding with another student, plagiarising, or buying essays.
2. That research misconduct is taking place, such as data being falsified.
3. That another student is behaving in a way that is of serious concern.
4. That a criminal offence is being or is likely to be committed.
5. That financial impropriety is taking place, such as fraud, theft, bribery or misreporting.
6. That a person has failed, is failing, or is likely to fail to comply with any legal obligation they have, which includes their obligations under the University Statutes, Ordinances and Regulations.
7. That a miscarriage of justice has occurred, is occurring or is likely to occur.
8. That the health or safety of any individual has been, is being or is likely to be endangered. This should be interpreted widely, to include (for example) harassment.
9. That the environment has been, is being or is likely to be damaged.
10. That any of the above has been, is being, or is likely to be deliberately concealed.

As a student, you may want to provide the university with information about one of the above issues, but be concerned about what this means for you. For example, you might be worried that you could be bullied as a result of reporting another student cheating, or be victimised by a member of staff.

Some examples:

- James is a third year science student. He is concerned because another student has told him that she paid for someone else to write her coursework, and suggested James use the same company. James believes that cheating in assessments devalues the degree of everyone who has behaved honestly and worked hard – but he is concerned that if he reports this to his school the student concerned will harass him.
- Abdiya is a first year medical student. She is concerned that a fellow student is using drugs and that this may affect his care of patients. She wants the university to step in, but she doesn't really want her name brought into it.
- Miguel is a PhD student who has become concerned that equipment in his lab is not safe and that he is being asked to work without safety goggles. He has

raised this informally but doesn't feel that he is being taken seriously. He doesn't want his school to see him as a troublemaker, especially as some new teaching positions have become available.

This policy is intended to provide you with reassurance and an explanation of what to expect.

Before we discuss this, there is one important consideration.

An important note

Students who are also workers

There are special legal protections for 'workers' who are reporting certain kinds of concern. UEA has a number of students who are also workers working for UEA, and if you are one of them and your concern relates to numbers 4 to 9 above (or to concealing 4 to 9 above) and your report is made in the public interest, then you may be protected by the Public Interest Disclosure Act 1998. You should therefore read UEA's Public Interest Disclosure Policy instead of this document. For more information, see the Flowchart.

It does not matter whether or whether the concern came to your attention in your capacity as a student or as a worker, or whether it is about a student matter or a staff matter.

For example:

- Yousef is a PhD student and also employed by his supervisor as a research assistant. He wishes to report the theft of some equipment by a colleague. He should read and follow UEA's Public Interest Disclosure Policy because he is a worker.
- Kate is a student who is also a paid ambassador on open days. She is concerned that another student has cheated on a test. Because her disclosure is not covered by numbers 4 to 9 above, she uses this policy even though she is also a worker.

The aims of this policy

We want everyone here at UEA, whether staff or student, to act with integrity. Acts or omissions that are illegal or which affect the reputation of the university or the wellbeing of someone at the university or in the wider community are harmful to us all. UEA is committed to the highest standards of openness and accountability.

The aims of this policy are to encourage you to report suspected wrongdoing to the university as soon as possible, but to feel safe doing so and to know that your concerns will be taken seriously. The university recognises that you may be very worried about what will happen if you do so, and you may feel in a moral dilemma. This document is designed to reassure students who make a report to the university, i.e., an internal

report, but who are concerned that as a result of doing so they might be bullied, victimised, or retaliated against.

You may also be concerned about the wellbeing of, or implications for, any person that you are reporting concerns about. Please rest assured that the university will always strive to be fair, and will be mindful about the wellbeing of everyone involved.

Remember that any time you are worried about another other student's welfare you can speak to someone in the Student Support Service.

Reporting your concerns

There are a number of policies and processes at UEA that may involve the kinds of things listed above, such as:

- Academic and non-academic complaints
- Student harassment and sexual or physical misconduct
- Misconduct in research
- Health and safety policies
- Professional schools' "cause for concern" or "fitness to practise" policies
- Data protection policy

This document applies irrespective of whether there is an applicable policy, and irrespective of whether any policy explicitly provides these kinds of protections. This policy supersedes any weaker protections for students contained in other policies.

Confidentiality and anonymous reports

We strongly encourage you to put your name to any report that you make. Concerns that are anonymous are much less powerful and much harder to verify. Moreover, not putting your name to the report may mean that the behaviour that you are worried about cannot be investigated or that any investigation is fatally undermined. This may allow harmful behaviour to continue.

Where a report is made anonymously, or by students who do not wish their names to be communicated onwards to the relevant parties, the university may consider them at its discretion. Whether it will do so depends on the seriousness of the issues being raised, the credibility of the concern, and the likelihood of confirming the allegation from attributable (i.e., non-anonymous) sources.

Safeguards for you

There are two key safeguards:

(1) Protecting you from formal action by the university.

Here, we promise that you won't face any disciplinary action for raising a genuine concern as long as:

- you have reported your concern to the university; and
- your concern was raised in good faith

even if it turns out that your concern was mistaken.

However, sometimes a complaint can be made vexatiously, to stir up trouble, or for personal gain. Regulation 10.1.11. of the General Regulations for Students makes it a disciplinary offence to make a complaint against another student or any member of staff or officer of the University that is motivated by malice and/or mischievousness, or which is vexatious or that you know to be untrue. In these situations, the university may take disciplinary action against you.

(2) Protecting you from other forms of retaliation by staff or students

The university takes any allegations of retaliation or victimisation extremely seriously. It has a number of actions that it can take. These can include preventing individuals from contacting you or being in the same place as you, suspending them, expelling or dismissing them, limiting access to certain university spaces, or ensuring the presence of a neutral third party at any meetings.

Who to tell

Raising the concern

You should report your concern under the policy that deals with the type of complaint that you have. Here is some useful guidance:

- For both academic and non-academic matters there are policies and forms that can be found on the Learning and Teaching Service website and the hub can provide information on what to do. See <https://portal.uea.ac.uk/learning-and-teaching/students/forms>. For PGR students, the Postgraduate Research Service has its own form at <https://portal.uea.ac.uk/postgraduate-research/pgr-regulations-and-forms> and will be able to offer you advice.
- If you are concerned about harassment and sexual or physical misconduct, there are experienced advisers in the Student Support Service. Their policy is at <https://portal.uea.ac.uk/documents/6207125/6816233/Harassment+and+Sexual+or+Physical+Misconduct+Policy+2018+Final.pdf/9cf14e39-b670-ef53-e268-841abf1ea632>.
- For research misconduct, you should contact your Head of School. See <https://portal.uea.ac.uk/rin/research-integrity/research-integrity-primary-contacts>.
- For health and safety, you should speak to your Head of School or, in the case of an issue in accommodation, the Accommodation Office. You can also seek advice and guidance from University Safety Services. Their information is here <https://portal.uea.ac.uk/uss>.

- If your concern relates to a professional school such as MED, SWK, HSC, EDU, and PHA, you will find the “cause for concern” or “fitness to practise” policies in your school handbook. All academic staff in these schools will know what to do, but your school will have a professional fitness to practise lead.
- For data protection issues, the university has a Data Protection Officer who is responsible for how the university uses data including reporting breaches of data. More information and contact 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>.

Remember that if you work for the university and if your complaint relates to numbers 4 to 9 on the front page of this policy, you should look at the staff whistleblowing policy instead because you have additional legal protections.

If you're not sure what route to take, you can seek advice from the Advice(SU). They can help you to raise your concerns and guide you through the relevant process. Where you are at all unsure, we strongly recommend this as a first step.

Once you have raised the concern

If you feel that you are being retaliated against as a result of raising a concern, or if you feel that your concerns are being ignored, then you should tell the Director of Student Services. If the Director of Student Services is the person you are concerned about, you should tell the Director of Student and Academic Services. Advice(SU) can help you with this.

The Director of Student Services or the Director of University and Student Services will investigate and refer the matter to the University Disciplinary Officer, Human Resources Division, or another appropriate decision maker to consider whether steps are required to protect you.

Example

Let's go back to James, the third year science student who has now told his school that another student paid for someone else to write her coursework. (This is called 'contract cheating' and you can find more about this [here](#).) Let's say that as a result of telling his school about this, he has received a series of abusive text messages from the other student.

James should report this to the Director of Student Services who, through the University Disciplinary Officer, may order the other student not to contact James, and to stay away from James' campus accommodation. As the students have a seminar together, the UDO speaks to James about this and subsequently arranges for one of them to move into a different seminar group.

Outcomes

We will try to tell you what happens as a result of any issues you have raised. Sometimes we may have to be vague about this because of a duty of confidentiality owed to another person. Remember that it's the university's responsibility to investigate that allegation fairly, and you are not responsible for the outcome.

Does your whistleblowing involve disclosing information about one of the following?

That a criminal offence (or financial impropriety such as fraud) is being or is likely to be committed

That a person has failed, is failing or is likely to fail to comply with any legal obligation to which he is subject (including of the University's Statutes, Ordinances or Regulations)

That a miscarriage of justice has occurred, is occurring or is likely to occur

That the health or safety of any individual has been, is being or is likely to be endangered

That the environment has been, is being or is likely to be damaged, or

That any of the above has been, is being or is likely to be deliberately concealed.



Yes



Are you a UEA worker?

For whistleblowing, the law defines workers as

- Employees (or former employees), i.e., those who work under an employment contract
- Those who entered into a contract (including an oral contract or an implied contract) to personally provide work or services as long as this is not a professional–client or business–client relationship
- Those supplied by a third party intermediary on terms determined by the intermediary and/or UEA, i.e., agency workers

This is a summary that paraphrases the wording of the legislation. Whether or not someone is a worker is not always clear. If you are not sure whether you are a worker, you should seek legal advice. Note that some students are workers under this definition.



No

Your disclosure is not, on the face of it, protected by the Public Interest Disclosure Act 1998 and the UEA policy *Public Interest Disclosure: A Procedure for Staff to Raise Concerns about Malpractice* does not apply. However, other policies and procedures within UEA, such as those covering misconduct in research, may apply.



No, but I am a student

Please refer to *Reporting Wrongdoing at UEA: Our Student Whistleblowing Policy*.

Note that if you are a student who is also working for the NHS, including as a trainee or student midwife/nurse, and your concerns relate to an aspect of your work, then you may be protected by the Public Interest Disclosure Act 1998 when you raise concerns with the NHS. Please seek advice from your school of study in accordance with the policy *Raising and Escalating Concerns Relating to Practice*, or from your regulator.



Yes, I am a worker at UEA

Your disclosure is potentially protected by the Public Interest Disclosure Act 1998 if it is made in the public interest and you are not committing an offence by raising the concern. Please refer to the UEA policy *Public Interest Disclosure: A Procedure for Staff to Raise Concerns about Malpractice*. This policy applies to all workers including student workers.

UEA Whistleblowing Flowchart Autumn 2019

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), the Doctor of Education (EdD, MEd), the Professional Doctorate (ProfD) and the Doctorate in Educational Psychology (EdPsyD). 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. Details of that concessions process are available on the Concessions, Appeals and Complaints webpages within the PGR Pages on MyUEA.

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 or deadline;
 - 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 ensuring 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.

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/Reassessment for those items of assessment classified as 'Event' (Examination, Course Test, Objective Structured Clinical Examination, Objective Structured Pharmacy Examination, Practical).

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 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 Where a student believes that the relevant circumstances are of a highly confidential nature, they may report the circumstances to the Director of Student Services. The Director shall either:
- (a) Confirm the confidential nature of the circumstances and provide the Extenuating Circumstances Panel with a statement of their severity and the date(s) of their likely impact. The substantive detail of the circumstances shall remain confidential to the Director of Student Services; OR
 - (b) Determine that the nature of the circumstances does not merit confidentiality of treatment and advise the student that they should report their ECs in the normal way.

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 an Extenuating Circumstances Report Form on one occasion in an academic year¹ 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 working days but applying to more than one item of assessment, where a student has multiple coincident submission deadlines.

¹ The dates of the academic year for each of the research programmes specified can be found in the relevant programme handbook and/or webpages.

- 5.1.3 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 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, are complex, or where rejection is recommended, shall be considered by the relevant ECP.
- 5.1.6 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. In exceptional circumstances it may be necessary to extend this deadline and the student shall be advised in writing where this is the case.
- 5.1.7 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 or Delayed Reassessment cancels the assessment that it replaces. A Further Reassessment provides an additional opportunity without cancelling the original reassessment attempt.
- 5.2.4 Where an application for a DA/R is approved, the student 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 attends an event or submits a 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 they 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 working days prior to the meeting of the Pre-Board ECP.
- 5.3.5 Dates 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:
- 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 interruption;
 - Assessment, reassessment or further reassessment;
 - 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 (Professional, Statutory and Regulatory Body) requirements (e.g. maximum length of registration), where applicable.

Taught Programmes) Policy and Regulations

1. PREAMBLE

- 1.1 The University recognises that a student may experience temporary personal difficulties outside of their control, which may have a detrimental effect on their ability to study for and/or complete an assessment¹ by the set deadline. Such situations are referred to as “extenuating circumstances” (ECs).
- 1.2 These Regulations are designed to ensure that, as far as possible, no student subject to ECs is unfairly disadvantaged whilst maintaining the academic standards of the University. The Regulations specify the University’s core principles relating to ECs (§2), a definition of “extenuating circumstances” (§§3 and 5), potential remedial outcomes for students experiencing ECs (§7) and the procedural framework within which ECs are managed by the University (§§4 and 8).
- 1.3 These Regulations apply to Undergraduate and Postgraduate Taught summative assessment. There are separate Regulations for Research Programme assessment.
- 1.4 The Regulations do not cover ongoing medical conditions/disabilities (including learning disabilities or mental health conditions) for which the student is already receiving formally approved adjustments agreed by Student Services unless there is an exacerbation of the condition/disability or an indication that the approved adjustments are no longer sufficient or have not been provided.
- 1.5 The Regulations are consistent with the precepts and expectations contained in the Quality Assurance Agency’s (QAA) *Chapter B6 – Assessment of Students and the Recognition of Prior Learning* of the UK Quality Code for Higher Education (2013) and the recommendations and guidance contained in the Academic Registrars’ Council’s (ARC) *A Reference Document on Academic Appeals and Extenuating Circumstances for University Practitioners* (2011).²

2. PRINCIPLES

- 2.1 The following principles underpin the Regulations on and management of extenuating circumstances (ECs):
 - (a) That any student who has demonstrated ECs relating to either Deadline or Event summative assessments³ should not be unfairly disadvantaged;
 - (b) That the remedies associated with ECs maintain the University’s integrity and academic standards and do not disproportionately advantage the affected student over the rest of the student body;

¹ The Regulations only apply to summative and not formative assessments. A summative assessment 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. Extension requests for formative assessments are at the discretion of the Module Organiser.

² <https://curo-arc.triadclients.com/storage/documents/OSCROrCCa9JdL2NAInQigakW0PMwpFcGZjUVJJbZ.pdf>

³ ‘Deadline’ assessments include Coursework, Written Assignments, Dissertations, and Projects. ‘Event’ assessments include Laboratory Demonstrations and other forms of practical, Objective Structured Clinical Examinations (OSCE), Objective Structured Pharmacy Examinations (OSPE), Presentations, Course Tests and Examinations.

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- (c) That the treatment of ECs across the University should be equitable and consistent, with the use of discretion only used where necessary;
- (d) That, notwithstanding (c), a degree of discretion is preserved in the management of ECs since similar circumstances may have different impacts on individual students. Discretion should be exercised in accordance with principles / considerations outlined in §3.6:
- (e) That where discretion is used, it should be applied (i) consistently as a form of established precedent and (ii) only in exceptional cases;
- (f) That it is the responsibility of the student to apply for a remedy or adjustment based on an EC (including the provision of supporting evidence) at the earliest opportunity possible and no later than the EC-reporting deadline.⁴
- (g) That students seeking to gain an advantage or benefit through the provision of false or misleading information relating to ECs are liable to action being taken against them under the University's Disciplinary Procedures;
- (h) That the recognition of ECs cannot be used to change a received mark or remove the need to complete any necessary assessment since students still need to demonstrate that they have achieved the required learning outcomes of the course /module(s);
- (i) That consideration of ECs will be treated confidentially with disclosure of details only made to the smallest number of people necessary to progress the application⁵;
- (j) That all EC processes will be expedited as quickly as possible;
- (k) That there will be an annual University-level meeting of Extenuating Circumstances Panel members, LTS Managers and other interested parties to review decisions and problematic cases, suitably anonymised, in order to facilitate consistency of decision making across the University.

3. EXTENUATING CIRCUMSTANCES

3.1 For the purposes of these Regulations, an extenuating circumstance (EC) is narrowly characterised by the negative impact of the reported event or state of affairs on the student's capacity to perform to the best of their ability with respect to an individual assessment or assessments rather than the effect on other aspects of the student's life.

3.2 To qualify as an EC each of the following conditions must be met:

- (a) The situation must have been unforeseeable, i.e. untypical of customary day-to-day experience, and/or beyond the student's control;
- (b) The situation must have been such as to be reasonably judged to have had a significant negative impact on the student's ability to undertake the assessment(s) to the best of their capabilities;
- (c) The situation should normally have occurred at a time close enough to the assessment(s) Deadline submission or Event date such that there

⁴ Deadline dates for reporting ECs are published on the University website at: <https://portal.uea.ac.uk/learning-andteaching/students/advice-on-difficulties/extenuating-circumstances>

⁵ The Student Privacy Notice explains what to expect when the University collects and uses your personal information: <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/data-protection/students>

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was insufficient time to resolve the impact of the experienced difficulties. The precise length of this time will depend upon the nature and severity of the ECs and the type of assessment but would usually be expected to be no longer than 3 weeks before the assessment Deadline submission or Event date;

- (d) The reporting of the situation must, where it can be reasonably acquired, be corroborated by independent evidence provided by appropriately qualified individuals.

For example:

Elise has recently separated from her partner and is currently staying with a friend. Due to the upset and upheaval that she is experiencing, she has struggled to focus on assessments. She has asked for a two week extension but doesn't know what type of evidence she can provide in the circumstances other than a statement from her Academic Adviser or friend who are aware of the circumstances

✓ The LTS Manager approves the request on the basis of a supporting statement from the Academic Adviser as any other form of third party evidence cannot be reasonably acquired, as this stage, in the circumstances.

3.3 The following **non-exhaustive** list of examples provides a guide as to the type of cases that are likely to satisfactorily meet each of the criteria listed in §3.2:

- (a) Bereavement – the recent death of a close relative or significant other (of a nature which, in the employment context, would permit compassionate leave). The following relatives are understood as 'close': partner, child, parent, sibling, grandparent and grandchild. At the University's discretion, more distant relatives and significant friends may also be considered 'close' upon the receipt of a personal statement / self-testimony.
- (b) A serious short-term illness, accident or mental health crisis (of a nature which, in an employment context, would have permitted a sick-leave absence);
- (c) A long-term health condition (for which adjustments may already be formally in place) worsening either temporarily or on a more enduring basis (adjustments including sympathetic consideration of extensions must be supported by additional evidence if an extension for more than 5 working days is requested);
- (d) A long-term health condition where reasonable adjustments have been applied for but are not yet in place and where the responsibility for the delay lies with the University;
- (e) Being a recent victim of a serious crime;
- (f) Situations of the type where a student might be granted a Head of School's authorised leave of absence (cf. General Regulation 13.2) and where the date cannot be changed. These may include:
 - (i) involvement in legal processes (e.g. jury service, court summons);
 - (ii) health appointments (not covered by (b) or (c) above);
 - (iii) an interview for a graduate-level job or further academic studies.

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These circumstances should be assessed with caution since they must be of such a nature as to significantly detract from the student's ability to fulfil the assessment to the best of their ability. It should be noted that applications for authorised leave of absence are not automatically granted;

- (g) Representative participation in a national or international cultural or sports event;
- (h) Exceptional and unforeseeable transport difficulties, e.g. major transport incidents, cancelled flights or other forms of long-distance public transport without adequate notice, dangerous weather conditions where official advice was not to travel;
- (i) Significant adverse personal/family circumstances for which there is evidence of undue stress caused or the need to assume extra responsibilities.
- (j) Moving house (e.g. where timing of move/completion of house sale is changeable or unknown) or eviction;
- (k) Technical problems attributable wholly to a failure of UEA systems at the point of submission of coursework or during an event assessment
- (l) Delays affecting placements, apprenticeships or assessments, which are outside of the student's control, providing evidence is received by the relevant member of academic staff or employer as appropriate, e.g.
 - i. Delays in approval of Assessment of Practice (AOP) (i.e. placement mentor / work-place tutor unavailability)
 - ii. Delays in collection of data or availability of equipment
- (m) Commitments related to paid employment or other non-course related activities for part-time students whose primary commitment is not limited to studies, e.g. employment related activities, which are unavoidable or cannot be rescheduled will be considered if third party evidence is provided by the employer/work-based supervisor confirming that the work related activity is impacting on the student's studies. A supporting statement from the Course Director (CD) will be accepted on the basis that the CD can verify the work-related circumstance and is in contact with the employer/work-place supervisor about the students' progress. Examples include:
 - (i) inability to accrue required work-place hours that contribute to assessment (for professional courses);
 - (ii) unplanned change in work requirements (e.g. shift changes for professional courses);
 - (iii) additional workload e.g. requirement to attend a business trip or undertake a significant workplace course or project

For example:

Joe is employed full-time as a business consultant and is studying on part-time basis. His boss has asked that he takes on an additional project which was formerly looked after by a colleague who has recently left the company. The timeframe for completion of the project is short and will generate a significant additional workload for him which means he will have less time to complete his assessment due to be submitted in 2 weeks' time. His boss writes a letter to support a request for an extension. The Course Director is also aware and provides an email in support of the request.

✓ The LTS Manager approves the request on the basis that the student has evidenced additional commitments related to paid employment which are unavoidable, cannot be rescheduled and which are impacting on the student's time to study.

For example:

April is employed full-time as a pharmacist and is studying on part-time basis. A requirement of her course is to accrue and record evidence of 90 hours of clinical practice for her Portfolio submission. Both she and her workplace supervisor have had other commitments in the workplace, and she is subsequently struggling to accrue the required hours and the deadline for submission is now not far away. She applies for an extension. The Course Director confirms that they have been in touch with the student and workplace supervisor and that a plan is in place to complete work and it is appropriate for the student to have more time.

✓ The ECP approves the request on the basis that the student has been unable to accrue the required hours to demonstrate learning in practice and the Course Director is aware of the circumstances affecting the student and is in touch with the student and workplace supervisor to monitor progress.

3.4 The following **non-exhaustive** list of examples illustrates instances of the type of circumstance that are unlikely to meet each of the criteria in §3.2:

- (a) A long term health condition for which the student is already formally receiving reasonable and appropriate adjustments;
- (b) Claim of any event or state of affairs having a negative impact on the student which could reasonably be viewed as foreseeable and preventable;
- (c) Claim of an event or state of affairs having a negative impact on the student:
 - (i) without corroborating evidence from an appropriate professional source, e.g. doctor or other health professional, Student Services, police, legal communication, etc., where such evidence may be reasonably assumed to be available. (Supportive letters from family and friends will not typically constitute acceptable evidence where those above might be reasonably assumed to be available);
AND/OR
 - (ii) only supported by unsubstantiated evidence, e.g. a doctor's note which states that the student was seen after the illness occurred, that the student had only self-reported the illness and where they might have reasonably be expected to seek help at that time; (excludes circumstances whereby the nature of them precludes disclosure/ help seeking at the time but for which support is now being sought)
AND/OR
 - (iii) the evidence provided does not make reference to the circumstances or time when the student reports to have been affected by the declared ECs
- (d) Claim of an event or state of affairs, the impact of which occurred more than three weeks previous to the relevant assessment event or

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- submission deadline unless it can be reasonably argued that this longer period was insufficient time to resolve the impact of the experienced difficulties;
- (e) A minor illness or ailment which in a work situation would be unlikely to lead to absence from work;
 - (f) Pregnancy except:
 - (i) where there are complications relating to the pregnancy which medical evidence can substantiate; and
 - (ii) for a period of two weeks immediately following the delivery in accordance with Statutory Maternity rules at: <https://www.gov.uk/maternity-pay-leave/leave>;
 - (g) Levels of coursework and/or examination stress typically experienced;
 - (h) Lack of knowledge of University Academic Regulations including claims that the student was unaware of (or misread) the dates or times of Deadline submission or Event sittings;
 - (i) Financial issues, other than exceptional hardship or where significant impact is demonstrated;
 - (j) Where a student is studying full-time, commitments related to paid employment and non-course related internships or activities;

For example:

Jan is an international student studying a full-time Masters and is working on his final assessment – the Dissertation write-up. He has an opportunity to go into full-time employment before his course end date. The job enables him to use the skills and knowledge he has acquired during his studies and he does not want to pass on the opportunity, but he won't have time to both work full-time and complete the Dissertation write-up by the deadline. He requests an extension.

× The ECP reject the request on the basis that (a) the student is studying on a full-time basis until the final assessment has been submitted or the course end date has passed, (b) as a Tier 4 visa holder, the student is restricted to 20 hours employment per week until the official end date of the course.

- (k) Planned appointments including health and legal appointments which can be readily rescheduled;
- (l) Planned appointments with Student Services or equivalent external services that can be readily rescheduled;
- (m) Observance of a religious festival (including pilgrimage) or holy day. With regards to Deadline submissions dates are typically set early enough for the student to be able to work around religious observance. If the observance conflicts with an Event assessment, the University will take all reasonable measures to accommodate the student but where this is not possible, the student will be expected to attend at the set time and will not be permitted a Delayed Assessment;
- (n) Holidays and/or other social occasions and commitments (including weddings and baptisms) unless these have been arranged prior to commencement to the programme and/or a prior agreement is in place with the Course/ School of study;
- (o) Instances of common every-day travel problems, such as traffic congestion which may be reasonably anticipated;

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- (p) Inadequate academic practice (unless accounted for by ECs) such as poor time management and planning, especially in relation to bunched deadlines;
- (q) The language of assessment was not the student's main language.

3.5 The following non-exhaustive list of examples illustrates instances of the type of circumstance where human error or unanticipated, isolated events may occur and where discretion can be exercised in accordance with principles / considerations outlined in 4 below:

- (a) Unanticipated personal computer/printer/internet problems immediately prior to a deadline;
- (b) failure to backup electronic documents leading to an isolated incident of delayed submission;
- (c) late submission of work due to an incident of unplanned human error/oversight;
- (d) an incidence of accidental submission of an incorrect document, e.g. an assignment for another module, an incomplete earlier draft of the assignment, a corrupt document, or a paper submission to the incorrect drop-box; (typically the student would be able to spontaneously rectify by production of a correct version)
- (e) failure to submit / upload a document, including uploading a document in the incorrect format where the student believed they had done so; (typically the student would be able to spontaneously rectify by production of a correct version)

4. CONSIDERATION OF CASES AND USE OF DISCRETION

In all EC requests, an expectation of integrity, consideration of likelihood, and acknowledgement that human error can occur, should be applied when considering an appropriate outcome. LTS Managers and ECPs should therefore take into consideration the following factors and considerations when reaching an outcome:

- (a) **Experience** of the student and their history of submission and use of ECs - is the situation atypical, or novel for the student? For example, where a situation is unfamiliar we might accept human error, however where a student has been in a similar situation previously we may reasonably expect them to avoid a repeat of such accidental/ avoidable errors.
- (b) **Foreseeability** of the incident/ difficulty - is the situation unanticipated/ and/or could the student have prevented or expected it? Foreseeability does not automatically mean that it is within the student's control and vice versa. For example, losing an assessment file with no back up is not foreseeable (I didn't know it was going to happen) but it may be argued might have been anticipated and the impact mitigated by having a backup, whereas the death of a terminally ill family member can be foreseen, but is outside of the student's control, and has an impact which cannot be mitigated for.
- (c) **Expectations/ reasonableness of requiring evidence** - is it likely that the student can readily obtain evidence to corroborate their request? Where the circumstances of the student preclude help-seeking behaviours and/or evidence is difficult to obtain then consideration and flexibility should be shown. Self-testimony / family accounts can be accepted as evidence in

such cases. Where it is reasonable though, students should be expected to evidence their case.

- (d) **Proportionality of impact** - if the request is rejected, would the outcome be unreasonably disproportionate to the offence? An ECP decision can have a variety of impacts upon the student depending on the particulars of the case. In some instances the effects on overall marks may be insignificant, for example, if the item is just one of a number of assessments in a non-counting year as opposed to where there is just a single piece of summative work in a final year semester and the impact significant. In some instances, a module fail may be compensated for and in others no compensation is available. In other words, the same decision can have different effects and, in some instances, it is not unreasonable to conclude that the outcome might be disproportionate to the "offence". Where this is the case discretion may be necessary in formulating a recommendation to the Board.

For example:

Lee has spent the morning undertaking a final check of his assessment before submitting it by the 3pm deadline. He is at home and is ready to begin the upload of his assessment at 2.30pm. The upload is not working so he re-sets his Wi-Fi router – it seems that his internet, which is normally fine, is not working as it normally does and there appears to be intermittent signal issues. He continues trying to upload the work, to no avail. As the deadline approaches, he decides it is best to email his work to his module organiser as the next best alternative.

- ✓ LTS agrees to accept the submission without penalty on the basis that (a) the student submitted the work on time albeit via the incorrect method of submission, (b) this is the first time that the student has submitted work via the incorrect method of submission, and (c) it is unreasonable to expect the student to have foreseen internet issues and to reject the request would be disproportionate to the "offence". If the student has reported similar internet issues previously then the request would unlikely have been approved on the basis that the student is aware that his internet connection is temperamental

For example:

Liz is a second year undergraduate student and has submitted her latest assessment 5 minutes after the deadline. Liz has asked for the late penalty submission to be removed on the basis that her internet speed in University residences was slow and prevented the assessment uploading on time.

- × The ECP rejects the request on the basis that (a) the student's submission history shows that she had a similar request approved when she first began her studies and her submission history shows that she has subsequently had late submission penalties applied to multiple assessments, and (b) there is no record of University systems being slow on the date of submission. It seems that this is a case of poor academic practice for which the late submission penalty should stand and the student reminded of Learning and Teaching Enhancement support at Student Services.

For example:

Sarah is contacted by the Hub and advised that she submitted her hard copy submission to the drop box for another NBS assessment where the deadline was a day later than her

assessment. Sarah is upset that she made a mistake and is likely to receive a 10 mark penalty as the Hub has no record that she submitted her work by the correct deadline albeit to the incorrect drop box.

- ✓ *Even though it is not possible to ascertain if the student submitted on time, the ECP agrees to accept the submission of the correct assessment without penalty on the basis that this is the first time that the student maintains that she submitted on time and that it is the only occasion on which she has submitted work incorrectly.*

5. EXTENUATING CIRCUMSTANCES REQUESTS AND SUPPORTING EVIDENCE

- 5.1 Students should report any extenuating circumstances (ECs) by submitting an Extenuating Circumstances Request (ECR). The request should include an indication of what consideration or adjustment the student is seeking (e.g. an extension to a Deadline submission date or a Delayed Assessment opportunity). If the ECR is not complete, the request will not be considered.
- 5.2 An ECR must be supported, wherever reasonably possible, by appropriate documentary evidence (aside from the specific case of self-certification; see §6). This evidence must be relevant to the event or state of affairs claimed and to the appropriate time period. It is important that the evidence should, where reasonably possible, speak to the negative impact on the student's ability to work to the best of their capabilities and not just record that a certain set of circumstances occurred.
- 5.3 The evidence supporting the ECR ought to, wherever reasonably possible, be provided by independent, professional third party sources; self-reporting or statements provided by family, friends and Academic Advisers are likely to count as "evidence" in limited situations as indicated above.
- 5.4 Due to professional and legal requirements relating to the protection of patient confidentiality, evidence from the University Talking Therapist Service (or similar services) may simply report that a student is either currently in or about to start a talking therapy without supplying details of the nature of the student's condition (although there is an expectation that relevant dates (including referral) will be reported to ensure that they correlate with the claimed ECs). This should be taken as appropriate supporting evidence of the student's claims.
- 5.5 Where a student believes that the relevant circumstances are of a highly confidential nature, they may report the circumstances to the Director of Student Services. The Director shall either:
- (a) Confirm the confidential nature of the circumstances and provide the Extenuating Circumstances Panel with a statement of their severity and the date(s) of their likely impact. The substantive detail of the circumstances shall remain confidential to the Director of Student Services; OR
 - (b) Determine that the nature of the circumstances does not merit confidentiality of treatment and advise the student that they should report their ECs in the normal way.
- 5.6 In those exceptional cases where supporting evidence cannot be realistically provided, that which is supplied should be detailed enough that relevant University

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role holders (e.g. Extenuating Circumstances Panels, and LTS Managers) are able to reasonably infer the ECs' likely detrimental effects.

- 5.7 The type and amount of supporting evidence should, wherever possible, be proportionate and appropriate to the nature of the adjustment being requested by the student, i.e. the greater the adjustment, the more comprehensive the evidence required.
- 5.8 MB BS (MED) students who are declaring that they are 'not fit to sit' are not required to submit supporting evidence.
- 5.9 Any submitted evidence written in a language other than English must be provided with a certified translation.
- 5.10 Evidence from a third party must be signed and dated, preferably on headed paper or, alternatively an email from the third party sent from their professional email account (if evidence is being sent in a professional capacity).
- 5.11 It is expected that the student will provide all relevant evidence at the time of their EC application or within 10 working days of its submission. Where there is good reason that the evidence cannot be supplied within 10 working days, the relevant LTS Manager or Chair of the Extenuating Circumstances Panel may grant further time. Since consideration of the ECR cannot take place until all documentation is supplied, care should be taken when granting such extensions in the light of §7.4.
- 5.12 The types of evidence which are likely to be supportive for various types of EC are outlined within Appendix 1
- 5.13 In the case of rejection of an ECR, the student should be advised that they may challenge the decision through the University's Appeals and Complaints Procedure although normally not on the basis of the originally submitted ECR and supporting documentation. If the ECR was rejected due to non-receipt or lack of third party evidence, the student can submit a new ECR for consideration if additional evidence is subsequently attained.

For example:

Ben has been feeling low for a while now. He had no motivation to go out with friends over the Christmas break or engage in his normal routine. He feels anxious about what might be wrong and doesn't know why he feels this way. He has missed lectures and two assessment deadlines from last semester and is now really worried about the impact on his studies. He finds the courage to speak to Student Services who provide assurances that they can support him and help him to get back on track with his studies. He is encouraged to make an appointment to see his GP who provides a doctor's note which explains that this is the first time that he has sought medical advice and advocates support for retrospective extensions for the assessments due 2 months ago. Ben is concerned that his request may not be approved as he didn't seek support at the time that the assessments were due.

✓ The ECP approves the request on the basis of (a) self-testimony from the student as it is acknowledged that mental health circumstances described can preclude help-seeking behaviour or disclosure, and (b) a GP note. Although the GP note confirms it is a new appointment, and doesn't confirm the nature and duration of any impact on the student, it does support the requested extensions for the retrospective disclosure of a mental health conditions.

6. SELF-CERTIFICATION OF EXTENUATING CIRCUMSTANCES

- 6.1 In a limited set of conditions a student may self-declare extenuating circumstances (ECs) without the need to submit supporting evidence. These “self-certification” requests (SCRs) will be automatically approved on receipt of an Extenuating Circumstances Request (ECR).
- 6.2 The purpose of an SCR is to cover unforeseen, very short-term problems which impact on a student’s ability to submit their coursework by the deadline but where obtaining third party evidence is either unreasonable or impractical. SCRs are intended to cover minor illnesses (e.g. the common cold), urgent family emergencies and other personal circumstances which only impact for up to 3 days.
- 6.3 SCRs can only be used with respect to Deadline assessments (e.g. Coursework, Written Assignment, Dissertation, Project); SCRs do not apply to Event assessments (e.g. Laboratory Demonstration, Objective Structured Clinical Examination (OSCE), Objective Structured Pharmacy Examination (OSPE), Presentation, Course Test and Examination).
- 6.4 The following conditions relate to the use of SCRs:
- (a) SCRs may be applied for between 5 working days in advance of and up to the submission deadline. Any application after the submission deadline will be treated as a standard ECR application.
 - (b) Although there is no requirement to submit supporting evidence with an SCR, the request must indicate the ECs which have led to the request. The range of acceptable circumstances is the same as those outlined in §3 of these Regulations.
 - (c) SCRs result in a 3 working day extension; for example, a submission deadline set for 3pm Monday will be extended to 3pm Thursday, whilst one set for 3pm Wednesday will be extended to 3pm Monday. The submission time is no later than 3pm on the day of the new deadline.
 - (d) A student is permitted up to two SCRs for each year of their course including (Deadline) reassessments.
 - (e) SCRs may not be consecutively combined resulting in a 6 working day extension. If an extension beyond 3 days is necessary, an additional request must be submitted as a standard ECR along with supporting evidence.
 - (f) SCRs cover all module coursework due within the 3 day extension period. An extension of 3 working days will be approved automatically to the assessment with the earliest deadline date and other assessments due within the 3 day extension period will also have the new deadline applied.

For example:

James has three assessments due next week and is feeling under the weather with a head cold. He decides to use his self cert:

<u>Deadlines before self-cert</u>	<u>Assessment</u>
Monday 15th February	ENV-7029B (001)
Tuesday 16th February	ENV-7033B (001)
Wednesday 17th February	BIO-7029Y (002)
<u>Deadlines after self-certs</u>	<u>Assessment</u>
Thursday 18h February	ENV-7029B (001)
	ENV-7033B (001)
	BIO-7029Y (002)

- (g) Where the assessment is a group submission requiring a contribution from all group members, the SCR/ECR will be granted to all members of the group. Only the group member who actively requests the extension, however, will be deemed to have used one instance of their self-certification allocation.

7. MITIGATING ADJUSTMENTS FOR EXTENUATING CIRCUMSTANCES

- 7.1 When submitting an Extenuating Circumstances Request (ECR), the student is required to state what adjustments are being requested to mitigate the effects of the extenuating circumstances (ECs).
- 7.2 The permitted mitigating adjustments allowed are:
 - (a) An Extension to the submission date (including Reassessment) for those items of assessment classified as 'Deadline' (i.e. Coursework, Written Assignment, Dissertation, Project);
 - (b) A Delayed Assessment (including Reassessment) opportunity for those items of assessment classified as 'Event' (i.e. Examination, Course Test, Objective Structured Clinical Examination, Objective Structured Pharmacy Examination, Practical, Presentation). This option does not apply to self-certification requests (§6.3);
 - (c) Request for special consideration by the Board of Examiners regarding decisions relating to progression and/or final classification;
 - (d) A repeat of a period of study or an interruption to studies.
- 7.3 When an Extension is granted, the submission time is no later than 3pm on the day of the new deadline.
- 7.4 When an Extension request takes the new submission date beyond the return of the marked assessment to the rest of the module cohort, students will continue working on the same first assessment task. Where a course team or School identify that this is not appropriate to the discipline or assessment item, then they should
 - (a) state so in the assessment brief before the module begins;
 - (b) notify affected students that a differentiated task will be set;
 - (c) notify their respective LTS Hub manager in order that necessary operational provision can be made.
- 7.5 A Delayed Assessment (including Reassessment) may be considered for those event assessments where:
 - (a) the student reports, prior to the Event, that they are not fit to undertake, or are prevented from undertaking, the assessment;
 - (b) the student failed to attend the original Event;
 - (c) the student attended the Event but believes that they did not have a fair attempt due to the effects of their ECs;
 - (d) the delivery of the module hampered the ability of students to be assessed fairly.
- 7.6 Where the request for a Delayed Assessment (including Reassessment) rests on medical circumstances, the student must seek medical evidence in advance or on the day of the assessment, unless they are reasonably prevented from doing so.

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- 7.7 A Delayed Assessment cancels the assessment that it replaces and the mark, if any, originally awarded. The recorded mark shall be the mark received for the Delayed Assessment and not the better of the 2 marks achieved. The mark for the Delayed Assessment/reassessment will be used to calculate progression and final classification.
- 7.8 In the case where a Delayed Assessment/reassessment is approved at a student's request, but the initial assessment has been attempted and passed, it will be assumed that the delayed attempt is no longer required and that the student will keep the mark unless they request otherwise. If a new attempt is requested then 6.7 applies.
- 7.9 Where a student had not requested a delayed assessment/reassessment but this is recommended by an ECP, a student may choose whether or not to attempt the delayed assessment/reassessment. If they elect not to take the delayed assessment/reassessment the original mark obtained will stand.
- 7.10 Once a Delayed Assessment has been taken, the student cannot void the attempt and request to record the original mark.
- 7.11 An approved Delayed Assessment (including Reassessment) will normally take place during the next assessment period.

8. APPROVAL OF EXTENUATING CIRCUMSTANCES REQUESTS AND EXTENUATING CIRCUMSTANCE PANELS

- 8.1 The decision to approve an Extenuating Circumstances Request (ECR), where required, will be determined by either the relevant LTS Manager or the School's Extenuating Circumstances Panel. Approval depends upon:
- (a) the ECR meeting the extenuating circumstances criteria outlined in §3.2 (and consistent with the types of example in §3.3);
 - (b) the requested mitigating adjustment being permitted under §7.2; and
 - (c) the requested mitigating adjustment being reasonable.
- 8.2 Self-Certification Requests will be automatically approved as detailed in §6.
- 8.3 Where an ECR clearly meets the criteria in §3.2 (and is consistent with the examples in §3.3) and the mitigating adjustment is permitted by §7.2 and is reasonable (i.e. a request where no discretion in the decision making is required), the relevant LTS Manager may approve the ECR.
- 8.4 In the case that:
- (a) the ECR does not clearly meet the criteria in §3.2; OR
 - (b) the submitted evidence, if any, does not clearly support the application; OR
 - (c) the requested mitigating adjustment appears unreasonable (i.e. a request for an extension for an assessment more than an month in the future, or where the extension requested seems excessive) ; OR
 - (d) the request is complex or borderline for approval;

approval will be determined by the School's Extenuating Circumstances Panel.

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- 8.5 In the case that:
- (a) the ECR relates to human error as outlined in 3.5; OR
 - (b) the ECR relates to technical problems related to a failure of UEA systems as outlined in 3.3 (j); OR
 - (c) the ECR has been submitted after the agreed deadline; OR
 - (d) the ECR has been provisionally approved by the ECP subject to receipt of a specified type of evidence; OR
 - (e) the requested type of evidence is not received; OR
 - (f) the evidence is not received by the agreed deadline;
- an outcome for the student will normally be determined by the LTS Manager.
- 8.6 Each School of Study shall have an Extenuating Circumstances Panel (ECP) appointed by the Head of School which will consist of a pool of no fewer than 4 academic members to draw upon (one of whom will act as Chair).
- 8.7 The Chair of the ECP shall be a member of a/the Board of Examiners within the School of Study.
- 8.8 Chairs of Boards of Examiners are not permitted to act as ECP Chairs but may be members of the ECP.
- 8.9 A minimum of 2 members of the ECP pool are required to engage in the consideration of cases, with the exception of the Pre-Board ECP meeting (cf. §§ 8.10-8.18) where at least 3 members must be in attendance.
- 8.10 The consideration of ECRs by an ECP need not involve a physical meeting of members if alternative methods of discussion and mutual deliberation are available.
- 8.11 LTS Managers and ECPs shall normally reach their decision and the student will be advised of the outcome within 3 working days of the ECR and evidence being received by the LTS Hub. In some instances it may be necessary to extend this deadline.
- 8.12 Before any meeting of the Board of Examiners where decisions about progression or classification are taken, there shall be a Pre-Board ECP meeting.
- 8.13 The Pre-Board ECP shall receive all ECRs and associated adjustments along with the record of all student marks to be considered by the Board of Examiners.
- 8.14 Where ECRs have already been considered and Extension and Delayed Assessment adjustments have been made, the ECP shall consider whether any additional adjustments may be appropriate.
- 8.15 Students may submit ECRs for ECs not previously reported no later than 10 working days prior to the meeting of the Pre-Board ECP. The only mitigating adjustment associated with late ECRs of this sort will be a request for special consideration by the Board of Examiners regarding decisions relating to progression and/or final classification (§7.2(c)). ECRs reported later than 10 working days prior to the meeting of the Pre-Board ECP will be regarded as a late submission, therefore the ECR will be subject to the conditions in §6.3.
- 8.16 The date of [Pre-Board ECP meetings](#) will be publicised to students.

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- 8.17 The Pre-Board ECP shall determine the severity of impact of each student's ECs and make a recommendation to the Board of Examiners on how the impact of the ECs should be accommodated where appropriate. Recommendations may include:
- (a) Award of a higher degree classification;
 - (b) Where progression requirements have not been met, recommend to retake the year or a part of the year, with or without an interruption in a period of study or assessment, Reassessment or further Reassessment;
 - (c) For students in Stages 0, 1 or 2, provisional progression pending the successful outcome of the Delayed Assessment or Reassessment. This adjustment is available only where a student has failed a single module and has approval for a further attempt in the failed item(s). Assessment must be completed by the deadline set annually by LTS;
 - (d) That the student be transferred to an alternative course.
 - (e) A further attempt (delayed assessment or reassessment) for an assessment classified as deadline or event.
- 8.18 The Board of Examiners will normally follow the recommendations of the Pre-Board ECP. If not, the minutes should record the justification for the rejection noting that any alternative arrangement shall only be approved by the Board if it is in the student's best interests. The record should preserve the confidentiality of the case (cf. §2.1(i)).
- 8.19 When making decisions regarding appropriate adjustments, the Board of Examiners shall demonstrate (and have recorded) that it has fully considered the recommendations of the Pre-Board ECP.
- 8.20 Any adjustments must comply with any applicable Professional, Statutory and Regulatory Bodies' (PSRBs) requirements (e.g. maximum length of registration).

END OF DOCUMENT

APPENDIX 1

Extenuating Circumstance	Examples of the types of evidence that are likely to support an EC request - not exhaustive
Bereavement	Supporting statement from family member/Academic Adviser; An obituary; order of service; death certificate; legal or medical letters; letter from undertaker may be provided if readily available The EC application must also state the student's relationship to the deceased. It is unlikely that further professional evidence detailing the effects on the student will be required.
A serious short-term illness or accident	Letter from a health professional such as a GP or psychiatrist confirming the diagnosis and stating an opinion as to the nature and duration of any impact on the student; medical certificate; prescription; hospital admissions record; photographs of injuries (ideally identifying the student with the photograph). Since evidence such as a photograph, prescription or admissions record, does not necessarily specify the negative affect on the student's ability to complete their assessment(s), where possible and relevant, evidence from a suitable health professional detailing these effects should also be submitted. Photographic evidence must clearly show that the circumstance relates to the student and be accompanied by additional evidence. A copy of medical history / notes and/or any evidence that only records the student's self-reporting of the health problems will normally be deemed insufficient for requests not covered by self-certification.
Unforeseen recent illness of dependents or close family members	Supporting statement from family member/Academic Adviser; Medical certificate or GP's letter relating to the dependent/family member confirming the recent sudden or severe nature of the illness. The impact on the student will be inferred/accepted for requests for short-term requests of up to a month. If longer adjustments are requested then then independent professional third party evidence should be submitted which confirms the impact on the student.
A long-term physical or mental health condition worsening or a mental health crisis	Medical certificate, GP's letter, statement from a registered mental health practitioner or a member of the Student Service Wellbeing team reporting the specific deterioration or sudden change and the time period it applies to. The evidence should refer to how the change in conditions has impacted on the student. This may be provided in advance of a student's examinations and could apply to all of them in any examination period. A copy of medical history / notes and/or evidence simply confirming the long-term condition without mentioning the recent deterioration will be normally deemed insufficient. Self-testimony for retrospective disclosures of mental health conditions will be accepted for short-term requests of up to one month on the basis that these conditions can preclude help-seeking behaviour or disclosure. If longer adjustments are requested then independent professional third party evidence (as listed above) should be submitted which confirm that support is being sought. Due to the late disclosure of the condition, 'retrospective' third party evidence or evidence confirming that 'student tells me' should be accepted in the first instance

Long-term health condition where reasonable adjustments are not yet in place	Letter or e-mail from the University's Student Services confirming that the delay in support was beyond the student's control.
Victim of a serious crime	Supporting statement from family member/Academic Adviser/ Student Services/ Life advisors; Police crime number, legal letters, crime report from the police or other investigating authority; an insurance claim. Since such evidence does not refer to the impact of the event on the student, further evidence may also be required for ECs claimed to have affected the student <i>for more than a month</i> . Claims relating to injuries or trauma suffered as a result of a motor traffic accident would normally be considered as a medical circumstance and require suitable medical evidence as outlined above.
Legal proceedings requiring court attendance	Letter from a solicitor/legal officer or official court communication.
Representative participation in a national or international cultural or sports event	Formal notification from the relevant official body or bodies involved. Although independent professional third party evidence outlining the impact on the student's preparation and completion of the assessment may be supplied, it is likely that impact on the student may be reasonably inferred.
Exceptional and unforeseeable transport difficulties	Evidence of a major transportation incident from a relevant and appropriate source (including media reports). Evidence will also need to demonstrate that the student was both affected and that there was no reasonable means of foreseeing or overcoming the difficulties.
Significant adverse recent personal/family circumstances	Independent professional third party evidence describing the circumstances, the time period affected and the impact on the student. Where this is not possible, sufficient detail should be submitted so that the likely effects can be reasonably inferred. Student Life advisors may be able to provide helpful evidence relating to non-medical aspects of a student's life, which may be impacting their ability to study such as issues with accommodation, police matters.
Reasonable adjustments requesting that extensions are considered sympathetically	Reasonable adjustments requesting that extensions are considered sympathetically must be supported by additional evidence from Student Support Services if an extension for more than 5 working days is requested.
Failure attributable to a UEA system including eVision or third party provider such as Blackboard and Turnitin, at the point of submission of coursework or during an event assessment such as an examination or course test	Screen shot of the submission in progress, a screen shot of a formal messages published on the University's IT Services website advising of a systems failure or an email from the IT Service Desk responding to the problems encountered. LTS staff are likely to be aware of known IT issues

APPENDIX 2 - FURTHER GUIDANCE - ILLUSTRATIVE CASE EXAMPLES

Rachel has just begun her postgraduate degree after a number of years away from Higher Education. She was pleased to have successfully used Blackboard to submit her first assessment but is later informed by the Hub that she has submitted it incorrectly to the submission point in Blackboard. By the time this is discovered, even if she submitted the intended assessment, penalisation for late submission would result in a zero mark.

- ✓ The student is unable to provide evidence that the work was last modified before the original deadline date but the LTS Manager agrees to accept the late submission of the correct assessment without penalty on the basis that (a) the student was able to submit the correct work as soon as she was aware of the mistake, (b) the student is new to UEA and this is the first submission using Blackboard, and (c) the student would receive a zero mark for her first assessment, which contributes 70% weighting to the module average and to the overall award mark. It is most likely that the student made a mistake and to reject the request would be disproportionate to the "offence".

Ben is a second year undergraduate student and is used to submitting assessments via Blackboard, however he has been informed by the Hub that he has submitted his most recent assessment to the 'Formative' submission point for the module instead of the 'summative submission point'. Ben is concerned to now receive a penalty for late submission even though he submitted on time and doesn't think the Blackboard submission points were very clear.

- ✓ Even though the student is in his second year of study and is an experienced user of Blackboard for submission of assessments, the ECP agrees to accept the submission without penalty on the basis that (a) the student submitted the correct assessment on time albeit to the incorrect submission point but for the correct module (b) there are a number of Blackboard submission points for the module and these could be labelled more clearly (c) the student has submitted all previous assessments on time and to the correct place, except for one for which he has received a late penalty deduction but for which he has not submitted an EC in relation to. The student made a mistake and to reject the request would be disproportionate to the "offence".

Angela is a final year undergraduate student and has submitted her dissertation online and before the deadline but realises shortly after submission that the document submitted has been corrupted. It seems that the document became corrupted when exported to PDF format. Angela seeks help from IT Service Desk to resolve the problem and requests to upload the non-corrupted version the next day.

- ✓ LTS agrees to accept the submission without penalty on the basis that (a) the student submitted the correct assessment on time although the version uploaded was corrupted (b) it would be unreasonable to expect the student to foresee or plan for the possibility of corruption when converting the file to PDF and (c) the assessment is a key element of the course with a credit weighting of 60 so any penalty applied would have a significant impact for the overall module and I award mark. To reject the request would be disproportionate to the "offence".

Inclusive Education Policy

Inclusive practice is at the heart of effective education. The aim is to maximise the opportunity for success for all students. The UEA Inclusive Education Policy has 4 interrelated elements:

1. Inclusive Curriculum – the content of what is taught and learning materials
2. Inclusive Assessment – the way student attainment is measured and qualified
3. Inclusive Pedagogy – the way the content of the curriculum is taught
4. Inclusive Environment – the non-classroom experience

The policy was approved by Learning and Teaching Committee in Academic Year 2018/19 and will be reviewed earlier than usual in Academic Year 2021/22.

The policy has a related implementation plan.

Part 1: Inclusive Curriculum

An inclusive curriculum in an inclusive environment

In this context, we are using the word ‘curriculum’ to describe the content of UEA courses, in essence what the students are taught. However it is recognised in using this definition that it is not always easy to differentiate between the content of the curriculum and the way it is being delivered.

All teaching staff also have the responsibility to treat their colleagues and students with respect and create a safe and inclusive learning and teaching environment for all. In line with our duties under the Equality Act 2010 and our institutional policies, the University proactively works to provide an environment where all can flourish in work and study and achieve their full potential free from prejudiced attitudes and unlawful discrimination. All staff, including academics, must undertake mandatory equality training once every two years and are strongly recommended to attend more detailed training sessions on a range of equality-related topics. These can be found in the CSED Training Programme.

A statement of principle – an inclusive curriculum at UEA

All taught programmes at UEA will have a curriculum which is appropriately diverse. Wherever possible, content, examples, case studies and supporting materials should reflect diversity and challenge stereotypes.

Implementation

The curriculum of UEA degrees has varied drivers. Some degrees are based on the needs of the subject benchmark statements¹, others are defined by Public and

¹ <http://www.qaa.ac.uk/quality-code/subject-benchmark-statements>

Statutory Regulatory Bodies (PSRBs). The content of many of the degrees has developed over time and is of course constantly changing to reflect new knowledge and the changing world we live in.

Within the constraints of the subject benchmarks and PSRB requirements, the content of the curriculum should be developed by the academic community in schools of study between staff and students and with the advice of subject experts such as external examiners and industry professionals where appropriate. The following prompts, adapted from Morgan and Houghton² might be useful in facilitating dialogue about the curriculum:

When thinking about the curriculum content:

- Do the sources used in the module draw from a wide range of perspectives? (E.g. does it take in relevant contributions from a perspective which is wider than White, able-bodied, Western/European, heteronormative? Do they address the issue of decolonising)
- Do examples used refer to a diverse range of people?
- Do examples help raise awareness of equality, challenge established stereotypes and promote respect of individual difference?

It is recommended that the following steps are taken to promote a discussion of the nature of the curriculum within the academic community:

- At least once a year, the Staff Student Liaison Committee in each school should discuss the questions above and specifically consider the issue of content of the curriculum and decolonising the curriculum.
- At least once a year, the Teaching Committee (or subgroup of teaching committee convened with the appropriate expertise) in each school should discuss the matter
- All staff and students are aware of action to take (see below) if they are concerned that the curriculum does not meet with the statement of principle outlined above.

Consideration of the membership of these committees should take place prior to discussion and if there is a lack of diversity within the group (e.g. no disabled person, no person from a Black or minority ethnic background, no person from a WP background), then representation should be invited in for that specific discussion.

Learning Resources

A diverse and inclusive curriculum should be supported by diverse and inclusive learning resources. It is important that these are regularly reviewed and consideration given to how they represent diversity. It may be that some subjects have previously been taught in ways which do not represent diversity, but this should be actively

² Morgan, H and Houghton, A (2011) Inclusive curriculum design in higher education Considerations for effective practice across and within subject areas. York: The Higher Education Academy

challenged and each course should consider how stereotypes can be challenged in the choice of learning resources.

Raising an issue about the inclusive curriculum

If a student has concerns that the curriculum is insufficiently diverse, they should as a first step raise their concerns with the module organiser or course director. If the issue cannot be resolved by this route then the student may raise the issue with the Head of School or their delegate on this matter.

It is important to differentiate between the content of the curriculum and the way it is being taught. If a staff member or student believes that someone is behaving in a discriminatory way towards them, a colleague or a student they can raise the issue via the HR Manager for the area (for staff issues) or with the Head of School (for student or staff to student issues). In either instance an informal discussion may be helpful before deciding whether to raise the issue as part of a formal process.

Part 2: Inclusive Education Policy (Assessment)

Inclusive assessment as part of inclusive education

Assessment is an integral and important part of the teaching and learning experience of students in Higher Education. Transforming assessment policy and practice can lead to improved potential for student learning and increased student satisfaction, as well as promoting consideration of the ways in which assessment can enhance inclusivity.³

It is important that the principles of inclusive practice are considered in the design and implementation of assessment and feedback on all courses. Teaching teams should consider the assessment design and feedback practice in their courses as part of the regular cycles of reviews of modules and courses. When doing this, three things should be taken into account:

Student feedback on their experience of assessment

Student participation on formative assessment activity and the distribution of student marks, with particular reference to considering whether there are any patterns in the attainment of students from underrepresented groups or students with protected characteristics.

The extent to which the features of inclusive assessment (below) inform current practice and the ways in which they might be used to further improve student experience and learning.

Features of inclusive assessment

- Assessment design which gives students an opportunity to build on existing knowledge, understanding and skills.
- Assessment design that requires student and staff effort proportional to the amount of credit, the subject and in line with professional body requirements where appropriate.
- Where possible, opportunities for students to choose topics and approaches that are meaningful and of interest to them.

³ Higher Education Academy (2016) *Framework for transforming assessment in higher education*.

- An overall approach to assessment at course level that gives an opportunity for a diverse range of activities and, where appropriate, the ability for students to make choices in their assessments.
- Opportunities for students to actively develop their assessment literacy, including their understanding of assessment criteria, standards and processes, and skills of self- and peer assessment.
- An approach to feedback practices that promotes the regular use of formative assessments and dialogue between staff and students, and among students.
- Marking practice should be shaped by marking criteria, with the secretarial aspects of writing appropriately weighted. Therefore markers should restrict themselves to identifying a representative selection of errors in syntax, spelling, grammar or presentation, and giving advice about where to seek help if needed. The focus of the marking and feedback should be on the content.
- An approach to marking and feedback which is informed by clear and accessible marking criteria and focussed on helping students to understand their performance, reflect and improve on it, and build confidence and motivation. Comments should support student learning, pointing students to online resources where appropriate.
- An approach to practical examinations which gives all students a chance to succeed in practice based assessments through careful assessment design, for example, restricting the word counts on instructions or giving students extra support before the assessment starts. This needs to be done in the context of PSRB requirements.

This policy recognises that assessment design and implementation is driven by a number of factors, including existing subject specific practice and the requirements of Professional and Statutory Regulatory Bodies (PSRBs). However neither of these factors prevent academics from reviewing the assessment design and practice on modules and courses within reasonable timescales.

Policy and Practice

The inclusive practice working group considered how existing policies and related procedures could be changed to reflect a more inclusive approach to teaching and learning. In relation to assessment, this involved reviewing the existing Yellow Sticker Policy (last reviewed formally in 2008) in the context of the need to develop a more strategic and embedded approach to inclusive practice.

Students with specific learning difficulties

UEA currently has a policy that any student with a diagnosed specific learning difficulty (Dyslexia, Dysgraphia, Dyspraxia, Dyscalculia, Attention Deficit Disorder or Attention Deficit Hyperactivity Disorder (ADD or ADHD), and Autism Spectrum Conditions including Asperger Syndrome) can choose to use a 'yellow sticker' on examinations and course tests. The practice has also been applied to coursework, although this practice does not match the policy. The policy is intended to indicate to markers that they should not penalise the work for errors which may be related to the student's disability and provides helpful marking guidance. However, in practice it is unclear how the policy is implemented by markers, and it can compromise anonymous marking if academics know which students in their classes have received permission to use this adjustment. Furthermore, a HEFCE report on support for students with

SpLDs⁴ indicates that some institutions who took part in the study felt a sticker system added further confusion to their marking systems.

Inclusive practice aims to give opportunities for all with as few adjustments for individuals as possible, making the approach to assessment and feedback proactive and anticipatory. Recent guidance from the Disabled Students Sector Leadership Group suggests that in order to enhance support for disabled students, higher education providers will need to move from providing “a support service to students deemed entitled to it by virtue of a diagnosis to one which empowers the learner and is accessible to and benefits all students.”⁵ The Inclusive Assessment Policy and accompanying implementation plan will replace the Yellow Sticker Policy (2008), embedding inclusive practice in assessment across the institution and incorporating much of the good practice in feedback that the Yellow Sticker policy previously applied only to some students, to all. Students will no longer attach a yellow sticker to coursework or exam scripts from the start of academic year 2021. A review of the Inclusive Assessment policy should be undertaken in the first two years of implementation, considering evidence such as attainment gaps, student experience measures and feedback from key stakeholder

Inclusive marking practice

All staff marking student work should note the features of inclusive assessment above and ensure that:

Marking of work constitutes all of the following: comments on feedback sheets, rubrics, annotations on scripts and audio and face to face feedback.

In all of the above, markers comments should be clear and accessible

The focus of the marking and feedback should be on the content of the work and to what extent it meets assessment criteria.

Feedback should indicate where marks have been gained and where students have met the assessment criteria

Where comments focus on aspects of work which contain mistakes or inaccuracies, problems or areas for development, there is an emphasis on how improvements could be made and on signposting to appropriate sources of guidance and support.

Markers should restrict themselves to identifying a representative selection of errors in syntax, spelling, grammar or presentation, even if there are such problems throughout the work.

Comments should be focussed on both the justification of marks and on helping students improve their understanding.

Part 3: Inclusive Pedagogy

Introduction and definitions

Inclusive pedagogy in higher education means designing and delivering a teaching and learning experience that is meaningful, relevant, personalised and accessible to the entire student body^{vi}

⁴Rodger, Wilson, Roberts, Roustone and Campbell (2015) *Support for Higher Education Students with Specific Learning Difficulties*. HEFCE

⁵ Department for Education (2017) *Inclusive Teaching and Learning in Higher Education as a route to Excellence* p.11

Features of inclusive pedagogy

These features may be applied differently across different subjects, but they should all be considered in the planning, resourcing and delivery of teaching.

- A timetable of taught events that allows all students time to get to their events and rooms which are suitably equipped to meet their needs.
- Clear and available planning – students need to know how, when and where they are expected to attend and participate in teaching sessions well in advance. This includes: the timely publication of a module outline containing brief details of taught sessions. Clearly articulated formative and summative assessment briefs are also part of this planning.
- Teaching that is varied and can be personalised, within the appropriate approaches for that subject discipline. These allow students time to listen, think, talk, question, participate and create in partnership with staff and other students as well as vary pace where appropriate.
- The consistent availability of good quality digital resources that are accessible to all. These may include but are not limited to: a module outline in the correct format, lecture/seminar slides and/or notes and/or a recording of lectures, an interactive reading list with useful learner signposting, and assessment briefs, where appropriate.
- Subject specific terms are explicitly explained both in teaching and in supporting materials.
- The consistent availability of materials that help students prepare for their taught sessions for example lecture notes or slides, at least 48 hours before the taught event.
- Help for students about effective learning, including online and in blended approaches.
- An open and ongoing dialogue with students about the expected preparation and follow up from taught events.
- An open and ongoing dialogue with students about their experience of teaching and learning for example about the content of the curriculum, the modes of delivery, and the selections of learning material, through mid module evaluations and the ALTER quality assurance process.

Part 4: Inclusive Environment

Introduction and definitions

HEFCE's 2015 report into differential student outcomes identifies social, cultural and economic capital as one of the 4 explanatory factors in their large scale study^{vii} noting that:

“Recurring differences in how students experience HE, how they network and how they draw on external support were noted. Students’ financial situation also affects their student experience and their engagement with learning”.

The study demonstrates that factors outside the classroom influence student success at every stage, and that shortcomings in the overall educational environment are amongst the causes of differential outcomes between students from different groups. For that reason the inclusive education policy seeks to address non-curriculum and non-classroom aspects of the student experience with the aim of creating an inclusive learning environment.

Features of an inclusive learning environment:

- An organisational culture that promotes learning and reflection alongside dignity and respect.
- A campus built environment that is accessible to all students and effective communication about short term accessibility issues and alternative arrangements
- Accessible and sustainable transport to and from the campus
- Good access to appropriate and effective financial support for students
- Good access to support for individual wellbeing and learning development for example through the advisor system and Wellbeing and Learning Enhancement services
- Regular meetings with an academic advisor/pastoral care staff to ensure students make the best of the opportunities the university offers
- Information to students about their learning behaviour that gives them actionable insight
- Transparency and clarity about appeals, complaints and disciplinary procedures
- The benefits of extra curricular activities are made clear with diverse relevant examples and role models
- The removal of cultural, financial and physical barriers to access to activities that support employability, for example internships, paid work experience and study abroad
- The removal of cultural, financial and physical barriers to participation in extra curricular clubs and societies
- An approach to monitoring participation in extra curricular activities which promotes understanding of barriers to participation
- A commitment to developing and promoting a range of peer-led learning initiatives, including opportunities for students to benefit from and provide mentoring for their peers
- The promotion of inclusive attitudes and behaviours through opportunities such as welcome events, clubs and societies and the curriculum as appropriate
- A commitment to developing a sense of belonging at this university

Policy considered by LTC 130319 and approved by Chair's action 100619

Updates approved by LTC 200720 (inclusion of the issue of decolonising)

University Disciplinary and Investigative Procedures and Powers

Part	Title	Pages
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B	Non-academic discipline procedure Breaches of accommodation licence, low and medium level incidents, disciplinary officer (high level), informal resolution	8–12
C	Academic discipline procedure Regulation 20 (examination misconduct), Regulation 23 (conferment of qualifications), guidance on related policies	13–16
D	Procedure for dealing with allegations of professional misconduct or unsuitability Fitness to practise at School level and referrals on	17–21
E	Suspension and exclusion powers All powers to suspend a student or exclude them from areas of campus, effect of this, return from suspension	22–29
F	Senate Student Discipline Committee Referrals to SSDC, Chair's powers including summary determination of Regulations 13,18, and 20, panel modes and composition and procedure, post-hearing actions, guidance to students	30–51
G	Penalties Academic and non-academic penalties exercisable at different levels and guidance on them	52–60
H	Appeals Two-stage process for non-academic appeals from the Disciplinary Officer and a Student Services decision-maker and SSDAC process for academic appeals from Senate Student Discipline Panels	61-80

Key Contacts:

Academic Services Office:

Telephone: +44 (0) 1603 592025

Email: its.ssdac@uea.ac.uk

Student Union Advice Centre:

Telephone: +44 (0) 1603 593463

Email: advicecentre@uea.ac.uk

Part A: General

Definitions

You are

- (a) a student who is alleged to have breached one or more Statutes, Regulations (including the General Regulations for Students), Student Charter, Codes of Practice, Rules, and Procedures of the University in force during your period of registration and any regulations, rules, and procedures required by any other organisation or institution to which you have access by virtue of your status as a student at the University of East Anglia; or
- (b) a former student who was a student at the time of the alleged breach(es); or
- (c) a student at INTO UEA.

University means the University of East Anglia.

'University Residences' means Barton House, Britten House, Browne House, Colman House, Constable Terrace, Crome Court, Hickling House, Kett House, Nelson Court, Norfolk Terrace, Orwell Close, Paston House, Portland House, Suffolk Terrace, Suffolk Walk, University Village, Village Close, Victory House, Wolfson Close, and any other building which the University uses as accommodation for students.

'University Property' means premises owned, controlled, or managed by the University.

'Registration' means initial or renewed registration.

Other than in respect of Part E, paragraph 1 (Vice-Chancellor's Powers), all references within these Procedures to particular post holders shall be construed to include references to their deputies or nominees who may take action within these Procedures on the authority of the post holder, provided there is no conflict of interest.

The term 'they' is often used in the singular as a replacement for the gender-specific terms 'he or she' or 'his or her'.

Working days means Monday to Friday inclusive but does not include bank holidays or University closed days.

1. Oversight of the Regulations and these Procedures and Powers

- 1.1 The Head of Learning and Teaching (Quality) has overall responsibility to the Senate for General Regulations 13–23 inclusive, insofar as they relate to students on taught programmes.
- 1.2 The Head of the Postgraduate Research Service has overall responsibility to the Senate for General Regulations 13–23 inclusive, insofar as they relate to students on research degrees.
- 1.3 The Director of Student Services has overall responsibility to the Senate for the welfare and discipline of students under all other General Regulations.

- 1.4 The Vice-Chancellor may not delegate their powers under these Procedures except as provided for by paragraph E1.11 to a Deputy-Vice-Chancellor or Pro-Vice-Chancellor.

2. Confidentiality and data protection

- 2.1 All personal information will be processed by the University lawfully.
- 2.2 We will process your personal data in order for the University to fulfil its obligations under its Charter. This includes processing your personal data for the purposes of the investigations and procedures described in this document.

Guidance: Further information relating to the University's processing of student personal data can be found in our [Student Privacy Notice](#).

The University does not permit voice recording of any disciplinary meetings.

- 2.3 Subject to paragraph 2.1 above, these proceedings and their outcome, as well as any information disclosed in those proceedings, will be treated as confidential to:
- 2.3.1 the Participants (including any other students involved in the same proceedings) (Participants are defined in Part F)
 - 2.3.2 those involved in the investigation, management, or administration of the proceedings or potential proceedings.
 - 2.3.3 those responsible for you (such as your Head of School, adviser, and (where relevant) fitness to practise lead or supervisor).
- 2.4 However, there are exceptions to this. Confidential and personal information relating to disciplinary and investigative procedures may be disclosed:
- 2.4.1 to the police
 - 2.4.2 to the University's legal representatives
 - 2.4.3 to government, or professional, statutory and regulatory bodies (PSRBs) (such as the General Medical Council or the Health and Care Professions Council) if required by law, or required by those relevant bodies and permitted by law
 - 2.4.4 if you ask us to disclose it, or when you ask us to complete a reference for a role or responsibility or for further study
 - 2.4.5 if you are enrolled on a degree apprenticeship programme, as the University will share any findings of breach with your employer in accordance with your Apprenticeship Commitment Statement
 - 2.4.6 if you are sponsored or seconded by an employer as the University will share any findings of breach with your employer
 - 2.4.7 to a funding body or external research ethics committee

- 2.4.8** as a case study for training purposes or to ensure that similar cases are treated similarly. If we do this, we will anonymise the information.

3. Students who leave the University

- 3.1 These University Disciplinary and Investigative Procedures and Powers apply to you even if you withdraw from the University, or are withdrawn, or your registration end date is reached, provided that the alleged breach of the Regulations relates to your time as a student. In this situation, the Chair of Senate Student Discipline Committee will decide whether the case against you should proceed, or not proceed, or be suspended. In making this decision, the Chair will usually consider that the case should proceed where:
- 3.1.1 there is a need to safeguard University students, staff, officers, visitors, and University Property; and/or
 - 3.1.2 there is a need to safeguard members of the public, especially those who are vulnerable such as children, patients and vulnerable adults who may be affected by the alleged breach(es); and/or
 - 3.1.3 to do so would reflect the requirements or spirit of the Codes of Practice and standards established by the relevant professional, statutory and regulatory body (PSRB); and/or
 - 3.1.4 it is in the interests of academic integrity, for example because it is alleged that you have obtained a qualification from the University by fraud.
- 3.2 Where you have a pending appeal to the Senate Student Discipline Appeals Committee, the Chair of Senate Student Discipline Appeals Committee will make the decision referred to at 3.1 instead.
- 3.3 In the event that the Chair decides that the case should proceed, the Chair can at their discretion keep the proceedings suspended until such time as you engage with them, although in most situations the cases will proceed in your absence. Where the proceedings are suspended, you are not eligible for admission to any programme of study or any other service until conclusion of the proceedings.
- 3.4 As stated in General Regulation 1.3, disciplinary procedures must normally be concluded before any degree or award can be conferred, and this may mean that conferment may be delayed pending conclusion of the procedures.

4. Interrelationship with criminal investigations and similar proceedings

- 4.1 If an allegation of a breach of the General Regulations might also constitute a criminal offence or where a police, criminal, or other legal investigations or legal proceedings are contemplated or underway, the University can at its discretion decide to postpone its own investigative or disciplinary processes until the investigation and/or proceedings have been concluded.
- 4.2 However, there may be circumstances in which the processes run concurrently or consecutively, particularly where there is an immediate issue of risk to you or others, or if 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 decision-maker named in paragraph 4.3 below, are likely to be, brought against you in respect of that offence.

- 4.3 The decision as to whether to take or postpone investigation and/or proceedings will be made by:
- 4.3.1 the Head of Learning and Teaching for alleged breaches of General Regulations 13–23 inclusive ('Academic and Professional Integrity'), insofar as they relate to students on taught programmes.
 - 4.3.2 the Head of the Postgraduate Research Service for alleged breaches of General Regulations 13–23 inclusive ('Academic and Professional Integrity'), insofar as they relate to students on research degrees.
 - 4.3.3 the Director of Student Services in relation to all other General Regulations.
- 4.4 If, after proceedings against you have been commenced under these Disciplinary Procedures, any criminal proceedings are started against you in respect of the same incident, the disciplinary proceedings will normally be suspended to await their outcome (including any appeal).
- 4.5 Where you have been acquitted of an offence before a criminal court, action under these Procedures and Powers may still be taken. That is because the University has a different (lower) standard of proof than the criminal courts, and we consider whether you have breached the Regulations rather than whether you have committed a crime.
- 4.6 It is not necessary for any party to prove again any fact already established in the criminal or civil proceedings.

Guidance: The reasons for deferring action pending criminal proceedings are:

(a) Any immediate risk to the University community should be addressed through precautionary action under Part E of these Procedures and Powers. That Part contains the powers of the University to temporarily exclude and/or suspend you pending the progression or outcome of any police, criminal or other legal investigations or proceedings. There are safeguards within that Part.

(b) There is a substantial risk that an internal investigation could interfere with or prejudice a criminal investigation (for example, in relation to witness evidence an internal investigation may involve an element of 'rehearsal' of evidence prior to a criminal trial with the potential for memories to be tainted, or the alteration of accounts because of what has been said, heard or disclosed during the process).

(c) A student's engagement with an internal investigation could impact upon their defence in the criminal proceedings therefore a student's lawyer is likely to advise them not to engage with internal proceedings.

(d) An internal investigation may also risk jeopardising a successful prosecution on the part of the reporting student.

Part B: Non-Academic Discipline Procedure

1. Triage

- 1.1 Unless the breach is a breach of academic and professional integrity (General Regulations 13–23 inclusive, with the exception of Regulation 16 which shall be treated as a non-academic discipline matter), any incident which may breach the University's Regulations shall in the first instance be referred to:
 - 1.1.1. the Deputy Accommodation Manager (where the alleged breach may constitute a breach of a licence to occupy University Residences or an Assured Shorthold Tenancy Agreement in respect of a University and therefore a breach of Regulation 9); or
 - 1.1.2. the Student Life Manager (where the alleged breach is of any other Regulation or a combination including Regulation 9).
- 1.2. The Student Life Manager/Deputy Accommodation Manager will determine whether the allegations are to be classified as low level, medium level, or high level. Incidents which comprise multiple potential breaches at different levels should be classified at the highest of the relevant classifications.
- 1.3. There is no appeal from the classification of an allegation as low level, medium level, or high level.

2. Low and medium level incidents

- 2.1. Where all of the alleged incident(s) can be characterised as low or medium level, the Student Life Manager or Deputy Accommodation Manager will investigate the matter. The investigation may include:
 - 2.1.1. Meeting with the people, such as you, alleged to have been involved in the incident.
 - 2.1.2. Obtaining further information from any attending Security Officer, Warden, complainant and any witnesses.
 - 2.1.3. Considering any evidence and/or mitigation submitted by you and others being investigated.
- 2.2. Following their investigation, the Student Life Manager or Deputy Accommodation Manager will decide whether there has, on the balance of probabilities, been a breach of the terms and conditions of a licence to reside or an assured shorthold tenancy agreement in University Residences (which is also a breach of Regulation 9), or a breach of another Regulation, and either:
 - 2.2.1. Determine that you should receive advice about the implications of breaching Regulations and/or the terms of your licence or tenancy and potential steps that may be taken in the event of further breaches; or
 - 2.2.2. Apply an appropriate penalty or penalties as listed in Part G (Penalties); or

- 2.2.3. Refer the matter for informal resolution in accordance with paragraph 10 of this Part B.
- 2.3. In all cases, the Student Life Manager or Deputy Accommodation Manager can recommend that you seek pastoral support from another member of staff within Student Support Services.
- 2.4. In any case where a breach has been found proven but the Student Life Manager or Deputy Accommodation Manager believes that you may be unfit for study, the Student Life Manager or Deputy Accommodation Manager can refer the matter to the Head of Wellbeing who can consider whether to recommend to your School that the Fitness to Study procedure be started. This step does not preclude the Student Life Manager or Deputy Manager from imposing a penalty or penalties but any such penalty must be carefully considered in light of the concerns about your wellbeing.

3. Appeals from a decision of the Student Life Manager or Deputy Accommodation Manager

Appeals from a decision of the Student Life Manager or Deputy Accommodation Manager (on the facts or on the penalty or both) shall be heard in accordance with Part H (Appeals).

4. High-level incidents

- 4.1. Where some or all of the alleged incident(s) can be characterised as high level, the matter must be referred to the University Disciplinary Officer.
- 4.2. The University Disciplinary Officer is appointed by the Senate and has the power to investigate, hear and determine any case which has been referred to them in accordance with these Disciplinary Procedures. They may delegate these and other responsibilities to an appointed Deputy University Disciplinary Officer.
- 4.3. The University Disciplinary Officer will consider the referral documentation and request any further written information that is necessary to resolve the case fairly.
- 4.4. Once the University Disciplinary Officer has sufficient information on which to make a decision as to how to proceed, the University Disciplinary Officer must then:
 - 4.4.1. decide that there is no case to answer; or
 - 4.4.2. decide to summon you to a hearing before them; or
 - 4.4.3. decide to refer the matter to Senate Student Discipline Committee.

5. Hearings by the Disciplinary Officer

- 5.1. If the University Disciplinary Officer wishes to decide the matter themselves, then they will send you, by email, a written summons to a hearing before them. The summons will state:
 - 5.1.1. the alleged breaches of regulations
 - 5.1.2. the nature of the alleged breach
 - 5.1.3. the date, time, and location of the meeting
 - 5.1.4. the fact that the University Disciplinary Officer can decide whether there has been a breach of the Regulations and apply a penalty or penalties
 - 5.1.5. the range of penalties available to the University Disciplinary Officer
 - 5.1.6. any penalty or penalties that the University Disciplinary Officer proposes to impose in the event that you are found guilty of a breach of the Regulations and do not respond to the summons (which is, in itself, a breach of Regulation 13).
 - 5.1.7. that instead of deciding whether you have breached the Regulations the University Disciplinary Officer may refer the matter to Senate Student Discipline Committee
- 5.2. A copy of any written evidence must be enclosed with the summons.
- 5.3. The summons will be sent to your University email address no fewer than 5 working days before the meeting.

6. Your options on receipt of a summons

- 6.1. You must respond to the summons no fewer than 2 working days before the meeting.
- 6.2. If you deny the allegations, or you admit the allegations but you want the opportunity to talk to the University Disciplinary Officer about any mitigating factors, you should notify the University Disciplinary officer that you will attend the meeting at the date, time, and location given in the summons letter, and give the name and status of anyone you are bringing with you. Any person you bring with you is called your Companion (see paragraph 7 below).
- 6.3. If you admit the allegations and you do not want to meet with the University Disciplinary Officer, you can waive your right to the hearing and agree that the University Disciplinary Officer can impose the penalty or penalties that she has outlined in the summons letter without a meeting taking place.
- 6.4. If you do not respond to the summons letter at least 2 working days before the meeting, or you fail to attend the meeting, the University Disciplinary Officer will deem this to be an acceptance that the allegations set out in the summons letter are true and therefore find that there has been a breach of the Regulation(s). The University Disciplinary Officer will then either apply the penalty or penalties set out in the summons letter or determine that the

allegations are so serious that the matter should be referred to Senate Student Discipline Committee.

7. At the hearing

- 7.1 At the hearing, the University Disciplinary Officer will discuss with you whether you have breached a Regulation or Regulations. A note-taker, who will usually be a member of Student Support Services, will be present at the hearing.
- 7.2 You have the right to be accompanied by a Companion. The Companion must have no connection with the allegations and therefore no material interest in the matter.
- 7.3 You must tell the University Disciplinary Officer no later than 2 working days before the hearing of the identity and status (for example Student Union Adviser or fellow student) of the Companion. If you do not tell the University Disciplinary Officer within this timescale, they may decide that you are not allowed to bring a Companion at all.
- 7.4 The Companion may present the case on your behalf and help and support you. However, they cannot answer questions on your behalf, or attend the hearing in your absence.
- 7.5 It is your responsibility to tell your Companion about the date, time, and location of the hearing. If your Companion does not attend the hearing, the hearing may proceed in their absence.
- 7.6 Your Companion may be excluded from the hearing if they are so disruptive as to impede the conduct of the hearing. In such a case, the University Disciplinary Officer will decide whether or not to continue with the hearing even though your Companion has been excluded.

Guidance: Members of the Student Union Advice Centre are available to act as your Companion on your request.

8. The University Disciplinary Officer's decision

- 8.1. Following the hearing, the University Disciplinary Officer will determine on the balance of probabilities whether you have breached a Regulation or Regulations and either:
 - 8.1.1. apply a penalty or penalties set out in Part G (Penalties). In determining the appropriate penalty or penalties, the Disciplinary officer will consider any evidence of mitigation that you have provided; or
 - 8.1.2. decide that the allegations are so serious that the matter should be referred to Senate Student Discipline Committee.
- 8.2. If, whether or not you have been found to have breached a Regulation or Regulations, it appears to the University Disciplinary Officer that you may be

unfit to study, the University Disciplinary Officer may contact your Head of School and recommend that they trigger the Fitness to Study procedure at level two or level three.

- 8.3. If the University Disciplinary Officer thinks that it is important that the Fitness to Study process be used even if the School is not sure, they can ask the SSDC Chair to exercise Chair's powers (Part D paragraph 4) to require the School to commence Fitness to Study proceedings. Apart from that, no referral to SSDC should take place.
- 8.4. The University Disciplinary Officer may impose a penalty or penalties in addition to a referral to Fitness to Study but such penalty must be carefully considered.

9. After the hearing

- 9.1. Within 5 working days of the hearing, the University Disciplinary Officer must
 - 9.1.1. notify you by email letter of the decision and any penalty or penalties imposed; and
 - 9.1.2. advise you of the appeal mechanism.
- 9.2. Depending on the nature of the breach, copy the notification to your Head of School or (in the case of postgraduate research students) your supervisor.

10. Informal resolution

- 10.1. Where a student complains that they are a victim of a breach of the Policy on Student Harassment and Sexual or Physical Misconduct, that student may request that the matter be dealt with outside the disciplinary process. Informal resolution consists of the Student Life Manager meeting with the alleged offender and discussing with them the potential implications were a disciplinary procedure to be followed.
- 10.2. The Student Life Manager will discuss with the complainant what support the complainant can be offered.
- 10.3. The Student Life Manager will then determine whether the matter should be dealt with informally based on the following criteria:
 - 10.3.1. the alleged victim's wishes: under no circumstances should an informal resolution take place without the express consent of the alleged victim, freely given;
 - 10.3.2. the University's safeguarding obligations;
 - 10.3.3. the risk the alleged misconduct, if true, would pose to the alleged victim;
 - 10.3.4. the risk the alleged misconduct, if true, would pose to the UEA community and the wider community;
 - 10.3.5. whether the alleged misconduct is capable of constituting a criminal offence.

Guidance: Records should be kept of informal resolution in line with the University's [Document Retention Policy](#).

Part C: Academic Discipline Procedure

Preamble

This procedure relates to alleged breaches of the following academic regulations:

- Regulation 20 (behaviour in the examination or course test)
- Regulation 23 (conferment of qualifications)

It describes the stages up to a referral to SSDC, if such a referral is made.

Guidance:

For the procedure for addressing alleged breaches of Regulation 13 (Engagement), please refer to the [Student Engagement Procedure](#) or, in the case of postgraduate research students, the PGR Procedure on Attendance, Engagement, and Progress (see PGR webpages within My UEA).

For the procedure for addressing alleged breaches of Regulation 14 (professional misconduct) please refer to Part D below.

For the procedure for addressing alleged breaches of Regulation 15 (conduct of research and research ethics), please refer to the University's Procedure for Dealing with Allegations of Misconduct in Research.

For the procedure for addressing alleged breaches of Regulation 16 (intellectual property, data protection, and copyright), please see Part B of these University Disciplinary and Investigative Procedures and Powers and refer the matter to the Student Life Manager in the first instance although if serious this can be referred onto SSDC and would fall under the Academic Mode. The reason that this Regulation is usually dealt with by the Student Life Manager or University Disciplinary Officer is for want of a low level process for academic matters. However, there may be alleged breaches which are serious in nature or extent and if may in such cases be more appropriate for any alleged breach to be treated as an aspect of Regulation 15 (conduct of research and research ethics).

It is not anticipated that any disciplinary proceedings will result from a breach of Regulation 17, which requires students to correctly note the time and place of examinations and course tests and the requirement to submit work to deadline. A failure to comply with these requirements would instead affect the student's progression and marks.

For the procedure for addressing alleged breaches of Regulation 18 (plagiarism and collusion), please see the [University Policy on Plagiarism and Collusion](#).

For the procedure for addressing alleged breaches of Regulation 19 (illegible or gratuitously offensive assessment submissions), please see the [University Policy on Illegible or Gratuitously Offensive Assessment Submissions](#).

In all cases, please refer to Parts F, G, and H of these University Disciplinary and Investigative Procedures and Powers, which deal with referrals to SSDC and the conduct of SSDC proceedings, penalties where a breach has been proven, and appeals, respectively.

1. Alleged breaches of Regulation 20

1.1 If you are suspected of any form of cheating, the invigilator should:

Step A: Immediately inform you that you are suspected of cheating.

Step B: Request your student card, which you must provide in accordance with Regulation 10.1.3.

Step C (applicable only where there is a reasonable suspicion that you have brought unauthorised materials into an examination or course test room): Ask you to empty your pockets of all contents and turn your pockets inside out; remove outer items of clothing; pull back long hair to reveal ears and/or neck; roll up sleeves or trousers; remove socks and shoes. You must do this in accordance with Regulation 20.9. If you request, and if this is reasonably practicable, we will try to ensure that this search is carried out by a person of the gender of your choice and in a private room.

Step D: (applicable only where there is a reasonable suspicion that you have brought unauthorised materials into an examination or course test room): Confiscate any materials they believe to be unauthorised.

Step E: Mark your answer booklets with the time at which the suspicion arose.

Step F: Tell you to wait behind at the end of the examination in order to be interviewed by the venue's invigilation manager.

Step G: Thereafter allow you to continue with the examination or course test.

Step H: At the end of the examination, interview you about the suspected breach of the General Regulations and provide you with a handout about the procedure.

Step I: Notify the University Assessments & Quality Office, so that disciplinary proceedings can be started against you.

1.2 The University Assessments & Quality Office must then inform Head of Learning and Teaching (Quality) who will classify the alleged offence as low, medium, or high level with the assistance of the classification table set out below. There is no appeal from the decision as to classification.

Classification of offence level to give penalty starting point	
Indicative elements of a low level offence	<p>Your experience as a student, which relates to the expectation that you should be aware of the seriousness of your actions:</p> <ul style="list-style-type: none"> You are a student in your first semester of a higher education course in the UK There are significant cultural considerations and/or extenuating circumstances You have no previous disciplinary record of cheating <p>Type of Breach:</p> <ul style="list-style-type: none"> Considered technical <p>Your intentions:</p> <ul style="list-style-type: none"> Breach without genuine intention to gain advantage The degree to which you have actually gained advantage is irrelevant to the evaluation of your intentions or the type of breach. <p>Examples: Turning over the question paper or writing before the examination starts will usually be considered a low-level breach.</p>
Indicative elements of a medium level offence	<p>Your experience as a student, which relates to the expectation that you should be aware of the seriousness of your actions:</p> <ul style="list-style-type: none"> You are not in your first semester of a higher education course in the UK You may have a previous disciplinary record of cheating in an examination or course test <p>Type of breach:</p> <ul style="list-style-type: none"> Breach is more than technical. This may be evidenced by possession of, or access to any unauthorised materials, and/or failure to comply with instruction of invigilators acting in accordance with their reasonable suspicion. Multiple breaches in the same examination or course test <p>Your intentions:</p> <ul style="list-style-type: none"> Breach was not substantially premeditated or was a naïve attempt to gain advantage The degree to which you have actually gained advantage is irrelevant to the evaluation of your intentions or the type of breach. <p>Examples: Possession of an electronic device such as a mobile phone will usually be considered a medium-level breach.</p>
Indicative elements of a high level offence	<p>Your experience as a student, which relates to the expectation that you should be aware of the seriousness of your actions:</p> <ul style="list-style-type: none"> You are not in your first semester of a higher education course in the UK and you are considered to be an experienced student. You may have a previous disciplinary record of cheating in an examination or course test <p>Type of breach:</p> <ul style="list-style-type: none"> Breach is more than technical. This may be evidenced by possession of, or access to substantial unauthorised

	<p><i>materials, and/or failure to comply with instruction of invigilators acting in accordance with their reasonable suspicion, and/or commissioning or otherwise allowing another person to pass themselves off as you.</i></p> <ul style="list-style-type: none"> • <i>Multiple breaches in the same examination or course test</i> <p><i>Your intentions:</i></p> <ul style="list-style-type: none"> • <i>Premeditation.</i> • <i>The degree to which you have actually gained advantage is irrelevant to the evaluation of your intentions or the type of breach.</i>
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1.3 The Head of Learning and Teaching will then:

- 1.3.1 in the case of an offence classified as a low level offence, issue a warning letter which will be copied to your Adviser and to your Head of School, which shall remain on your file for the duration of your studies at the University. There is no appeal from a decision that a low level offence has taken place.
- 1.3.2. in the case of an offence classified as a medium level offence, refer the matter to the Chair of Senate Student Discipline Committee in accordance with the procedure set out at Part F paragraph 7. The Chair may at their discretion deal with the matter summarily.
- 1.3.3 in the case of an offence classified as a high level offence, refer the matter to the Chair of Senate Student Discipline Committee in accordance with the procedure set out at Part F paragraph 4.

Guidance: Medium level offences may be dealt with summarily by the Chair in accordance with the process set out in Part F paragraph 7. High level cases cannot be dealt with summarily and must be referred to SSDC.

2. Alleged breaches of Regulation 23 (conferment of qualifications)

- 2.1 Regulation 23 provides that you must not describe yourself as holding a degree or other qualification granted by the University unless the qualification has been awarded to you at Graduation or by special Resolution of the Senate.
- 2.2 Where a student describes themselves as holding such a qualification when they are not entitled to do so, the Director of Student and Academic Services should refer the matter to the Chair of Senate Student Discipline Committee in accordance with Part F paragraph 3 of these Procedures and Powers.
- 2.3 The Chair of Senate Student Discipline Committee shall consider the matter in accordance with Part A paragraph 3 and Part F paragraph 4 of these University Disciplinary and Investigative Procedures and Powers.

Part D: Procedure for dealing with allegations of Professional Misconduct or Unsuitability (Fitness to Practise)

1. When this procedure applies

- 1.1. This procedure may be used if you:
 - 1.1.1. are registered on a programme leading to professional registration/accreditation (for example, in the Schools of Education and Lifelong Learning, Health Sciences, Norwich Medical School, Pharmacy, and Social Work); or
 - 1.1.2. maintain accreditation by a professional, statutory and regulatory body (PSRB) while registered on any professional degree programme such as a taught doctorate at the Norwich Medical School or the School of Education and Lifelong Learning
- 1.2. In any case where there is a conflict between this Procedure under Part D and the requirements of a professional, statutory and regulatory body, the latter shall take precedence.

2. Making an allegation

- 2.1. Allegations against you of professional misconduct and/or professional unsuitability must be made in writing to the Chair of the Fitness to Practise Committee (or Fitness to Practise Lead) at the School offering the professional programme of study concerned, or via a Cause for Concern Form. A copy of the allegations must also be sent to your Head of School.
- 2.2. On receipt of the allegation(s), the Chair of the Fitness to Practise Committee (or Fitness to Practise Lead) must give you details of the allegation(s) or report of concerns as soon as possible. These details must be sufficient for you to understand the nature of the allegations or concerns and the context in which they have arisen.
- 2.3. It must be borne in mind that an allegation of professional misconduct and/or professional unsuitability is a serious and potentially defamatory one. Consequently it is essential that the proceedings should be conducted on a basis of strict confidentiality.

3. Considering the allegations

- 3.1. On receipt of a written allegation or a report of inappropriate behaviour/conduct, the Chair of the Fitness to Practise Committee (or the Fitness to Practise Lead) shall take the following preliminary steps:
 - 3.1.1. if a very serious incident had been reported, inform the Head of School without delay, so that the Head of School can consider the safeguarding implications and in particular whether it is necessary

for there to be an immediate suspension from studies/placement in accordance with the procedure set out in Part E of these University Disciplinary and Investigative Procedures and Powers.

- 3.1.2. talk to you as soon as possible if the allegation(s) concern incident(s) in a setting in which you are also employed as a practitioner or member of staff, in order to ascertain whether your employer is aware of the allegation(s).
- 3.1.3. consider if there is a Fitness for Study issue that may explain your alleged behaviour/conduct.

Guidance: In complex cases, the Chair of the Fitness to Practise Committee (or Fitness to Practise Lead) is advised to contact the Chair of the University's Senate Student Discipline Committee for advice and guidance.

4. Decision by the Chair of the Fitness to Practise Committee or Fitness to Practise Lead

- 4.1. The Chair of the Fitness to Practise Committee or Fitness to Practise Lead shall then:
 - 4.1.1. determine that there are no Fitness to Practise concerns, in which case no records shall be retained unless the School is required to do so by Professional, Statutory and Regulatory Body requirements; or
 - 4.1.2. refer the issues to your adviser or supervisor, with an email of instructions or a support plan that may help to address the issues identified; or
 - 4.1.3. refer the issues to a senior member of academic staff such as the senior adviser or course director, with an email of instructions and/or request for a meeting to be held with you; or
 - 4.1.4. instruct you to attend a meeting with the full Fitness to Practise Committee or a specially convened Panel; or
 - 4.1.5. determine that the matter should proceed straight to Senate Student Discipline Committee and not proceed to a hearing in the School; or
 - 4.1.6. recommend to the Head of the School that your alleged misconduct should not be considered under General Regulation 14 but should proceed under one of the other General Regulations instead.

Guidance: If recommending disciplinary action under one of the other General Regulations, the Chair should enclose appropriate evidence (e.g. record of unsatisfactory or poor attendance that have shown no significant improvement).

5. Complex cases

- 5.1. In complex cases, the Chair of the Fitness to Practise Committee (or Fitness to Practise Lead) may recommend to the Head of School that an Investigating Officer be appointed immediately, before a meeting as mentioned in 4.1.4 above is held.
- 5.2. The Investigating Officer shall assemble all the information relevant to the case.
- 5.3. The Chair of the Fitness to Practise Committee/Fitness to Practise Lead shall, in consultation with the Head of School and Investigating Officer, determine:
 - 5.3.1. a realistic timescale for the relevant information to be collected and for the Investigating Officer to complete his/her report. The Chair/Lead must inform you of the agreed timescale in writing, and provide updates as to any progress/delays thereafter.
 - 5.3.2. whether the Fitness to Practise Committee or Panel should seek the views of external consultants/practitioners from the relevant professional body, and contact the relevant external bodies if required.
- 5.4. On receipt of the Investigating Officer's report, a meeting of the Fitness to Practise Committee or Panel should meet within 10 working days.

Guidance: The investigation and write-up of the Investigating Officer's report will normally take up to 30 working days.

6. Medical evidence

- 6.1. Prior to its meeting with you, the Fitness to Practise Committee or Panel may instruct you to go for an occupational health or other specialised medical assessment.
- 6.2. Any report from the occupational health or medical assessment shall be made available to the Fitness to Practise Committee or Panel and you at least five working days prior to the meeting.

7. Meeting of the School's Fitness to Practise Committee/Panel

- 7.1. Where a full Fitness to Practise meeting with you under 4.1.4 is required, you must be:
 - 7.1.1. informed in writing of the allegation(s)/concerns made, no later than 5 working days before the meeting; and
 - 7.1.2. invited to submit a statement including, where relevant, any extenuating circumstances, no later than 2 working days before meeting; and
 - 7.1.3. reminded that you can seek the independent support of the Student Union Advice Centre; and

- 7.1.4. advised that you can be accompanied to the meeting by a Companion who shall not be a legal representative and must have no connection with the allegations and therefore no material interest in the matter.
- 7.2. The Fitness to Practise Committee shall decide whether, on the balance of probabilities, you have breached Regulation 14.
- 7.3. The outcome of the decision of the full Fitness to Practise Committee shall be one of the following:
 - 7.3.1. that there are no fitness to practise concerns in that you have not breached Regulation 14; or
 - 7.3.2. that no further action is required but you are warned of the consequences of repeating the conduct/behaviour that gave rise to the allegation(s)/concerns. Your Adviser may also be asked to provide guidance and support to help address the issues identified; or
 - 7.3.3. referral to the University's Fitness to Study procedure; or
 - 7.3.4. referral to other support services such as Student Support Services, or the Student Union Advice Centre, so that you can be provided with appropriate guidance and support; or
 - 7.3.5. a recommendation to the Head of the School that a formal warning be recorded on your file. In the event that you continue to demonstrate conduct/behaviour that generates Fitness to Practise concerns, the Chair of the Fitness to Practise Committee and the Head of School shall consider whether your case should be referred to the University's Senate Student Discipline Committee (SSDC) for consideration; or
 - 7.3.6. a recommendation to the Head of the School that your case should be referred for consideration under General Regulation 14 by the University's Senate Student Discipline Committee (SSDC). In its referral, the Chair of the Fitness to Practise Committee shall set out the findings and conclusions of the Committee; or
 - 7.3.7. where your programme of study has a requirement to pass a Fitness to Practise module or its equivalent, the Fitness to Practise Committee may resolve that you have not met the professional standards/expectations of the programme of study and shall not be permitted to progress to the next stage of study.

Guidance: Referrals to Senate Student Discipline Committee

Your attention is drawn to Part F: Senate Student Discipline Committee for information about the process that should be followed. The Head of School must submit to the Secretary of the Senate Student Discipline Committee the evidence, including the report of any Investigating Officer and the findings of any Fitness to Practise Committee/Panel on which the School wishes to rely. The Head of School may also nominate staff/external contacts to be witnesses, to provide further information at the meeting. All witnesses must have some relevance to the case and for each witness proposed, a brief supporting statement must be provided by the Head.

It is expected the presenter of the School's case shall be either the Head of School or the Chair of the Fitness to Practise Committee/Lead.

Part E: Suspension and exclusion powers

Definitions

- i. In this Part, there are two types of suspension: a suspension from a programme of study (SS) and a suspension from study coupled with exclusion from University Property and Services (SSEP). (A student cannot be excluded from all Property and Services without also being suspended from study.)
- ii. 'Exclusion' means the temporary removal of access to University Property and Services and not permanent Expulsion from the University.

1. Vice-Chancellor's powers

- 1.1 The Vice-Chancellor has the power to act on behalf of Senate to temporarily exclude or suspend you from some or all of:
 - 1.1.1 the University (SSEP)
 - 1.1.2 class or classes of any kind (SS)
 - 1.1.3 part or all of any programme of study (SS)
 - 1.1.4 participation in University activities (SSEP)
 - 1.1.5 University Property and Services (SSEP).
- 1.2 The power set out in paragraph 1.1 must only be exercised if the purpose of the exclusion or suspension is
 - 1.2.1 to enable a full and proper investigation to be carried out by the Police and/or University; and/or
 - 1.2.2 to protect you or someone else while an allegation is being investigated by the Police and/or University pending the outcome of criminal and/or disciplinary proceedings.

Guidance: Without limiting the above, this power is most likely to be used where a student presents a serious risk to the safety of themselves, or the University, its staff, officers, or visitors, and/or where there is a pending criminal investigation or proceeding. Such concerns are most likely to be raised by the Disciplinary Officer or the Director of Student Services.

- 1.3 The Vice-Chancellor must specify any exceptions to the effects of the SS or SSEP that are described in sections 9 and 10 below. If the Vice-Chancellor does not do so, the provisions of the relevant paragraph (SS or SSEP) shall apply in full.

- 1.4 The imposition of a temporary suspension and/or exclusion is a precautionary measure only. It is not a penalty or sanction and does not indicate that the university has concluded that you have committed a breach of the Regulations or a criminal offence.
- 1.5 Where such suspension and/or exclusion is contemplated, the Vice-Chancellor must provide you with the opportunity to make representations (whether verbal or written) about that. These representations must be limited to the need for suspension and/or exclusion and not to the substantive breach of the Regulations that have given rise to the exercise of this power.
- 1.6 However, where the Vice-Chancellor believes that the situation is so urgent that it cannot wait for you to have the opportunity to make representations, they can suspend and/or exclude you with immediate effect provided that you are given the opportunity to make representations within 5 working days of the suspension/expulsion.
- 1.7 The Vice-Chancellor must, immediately following investigation or, if there are pending criminal proceedings, at the conclusion of those, refer the case to the Senate Student Discipline Committee in order that a Panel convened in accordance with Part F of these procedures can consider the alleged breach(es) of the Regulations.
- 1.8 The Vice-Chancellor must also report the suspension/exclusion to the next meeting of Senate, and Senate may, if it thinks fit, terminate the suspension/exclusion from the date of that Senate meeting or any future date.
- 1.9 Every four weeks from the date of the suspension/exclusion, the Vice-Chancellor must review the need for suspension/exclusion in light of any developments or written representations made by you or on your behalf.
- 1.10 The suspension or exclusion will last until either the Senate Student Disciplinary Committee has considered the case, and/or the suspension/exclusion is terminated by the Vice-Chancellor or Senate.
- 1.11 The Vice-Chancellor may authorise a Deputy-Vice-Chancellor or Pro-Vice-Chancellor to exercise the powers and duties set out in this paragraph 1 on their behalf.
- 1.12 The powers set out in this paragraph 1 are in addition to the more specific powers set out below.

2. SSEP for students in breach of Immigration Rules

- 2.1 The University is the licensed sponsor of your Tier 4 visa and it has a number of duties that it must comply with. As part of those duties, the University's Visa Policy, Operations and Compliance Manager will monitor your compliance with the Immigration Rules, to ensure that you comply with the conditions of leave of your Tier 4 or other visa, and will recommend to the Director of Student and Academic Services (or, in the case of postgraduate research

students, the Director of the Research and Innovation Division) that you be suspended if you are failing to comply.

- 2.2 The relevant Director is authorised by Senate to immediately suspend you if you are not, in their judgement, compliant with the conditions of leave of your visa.
- 2.3 The suspension will be a SSEP (see section 9 below).
- 2.4 If you inform the Director of Student and Academic Services (or, in the case of postgraduate research students, the Director of the Research and Innovation Division) within 5 working days of suspension that you wish to return to studies on the basis that:
 - 2.4.1 you can demonstrate to their satisfaction that you have been compliant with the requirements and conditions of leave of your visa, and that these conditions include the necessary conditions to study; and
 - 2.4.2 your School supports your return to study,

you may be permitted to return to studies. Where the University is your sponsor, if you do not respond within 5 working days and/or you cannot demonstrate to their satisfaction that you have been compliant with the requirements and conditions of leave of your visa then the University will withdraw sponsorship of your visa. As a result of this withdrawal of sponsorship of your visa you will no longer have a right to study at the University and you will be withdrawn from the University. As a consequence your leave to remain in the United Kingdom will be curtailed. If you wish to return to your studies you will be required to interrupt your studies and, provided that your School supports your return to study, repeat the year or semester during which you were suspended. During this period you will be a Student Interrupting Their Period of Study in accordance with General Regulation 3.

- 2.5 The operation of suspensions for students in breach of the conditions of leave of their visa or under immigration laws will be kept under review by the Visa Policy, Operations and Compliance Manager.

Guidance: Return to study for Tier 4 visa holders is addressed at paragraph 11 below.

Guidance: You must supply documents for any evidence to support your demonstration of compliance (e.g. letter from your doctor). If the original document is not written in English you must provide a certified translation.

3. SSEP due to an infectious illness

- 3.1 In accordance with Regulation 27.3, you must comply with the terms of any quarantine imposed by the Director of Student Services.
- 3.2 The Director of Student Services can immediately suspend and exclude you if you are not compliant with the terms of a quarantine imposed upon you.

- 3.3 Such suspension and exclusion shall come to an end upon receipt of a certificate from a medical practitioner licensed by the General Medical Council which says that you no longer present a risk of infection to other people.
- 3.4 The operation of infectious illness suspensions/exclusions will be kept under review by the Director of Student Services.

4. SSEP pending results of tuberculosis screening

- 4.1 The Director of Student Services may immediately suspend and exclude you if you are required by Regulation 26 to undertake tuberculosis screening by University Medical Centre and your screening results are not available within 42 days of registration at the University.
- 4.2 You will be suspended and excluded from the University (and therefore from University Property including University Residences) until the screening process is completed.
- 4.3 In the event that your screening is positive for tuberculosis, paragraph 3 above shall apply.
- 4.4 The operation of tuberculosis screening suspensions/exclusions will be kept under review by the Director of Student Services.

5. Placement suspensions

- 5.1 Your Head of School can suspend you from a placement if you are alleged to be in breach of Regulation 14 (professional misconduct and/or unsuitability/fitness to practise).
- 5.2 Your Head of School can suspend you from a placement if you are alleged to be in breach of Regulation 28 (placements).
- 5.3 The imposition of a temporary suspension and/or exclusion is a precautionary measure only. It is not a penalty or sanction and does not indicate that the University has concluded that you have committed a breach of the Regulations or a criminal offence.
- 5.4 In each case under paragraph 5.1 or 5.2 above, the Head of School must immediately commence an investigation into the allegations.
- 5.5 If the Head of School believes that a Suspension from Study (SS) or a Suspension from Study and University Property and Services (SSEP) is necessary in addition to the suspension from placement, they should notify the Vice-Chancellor in accordance with paragraph 1 of this Part.
- 5.5 Where a student is on a placement which is not a clinical or professional placement, but is, for example an industrial placement, suspension/exclusion pending investigation and referral to SSDC may not take place under this

paragraph 5 but may be appropriate under paragraph 1 (Vice-Chancellor's powers).

- 5.6 The progress of placement investigations and suspensions from placement must be kept under review by the Head of School, with support from the School's Learning and Teaching Service Manager. For students on a programme of study leading to a professional doctorate, support will be provided by the Postgraduate Research Service.

Guidance: Possible outcomes of the investigation: (i) reinstatement on the existing placement including completion of the assessment requirements (ii) the offer of a new placement with an alternative provider (iii) change of course/module selection (iv) referral to a Fitness to Practise Panel or Professionalism Committee (v) referral to a Senate Student Disciplinary Panel under Regulation 14.

Guidance: The decision as to whether to impose a SS or a (wider) SSEP will depend on the nature of the concerns relating to the student.

6. Suspension as a disciplinary penalty

- 6.1. Senate Student Disciplinary Committee, whether as the result of a Chair's Summary Determination or a Panel hearing, may use suspension as a penalty for breach of a Regulation or Regulations (see Part G: Penalties).
- 6.2. The usual type of suspension is SSEP, but in a rare case the Committee may choose to suspend the student from study (SS) only.
- 6.3. Suspensions resulting from a penalty imposed by a SSDC panel will be kept under review by the Head of Learning and Teaching (Quality) or, in the case of postgraduate research students, the Head of the Postgraduate Research Service.

7. SSEP for failure to pay fees and charges (Regulation 30)

- 7.1. In accordance with Regulation 30.1, if you do not pay all outstanding fees and charges to the University by the due date and you have not agreed with the University a revised payment timetable, you may be suspended and excluded by the University until such time as the fees and charges are paid in full. If the sum or any part thereof remains outstanding for more than twelve months, you will be automatically withdrawn from the University unless the University expressly agrees otherwise.
- 7.2. If you have been suspended and excluded from the University for non-payment of debt and you then clear your debts, you may apply for readmission to your programme of study. Payment of the debt will be taken as your application to return to your course.
- 7.3. Operation of suspensions under this paragraph will be kept under review by the Learning and Teaching Service (or, if you are a postgraduate research student, the Postgraduate Research Service), with support from the Finance Division.

8. Effect of suspension from study and exclusion from University Property and Services (SSEP)

- 8.1. If you have been suspended from study and excluded from University Property you may not attend any teaching (e.g. lecture, seminar, supervision, laboratory session etc.) or organised study event. You may not enter or make use of University Property: You are excluded from all property owned, controlled or managed by the University. Your University email address may be closed and if this happens you will be required to provide an alternative email address we can use for correspondence.
- 8.2. You may not submit coursework or sit examinations or course tests during the period of your suspension. Material submitted for assessment prior to the date of suspension (essays, course tests, exam scripts etc.) will be marked in accordance with usual practice, but you will not receive any award to which you may otherwise be entitled pending resolution of the reason(s) for the suspension. The mark will remain provisional and will not be confirmed by the Board of Examiners until the suspension is lifted.
- 8.3. You may not access any of the central University Services (e.g. Library, IT systems, including your University email account, or, as a student, the Sportspark and car park), unless specific permission is granted by the Director of Student Services or someone acting on their behalf (for example, to give you permission to attend a meeting or an appointment at Student Support Services or the University Medical Centre).
- 8.4. You may continue to access non-academic information, advice and guidance offered by Student Support but by telephone or email only unless prior agreement has been obtained from the Director of Student Services or someone acting on their behalf so that you can come on campus for a specific appointment.
- 8.5. You will normally be required to vacate any University Residences for which you hold a licence and, in the case of an assured tenancy agreement, the University may take legal steps to evict you.
- 8.6. Applications to Student Support Services for loans and/ or grants will not normally be considered during the period of suspension.
- 8.7. If you break the terms of a suspension from study and exclusion from University Property and Services the University may commence immediate disciplinary proceedings under Regulation 10.1.10 as a result.

9. Effect of suspension from study (SS)

- 9.1. If you have been suspended from study (but not excluded from University Property and Services) you may not attend any teaching (e.g. lecture, seminar, supervision, laboratory session etc.) or organised study event.

- 9.2. You may not submit coursework or sit examinations or course tests during the period of your suspension. Material submitted for assessment prior to the date of suspension (essays, course tests, exam scripts etc.) will be marked in accordance with usual practice, but you will not receive any award to which you may otherwise be entitled pending resolution of the reason(s) for the suspension. The mark will remain provisional and will not be confirmed by the Board of Examiners until the suspension is lifted.
- 9.3. You may continue to seek the advice of your Adviser or Senior Adviser (or, in the case of postgraduate research students, your Supervisor or School Postgraduate Research Director) and access all central Services provided to students as normal (Library, email and web facilities, Student Support, etc.).
- 9.4. If you break the terms of a suspension from study the University may commence immediate disciplinary proceedings as a result.

10. Effect of suspension/exclusion on those with Tier 4 visas

In accordance with its legal obligations, the University will notify UK Visas and Immigration within 10 working days of your Suspension from Study or Suspension from Study and Exclusion from University Property and Services that it is withdrawing sponsorship of your visa. As a result of that withdrawal of sponsorship, your permission to remain in the United Kingdom will be curtailed. You will be required to return to your home country and it will be necessary to apply for a new visa should you be permitted to return to the University.

11. Return from SS or SSEP

- 11.1. The University will tell you the period of SS or SSEP and any conditions that must be fulfilled prior to the lifting of it. Subsequent completion of the course must be within the maximum allowable timeframe, normally the duration of the course plus two years.
- 11.2. With the exception of the situations described in 7.2, 11.4 and 11.5, when the period is due to end, or the relevant conditions have been fulfilled, you must apply to return to study by making an application to the Director of Student and Academic Services (or, in the case of postgraduate research students, the Director of the Research and Innovation Division).

Guidance: With the exception of 7.2, 11.4 and 11.5, the obligation on the part of various officers of the University to monitor operation of the SS and SSEP powers does not mean you don't have to make an application: it is your responsibility to make an application to return.

- 11.3. The Director of Student and Academic Services (or, in the case of postgraduate research applicants, the Director of the Research and Innovation Division) will:

- 11.3.1. Seek the permission of the Academic Director of Taught Programmes (or, in the case of postgraduate research students, the Academic Director of Research Programmes) to readmit you. The relevant Academic Director will consider the length of time that you were suspended.
- 11.3.2. Consult with the relevant Faculty and the Director of Student Services (and, in the case of Tier 4 visa holders, the Visa Policy, Operations and Compliance Manager, on whether you have extant leave to return to study) and decide the arrangements under which any readmission should be approved.
- 11.4. If you are suspended for a finite time as a result of a disciplinary proceeding, the appropriate Learning and Teaching Service Manager or Postgraduate Research Service Officer will proactively contact you to arrange return to study, following the process for return to study after an interruption.
- 11.5. If you are suspended pending investigation and a referral to SSDC has been made, and the outcome of the SSDC proceedings is that you may return immediately to study, the appropriate Manager/Officer will proactively contact you to arrange return to study, following the process for return to study after interruption.
- 11.6. **IMPORTANT: The Regulations covering academic awards state that your studies must be completed in a specified amount of time. In some cases, the length of a suspension may mean that you run out of time to complete your studies and have to be withdrawn from the University.**

12. Withdrawal from the University

- 12.1. If you are withdrawn from the University, you are no longer a member of the University's student community and have none of the rights or privileges accorded to University students. You may not enter or use University Property other than in accordance with any rights given to any member of the public who is neither a student nor a member of staff.
- 12.2. You may be readmitted only by going through the normal admission procedures for new applicants. Any such application for admission will be considered on its merits and will include full consideration of the circumstances that led to the withdrawal decision, and the length of time that has passed since you were withdrawn. Note: If you have been Expelled, you cannot be considered for readmission for a period of at least 7 years, and only with the express approval of the Vice-Chancellor.

Guidance: You may be required to withdraw from the University as a result of disciplinary or professional misconduct proceedings resulting in Expulsion, non-attendance or progression including academic failure, UK Visas and Immigration visa requirements, or as a result of prolonged suspension including for non-payment of fees and charges.

Part F: Senate Student Discipline Committee (SSDC)

Overriding objectives

The overriding objective of this Part is to deal with proceedings fairly. This means that:

- i. Proceedings should be resolved as quickly as is consistent with due process.
- ii. That where a Participant requires reasonable adjustments under the Equality Act 2010 in order to participate, such adjustments will be made.
- iii. Where a provision of the Regulations or this Part is unclear a decision-maker should interpret them in the way most consistent with the requirements of substantive and procedural fairness to you, the student.

Definitions

Senate Student Discipline Committee (SSDC) is a committee authorised by the Senate of the University of East Anglia. It comprises a **Chair and Deputy Chair of the Senate Student Discipline Committee** and members of the Committee who are appointed by Senate from time to time. The current membership of the committee is set out in the University Calendar under 'Statutory Bodies and Committees'. The Secretary to the Committee is the Head of Learning and Teaching (Quality).

The Chair of the Senate Student Discipline Committee and the Deputy Chair have the power to make a summary determination for certain types of cases. A summary determination means that they make the decision as an individual in a shorter process. In other cases, or if they prefer to do so, they can appoint a **Panel** to hear each case referred to it.

The members of the Panel will be drawn from the **Panel Pool**. The Panel Pool comprises (a) those members of the Senate Student Discipline Committee who are academic staff as described in Statute 7 and who are not Principal Officers of the University; and (b) students who have been recruited and selected by the Student Union, the Chair of SSDC and the Head of Learning and Teaching from time to time. The Panel sits in different modes according to the nature of the allegations against you. In Professional or Research Misconduct Mode the Panel will also include two additional people.

There will be various **Participants** at the panel hearing. These are:

- you
- any **Companion** that you bring to support you at the hearing
- any other students involved in the same incident who are also being disciplined
- the Panel members
- the Hearing Secretary, who is usually a senior member of staff of the Learning and Teaching Service (or, for postgraduate research students, the Postgraduate Research Service). They do not take part in the deliberations as

they are not a member of the Panel, but they may advise on matters of procedure or the powers that the Panel has

- the representative(s) of the University who are asserting the University's case, such as the University's Disciplinary Officer or a School plagiarism officer. This person is known as the Presenter.
- any witnesses approved by the Panel Chair
- any other person whose presence the Panel Chair deems necessary to resolve the proceedings fairly, or who (with your agreement only) is there for the purpose of training.

1 Training of Panel Members

- 1.1 The Secretary to the Senate Student Discipline Committee must ensure that all members of the Panel Pool and Hearing Secretaries have been trained before sitting on a Panel for the first time and at least every two years thereafter.
- 1.2 No person may remain within the Panel Pool unless they have undertaken the training specified in 1.1 above as and when it falls due.

2 Reasonable adjustments

- 2.1 The University will apply this Part F in accordance with its [Equal Opportunities Policy for Students](#).
- 2.2 The University will also comply with its legal obligation to make reasonable adjustments under the Equality Act 2010. Reasonable adjustments are person specific but could include use of an intermediary or support worker, provision of documents in a different format, regular breaks, or adaptation in the style of questioning used.
- 2.3 You must tell the Hearing Secretary if you or your Companion or witness requires reasonable adjustments to be made because of a disability. You must do this no later than two working days before the hearing.

Guidance: Participants should contact its.ssd@uea.ac.uk.

3 Making a referral to Senate Student Discipline Committee

- 3.1 Referrals to the SSDC can be made by the Disciplinary Officer, the student's Head of School, the Director of Student and Academic Services, the Director of Student Services, or the Director of the Research and Innovation Division, or any person to whom they have delegated that task. A referral is made by completion of a referral form, to which the referrer should attach the evidence on which they wish to rely and (if possible) identify any evidence they are yet to obtain. It is important that the evidence forwarded should be as full as

possible, in order for the Chair of the Senate Student Discipline Committee to consider the appropriate route forward under paragraph 4 below, which may include Summary Determination.

- 3.2 Upon receipt of a referral, the Secretary of SSDC should write to you (the student) and tell you that the matter is now being considered by the Chair of Senate Student Discipline Committee under paragraph 4 below.

4 Powers of the Chair of the Senate Student Discipline Committee

The Chair or Deputy Chair will consider all referrals made to the Senate Student Discipline Committee and can take one or more of the following actions:

- 4.1 Return a referral with a request for further and better information to be provided within 10 working days so that the Chair can consider the matter further.
- 4.2 Determine that the issue should be dealt with under Fitness to Study in preference to a Panel hearing and require the School to commence such a process and confirm within 10 working days that it has done so.
- 4.3 Refer the matter onto or back to the Head of School or Disciplinary Officer where the Chair believes that other more appropriate procedures or steps should be used first. The Head of School or Disciplinary Officer should consider what action to take within 10 working days.
- 4.4 Where you are no longer registered as a student, determine whether the case against you should proceed, or not proceed, or be suspended, taking into account the factors listed in Part A paragraph 3 of these Procedures and Powers.
- 4.5 Determine that on the balance of probabilities there is no case to answer.
- 4.6 Determine that the case should proceed to a full Panel hearing and specify the relevant mode and select a Panel from the Panel Pool. Where the allegations comprise both academic and non-academic breaches, which the Chair decides should be heard together, the mode shall be Standard Academic Mode.
- 4.7 Where the alleged breach involves more than one student, decide whether the students should be dealt with separately or at a single hearing, or refer such a decision to the appointed Panel Chair.
- 4.8 In the case of an alleged breach or breaches of Regulation 13, proceed in accordance with paragraph 5 below.
- 4.9 In the case of an alleged breach or breaches of Regulation 18, proceed in accordance with paragraph 6 below.
- 4.10 In the case of an alleged breach or breaches of Regulations 20, proceed in accordance with paragraph 7 below.

5 Summary Determination: Regulation 13 (engagement)

- 5.1 Where it appears to the Chair of Senate Student Discipline Committee on consideration of the referral papers that there is evidence of a breach of Regulation 13, the Head of Learning and Teaching will contact you to:
 - 5.1.1 tell you what the allegations are; and
 - 5.1.2 invite you to submit a written statement and evidence that may mitigate your alleged breach;
- 5.2 If you do not respond within 10 working days of this contact, the Chair may, at their discretion, withdraw you from the University. This power does not limit the Chair's power to refer the matter to SSDC for a full hearing.
- 5.3 You may request a full hearing if you are not satisfied with the summary determination of the Chair.
- 5.4 Any appeal from a decision to withdraw a student by summary determination goes to Senate Student Discipline Appeals Committee.
- 5.5 If you respond within 10 working days the Chair may either:
 - 5.5.1 summarily determine whether a breach has, on the balance of probabilities, occurred and, if so, consider any evidence of mitigation provided and impose any penalty or penalties other than one which would have the effect of permanently expelling you from the University or otherwise causing you to be withdrawn. Any appeal from this decision goes to Senate Student Discipline Appeals Committee. Or
 - 5.5.2 refer the matter to SSDC for a full hearing, for example because the appropriate penalty or penalties may include expulsion from the University or otherwise have the effect of withdrawing you from the University.

Guidance: Summary determination means that the Chair makes a decision by themselves using a shorter, simpler, process than if the matter went to a full hearing by a Panel of SSDC.

Guidance: Where the Chair decides to refer to SSDC, the chair should not then summarily determine, on the balance of probabilities, that a breach has or has not occurred, but leave that to SSDC.

Guidance: In all cases where the Chair imposes a penalty or penalties, the Secretary must keep a careful note of the breach, the admission, any mitigation offered by the student, and the reasons for the penalty imposed.

Guidance: Where you are enrolled on a programme of study that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body, it may well be appropriate for the matter to be referred to SSDC. This is because SSDC is better placed to determine whether the breach has involved you in dishonesty. Dishonesty can be the principal concern of certain professional regulators and determine whether you will be admitted to a profession. A finding that the breach did not involve you in dishonesty may therefore facilitate you in gaining entry to the profession despite the breach, but conversely a finding of dishonesty may lead a regulator to deny entry to the profession or make entry conditional.

Guidance: However, if you are a student who is a Tier 4 visa holder, you may find that you are also in breach of the conditions of leave of your Tier 4 visa and that the University may withdraw sponsorship of your visa. Please refer to Part E paragraph 2 of these University Disciplinary and Investigative Procedures and Powers.

6 Summary determination: Regulation 18

- 6.1 Where it appears to the Chair of Senate Student Discipline Committee on consideration of the referral papers that there is evidence of a breach of Regulation 18 which, if proven, is likely to be classified as a low or medium level breach, the Chair may either
- 6.1.1 summarily determine that a breach has, on the balance of probabilities, occurred; consider any evidence of mitigation provided; and proceed thereafter to impose any penalty or penalties other than one which would have the effect of permanently expelling you from the University or otherwise causing you to be withdrawn. Any appeal from this decision goes to Senate Student Discipline Appeals Committee.
 - or
 - 6.1.2 refer the matter to SSDC for a full hearing, for example because the appropriate penalty or penalties may include expulsion from the University or otherwise have the effect of withdrawing you from the University.
- 6.2 If the Chair decides that the matter be dealt with by way of summary determination they will write to you by email and
- 6.2.1 tell you what the allegations are; and
 - 6.2.2 the penalty, if any imposed.
- 6.3 If you notify the Chair within 10 working days that you object to summary determination, the Chair will refer the matter to a full hearing by an SSDC Panel.

Guidance: Summary determination means that the Chair makes a decision by themselves using a shorter, simpler, process than if the matter went to a full hearing by a Panel of SSDC.

Guidance: Where the Chair decides to refer to SSDC, the chair should not then summarily determine, on the balance of probabilities, that a breach has or has not occurred, but leave that to SSDC.

Guidance: In all cases where the Chair imposes a penalty or penalties, the Secretary must keep a careful note of the breach, the admission, any mitigation offered by the student, and the reasons for the penalty or penalties imposed.

Guidance: Where you are enrolled on a programme of study that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body, it may well be appropriate for the matter to be referred to SSDC. This is because SSDC is better placed to determine whether the breach has involved you in dishonesty. Dishonesty can be the principal concern of certain professional regulators and determine whether you will be admitted to a profession. A finding that the breach did not involve you in dishonesty may therefore facilitate you in gaining entry to the profession despite the breach, but conversely a finding of dishonesty may lead a regulator to deny entry to the profession or make entry conditional.

Guidance: However, if you are a student who is a Tier 4 visa holder, you may find that you are also in breach of the conditions of leave of your Tier 4 visa and that the University may withdraw sponsorship of your visa. Please refer to Part E paragraph 2 of these University Disciplinary and Investigative Procedures and Powers.

7 Summary Determination: Regulation 20

7.1 Where it appears to the Chair of Senate Student Discipline Committee on consideration of the referral papers that there is evidence of a breach of Regulation 20 which, if proven, is likely to be classified as a medium level breach, the Chair may either

7.1.1 summarily determine that a breach has, on the balance of probabilities, occurred; consider any evidence of mitigation provided; and proceed thereafter to impose any penalty or penalties other than one which would have the effect of permanently expelling you from the University or otherwise causing you to be withdrawn. Any appeal from this decision goes to Senate Student Discipline Appeals Committee.

or

7.1.2 refer the matter to SSDC for a full hearing, for example because the appropriate penalty or penalties may include expulsion from the University or otherwise have the effect of withdrawing you from the University.

- 7.2 If the Chair decides that the matter be dealt with by way of summary determination they will write to you by email and
- 7.2.1 tell you what the allegations are; and
 - 7.2.2 the penalty, if any imposed.
- 7.3 If you notify the Chair within 10 working days that you object to summary determination, the Chair will refer the matter to a full hearing by an SSDC Panel.

Guidance: Summary determination means that the Chair makes a decision by themselves using a shorter, simpler, process than if the matter went to a full hearing by a Panel of SSDC.

Guidance: Where the Chair decides to refer to SSDC, the chair should not then summarily determine, on the balance of probabilities, that a breach has or has not occurred, but leave that to SSDC.

Guidance: In all cases where the Chair imposes a penalty, the Secretary must keep a careful note of the breach, the admission, any mitigation offered by the student, and the reasons for the penalty or penalties imposed.

Guidance: Where you are enrolled on a programme of study that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body, it may well be appropriate for the matter to be referred to SSDC. This is because SSDC is better placed to determine whether the breach has involved you in dishonesty. Dishonesty can be the principal concern of certain professional regulators and determine whether you will be admitted to a profession. A finding that the breach did not involve you in dishonesty may therefore facilitate you in gaining entry to the profession despite the breach, but conversely a finding of dishonesty may lead a regulator to deny entry to the profession or make entry conditional.

Guidance: However, if you are a student who is a Tier 4 visa holder, you may find that you are also in breach of the conditions of leave of your Tier 4 visa and that the University may withdraw sponsorship of your visa. Please refer to Part E paragraph 2 of these University Disciplinary and Investigative Procedures and Powers.

Full hearings of SSDC

8 Pre-hearing preparation by the University

- 8.1 The Secretary to SSDC must notify you that a referral to SSDC has been made and tell you which Regulations you are alleged to have breached and a brief outline of why/how you are alleged to have breached the Regulations.
- 8.2 The Secretary to SSDC must also notify you if the Chair of SSDC has decided that the case will be heard by a full panel hearing.
- 8.3 If a full panel hearing is being held, the Secretary to SSDC will request that the referrer provides a Presenter to present the case against the student. The Secretary will also book a room or rooms for the hearing, prepare a draft hearing pack for consideration by the Panel Chair, and seek any further information or evidence that the Panel Chair has requested in order to consider the case fairly.
- 8.4 Where the Panel hearing is to be held in Special Measures (see paragraph 24 below), the Secretary to SSDC will liaise with the Panel Chair and Hearing Secretary to implement the measures identified.
- 8.5 Nearer the hearing, the Secretary to SSDC will provide you, by email letter, with a formal summons to the hearing and you will be provided with an online shared file link to the hearing pack (see Summons, at paragraph 15 below).

Guidance: Scheduling of hearings: The University will try to schedule the hearing to avoid clashes with your timetabled academic activities. If that is not possible, the hearing will take priority.

9 Role of the Panel Chair

The Panel Chair appointed for the hearing will:

- 9.1 Review and approve the hearing pack before the hearing
- 9.2 Lead the hearing and ensure that the schedule is followed.
- 9.3 Ensure that any reasonable adjustments notified in accordance with paragraph 2 are made
- 9.4 Liaise with the Hearing Secretary to ensure the identification and implementation of any Special Measures (paragraph 23)
- 9.5 Ask any questions the Panel wish to ask the student, Presenter or witnesses during the hearing.
- 9.6 Have the final decision on the inclusion of any evidence or witnesses.
- 9.7 Approve the outcome letter written by the Secretary.

10 Composition of Disciplinary Panel

The Panel shall sit in one of three Modes: Professional or Research Misconduct Mode, Academic Mode and Non-Academic Mode.

10.1 Professional or Research Misconduct Mode

10.1.1 A Panel shall be convened in Professional or Research Misconduct Mode for cases arising under General Regulation 14 and/or 15. A Panel convened under this Mode may, in addition to considering matters relating to Regulations 14 and 15, also consider allegations and determinate penalties relating to any other Regulations that are alleged to have been breached.

10.1.2 In Professional or Research Misconduct Mode, the Panel shall comprise two non-student members of the Panel Pool, one of whom shall be appointed to act as Chair; and two non-student co-opted Panel members who do not need to be members of Senate Student Discipline Committee:

10.1.2.1 one co-opted Panel member who has expertise within the same or a similar discipline to you; and

10.1.2.2 one co-opted Panel member who is not a member of staff or officer of the University but who has expertise within the same or a similar discipline to you

10.1.3 Where you are enrolled on a programme that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body (or are already regulated by that Body), at least one of the two co-opted Panel members must be regulated by the same Body.

10.2 Academic Mode

10.2.1 All cases arising under Regulations 13 and 17–23 inclusive shall proceed in Academic Mode. A Panel convened under this Mode may, in addition to considering matters relating to Regulations 13 and 16–23, also consider allegations and determinate penalties relating to any other Regulations that are alleged to have been breached.

10.2.2 In Academic Mode, the Panel shall comprise three non-student members of the Panel Pool, one of whom shall be appointed to act as Chair.

Guidance: Where a case involves allegations of both academic and non-academic misconduct and the Chair of Senate Student Discipline Committee has decided they should be heard together (which may be appropriate in some cases, for example where there is a close causal link or common facts), then the case will be heard in Academic Mode.

10.3 *Non-Academic Mode*

All cases not arising under either Academic Mode or Professional Research Misconduct Mode shall be heard in Non-Academic Mode. The Panel shall comprise two non-student members of the Panel Pool, one of whom shall be appointed to act as Chair, and one student member of the Panel Pool.

- 10.4 A Panel must comprise the requisite constitution as set out above (10.1, 10.2 and 10.3) in order to proceed to hear a case. Where the Panel Chair determines that the composition of the Panel is incorrect, they shall adjourn the hearing and refer the matter back to the Chair of the Senate Student Discipline Committee for reallocation to a new Panel. However, where the Head of Learning and Teaching (Quality) has used their best endeavours to obtain a suitably trained student member of the Panel Pool for a scheduled hearing under Non-Academic Mode but has not been able to do so, and the hearing cannot be expeditiously rescheduled, the hearing shall proceed with three non-student Panel members.

11 **Conflicts of interest**

No person may be appointed to a particular Panel if they have knowingly taught or been the personal adviser or supervisor of a student appearing before the Panel or if they have been involved with the disciplinary proceedings at an early level, such as because they are the plagiarism officer, disciplinary officer, or fitness to practise lead who dealt with the case in question.

Guidance: Panel members must be alert to the risk not only of actual prejudice or bias but to the appearance of prejudice or bias, and should consider removing themselves from the Panel where a reasonable person may consider that there is an appearance of prejudice or bias.

12 **The evidence**

- 12.1 The Panel has the power to summons and question any person who is a member of staff, officer, or student at the University, but can only ask a member of the public to provide evidence.
- 12.2 The Panel Chair will decide at their absolute discretion:
- 12.2.1 whether or not to hear from some or all witnesses giving oral evidence in person; and/or
 - 12.2.2 whether to accept witness statements and other documents instead of or in addition to oral evidence; and/or
 - 12.2.3 whether to hear oral evidence or read a statement from a person (who is attending or not attending) about a conversation they had with a non-attending third party.

Guidance: When considering best evidence, the Panel Chair may like to consider:

- *Whether the witness and/or third party is a member of staff, officer, or student of the University or a member of the public*
- *Whether the hearing is during a University semester or outside of semesters*
- *The nature and seriousness of the allegations*
- *The nature of the evidence to be given and the degree to which it is accepted or likely to be accepted*
- *The importance of that witness's or third party's evidence*
- *Why the witness and/or third party is not proposing to attend*
- *Whether a student can adequately challenge the case against them in the absence of oral evidence and the ability to question that witness and/or third party*

13 Language

- 13.1 All documents (other than assessed work prepared for a language module) must be in English or accompanied by a certified translation into English. A certified translation is one that is made by a professional translator or translation company and which includes the credentials of the translator, confirmation from the translator that it is an accurate translation of the original document, the date of the translation, and the original signature of the translator or an authorised official of the translation company.
- 13.2 The Panel shall conduct its proceedings in English. No member of staff, student, or officer of the University shall have the use of a translator.

14 Standard of proof

- 14.1 The standard of proof is the balance of probabilities. This means that allegations must be shown to be 'more likely than not' to be true.
- 14.2 The burden of proof is upon the University (or, if you are a student at INTO UEA, INTO UEA).
- 14.3 If you have been found guilty of a criminal offence, or accepted a caution, this is at a minimum, a breach of Regulation 10.1.15 and the Panel may proceed on the basis that facts found proven within those proceedings/admissions made by you are true.

Guidance: What is the standard of proof?

The presenting officer has to prove the allegation(s) against you on what is called 'the balance of probabilities'. This means that it is 51% or more likely that you are in breach of the regulation.

So, in a plagiarism case, the panel might ask itself 'Is it more likely that the student copied these phrases than that the student came up with the same wording as a published journal article, by accident?'

*This standard is used throughout all non-criminal legal proceedings from the trivial to the life-changing. Even though the panel may instinctively want more evidence for more serious allegations, that is legally wrong, as described in the case *Re B (Children)* [2008] UKHL 35. Even if an allegation is being made that is very serious in nature (such as an allegation of sexual misconduct under Regulation 10) or has serious consequences for you or someone else (as with fitness to practise under Regulation 14), the standard is still the balance of probabilities.*

This is also why someone can be found not guilty in a criminal trial where the standard of proof is higher ('beyond reasonable doubt') but found responsible by the university using the lower 'balance of probabilities' standard.

In deciding whether something is 'more likely than not' true, the panel should take the inherent probabilities of that event/issue happening into account. This can depend upon the context. As Lady Hale says in the above case, 'Consider the famous example of the animal seen in Regent's Park. If it is seen outside the zoo on a stretch of greensward regularly used for walking dogs, then of course it is more likely to be a dog than a lion. If it is seen in the zoo next to the lions' enclosure when the door is open, then it may well be more likely to be a lion than a dog.'

There is 'no logical or necessary connection' between the seriousness of an allegation and the likelihood of it having happened. Some serious events are common; some are not.

15 Summons to the hearing**15.1 The Secretary to SSDC must give you access to**

- 15.1.1 a copy of the General Regulations and any other Statutes, Regulations, Student Charter, Codes of Practice, Rules, and Procedures that you are alleged to have breached
- 15.1.2 a copy of these University Disciplinary and Investigative Procedures and Powers
- 15.1.3 a copy of all of the documentation provided by the referrer and Presenter that will be considered by the Panel. (This is known as the 'hearing pack'.)

- 15.2 The Secretary to SSDC must tell you
- 15.2.1 the Regulation(s) that are alleged to have been breached
 - 15.2.2 the nature of the breach
 - 15.2.3 the time, place, and mode of the hearing
 - 15.2.4 whether special measures are to be used (if known)
 - 15.2.5 the identity of the Panel members
 - 15.2.6 the identity of any Presenter
 - 15.2.7 the identity of any witnesses, to the extent known
 - 15.2.8 that the Panel may proceed in your absence if you do not attend
 - 15.2.8 your ability to bring a Companion to the hearing subject to paragraph 17 below.
- 15.3 The summons will be sent to you by email
- 15.3.1 no fewer than 20 working days before the hearing in the case of a hearing under Professional or Research Misconduct mode.
 - 15.3.2 no fewer than 5 working days before the hearing in Academic or Non-Academic Mode.
- 15.4 A copy of the summons will be sent to the following:
- The Chair of SSDC
 - The Deputy Chair of SSDC
 - The Chair of the Panel
 - Your Head of School or Academic Director at INTO if on a Taught Programme or Head of the Postgraduate Research Service if a research student
 - Adviser, Supervisor or Programme Manager at INTO
 - Your School's Senior Adviser
 - Your Learning and Teaching Service Manager or your Academic Support Team at INTO (Taught programmes only)
 - Your Senior Adviser or School Director of Postgraduate Research

Guidance: Your pre-hearing preparation

Senate Student Discipline Committee has considerable powers, including the power to exclude you from the University. You should therefore prepare carefully and seriously for the hearing, gathering together all the information you want to discuss and considering all the papers provided to you. We recommend that you seek advice from the Students' Union Advice Centre.

At the hearing there are several stages and you need to be prepared for each one.

You will receive a folder of the papers relevant to the hearing, including these Procedures, the relevant Regulation(s) and any written evidence against you.

You should consider these papers carefully and make notes of any points that you want the Panel to know about. Sometimes students think that Panels automatically assume that students are guilty. That is not the case. The Panel is independent of the School or Disciplinary officer that is bringing the case and will consider the evidence on both sides carefully and fairly. You should try to help the Panel as much as possible to reach the decision that you want it to make,

You must confirm your attendance in person (if you are in the UK) or via videoconferencing (if abroad) (see paragraph 18) and whether or not you are bringing a Companion with you (see paragraph 17).

At the hearing, you will be given the opportunity to respond to what is said about the case. However, you also have the right to submit a statement prior to the hearing if you want to do so, setting out your position. You can also submit evidence in support of your defence if you want to do so. Please see paragraph 16 below.

Please note that all evidence must be in English or accompanied by a certified translation: see paragraph 13 above.

If you want to call a witness or witnesses, you must notify the Hearing Secretary about who they are and why you want to call them as a witness. The Panel Chair will decide whether you can call each person. Any witness must be able to provide evidence that is relevant to the alleged breach(es) and/or any mitigating circumstances.

If the Panel decides that you have breached the Regulation(s) then it will want to hear from you about whether there are any circumstances that would explain or mitigate why you breached the Regulation(s). If you believe that there are mitigating circumstances that you wish to bring to the Panel's attention if found guilty of a breach of the Regulations, you should ensure that you tell the Panel about those circumstances and provide evidence in support, such as a doctor's report or death certificate.

You should ensure that you have submitted evidence no later than two working days before the hearing to the Hearing Secretary. While the Panel will consider whether there are any mitigating circumstances and listen to what you say about that, it may take the view that the breach is of a nature that cannot be mitigated

You cannot appeal to the Senate Student Discipline Appeals Committee on the ground that you did not tell the Panel about mitigating circumstances unless you could not reasonably have obtained that evidence for this hearing, or where you are unable to prove the truth of those circumstances on the balance of probabilities. If there is important evidence that you cannot get in time for the hearing, you should ask the Secretary to SSDC about an adjournment (delaying the hearing).

16 Evidence submitted by you

- 16.1 You may (if you wish) submit a statement setting out your position and/or submit evidence in support of your defence. These documents should be sent to the Hearing Secretary no later than two working days before the hearing.
- 16.2 Your statement will be put into the hearing pack. The Panel Chair will consider any evidence that you submit under paragraph 16.1 above and will decide whether it is relevant. If the Panel Chair believes the evidence to be relevant, they will also ensure that this is added to the hearing pack.
- 16.3 You may bring a witness or witnesses to the hearing. If you want to do this you must notify the Hearing Secretary no less than two working days before the hearing of the identity of any witnesses that you want to bring and why you want to bring them. Any witness must be able to provide evidence that is relevant to the alleged breach(es) and/or any mitigating circumstances. The Panel Chair will decide whether you can call each person. If you are allowed to bring them, you are responsible for notifying them of the date, time, and location of the hearing.

Guidance: Send your statement and/or evidence and/or witness information to its.ssdcc@uea.ac.uk.

17 Bringing a Companion to the hearing

- 17.1 You have the right to be accompanied by one Companion, whose role is to offer you support. The Companion must have no connection with the allegations and therefore no material interest in the matter.
- 17.2 You must tell the Hearing Secretary no later than two working days before the hearing of the identity and status (for example Student Union Adviser or fellow student) of the Companion. If you do not tell the Hearing Secretary within this timescale, the Panel Chair may decide that you are not allowed to bring a Companion at all.
- 17.3 The Companion may present the case on your behalf and help and support you. However, they cannot answer questions on your behalf, or attend the hearing in your absence.
- 17.4 It is your responsibility to tell your Companion about the date, time, and location of the hearing. If your Companion does not attend the hearing, the hearing may proceed in their absence.
- 17.5 Your Companion may be excluded from the hearing if they are so disruptive as to impede the conduct of the hearing. In such a case, the Panel Chair will decide whether or not to continue with the hearing even though your Companion has been excluded.

Guidance: Members of the Student Union Advice Centre are available to act as Your Companion on your request. You must notify the Hearing Secretary of the identity and status of any Companion by emailing its.ssdcc@uea.ac.uk.

18 Attending the hearing

- 18.1 The hearing will be held in closed session, which means that only Participants can attend the hearing.
- 18.2 You must attend the hearing if you are present in the UK, unless you have been told you must not come onto campus (see paragraph 18.4 below). It is a separate disciplinary offence to fail to attend a disciplinary hearing when summoned to do so (a breach of General Regulation 13). It may also severely harm your case, in that the Panel will not be able to gain a direct impression of you or hear your perspective first-hand. If you do not attend, the Panel may proceed anyway.
- 18.3 If you are no longer in the UK, you may, by prior arrangement, use an agreed videoconferencing facility to call into the hearing. It is your responsibility to ensure that you are contactable at the given time.
- 18.4 Even if you are in the UK, the University may decide to require you to use a videoconferencing facility instead of physically attending campus if it believes that there may be a risk to you or to others if you come onto campus. A decision to hold a hearing by videoconferencing for this reason is a precautionary measure and does not indicate that the University has concluded that you have committed a breach of the Regulations or a criminal offence.

Guidance: For adjournments, see paragraphs 22 and 23.

19. What happens at the hearing

- 19.1 The procedure at the hearing will usually include the following elements in the following order. However, the Panel Chair has the power to vary the structure and content of the hearing (for example because there are other students being heard at the same time, or a change is needed as a reasonable adjustment).
- 19.2 The Hearing Secretary should remind the Panel Chair what reasonable adjustments or special measures are in place for the hearing.
- 19.3 If you have not attended in person or by an agreed videoconferencing facility, the Panel will decide whether to proceed with the hearing or adjourn it.
- 19.4 If the hearing proceeds, the Hearing Secretary will invite you and other Participants (other than witnesses) into the room or rooms. The Panel Chair will introduce themselves and ask the other Participants to introduce themselves and in what capacity they are there. The witnesses will stay outside the hearing room(s) until the Hearing Secretary calls them to give evidence.
- 19.5 The Hearing Secretary will then briefly state what Regulations it is alleged that you have breached, and how. You will be asked whether or not you admit the allegation(s).

- 19.6 The Panel Chair will invite the person presenting the case against you to outline the allegations and the evidence in the case. It is not always necessary for there to be a Presenter if the documents are clear. The Presenter may call witnesses to support the allegations. You (or your Companion) will have the opportunity to ask questions of the Presenter (if any) and to challenge their evidence.
- 19.7 You (and/or your Companion) must then respond to the allegations. You must also answer any questions from the Panel and the person presenting the case, and your Companion cannot answer questions on your behalf. You may also call your witnesses to support your defence.
- 19.8 The Panel may also call any witnesses not called by another party.
- 19.9 You (or your Companion) and the Presenter will have the opportunity to question any witnesses, as will the Panel, regardless of who has called those witnesses. The Panel Chair may not permit questions that are irrelevant to the issues and/or only have the purpose of being vexatious (deliberately rude or upsetting).
- 19.10 If you have a Companion with you, and you wish to speak to them privately at any time, you should ask the Panel Chair to pause the hearing, so you can step outside. If at any time you need a short break to gather your thoughts, you should also ask the Panel Chair. The Panel Chair will try to accommodate these requests.
- 19.11 The Presenter will be given the opportunity to make a closing statement. They can also outline what penalty or penalties they are seeking in the event that you are found guilty of a disciplinary offence.
- 19.12 You (or your Companion) will also have the opportunity to make a closing statement. You should use this opportunity to (a) summarise your defence (if any) and (b) to make the Panel aware of any mitigating circumstances that exist. Mitigating circumstances will only be relevant if the Panel finds you guilty of an offence.
- 19.13 You may wish to raise issues of mitigation which are of a private nature. In this situation, you can ask to speak to the Presenter, the Panel and the Panel Secretary in the absence of anyone else. However, in order to be fair to everybody, if what you say is relevant to another Participant (for example that you blame another student for the situation) then the Panel Chair will need to invite that person back into the room and tell that person what you have said. However, it should not be necessary to tell them things like health or personal problems. Any mitigation that you offer may be included in the outcome letter and seen by others who are sent that letter.
- 19.14 The Panel Chair should then ask you whether there is anything in particular that you think that the Panel should look at or anything you want to the Panel to know that hasn't been considered.
- 19.15 The Panel will then end the hearing and ask you, the Presenter, and any witnesses to leave.

- 19.16 The Panel will confer among themselves and decide whether the allegations against you are proven on the balance of probabilities.
- 19.17 If the allegations are proven, then the Panel will decide
 - 19.17.1 on the balance of probability, whether you have been dishonest (see paragraph 20)
 - 19.17.2 what penalty or penalties should be applied for the proven breach(es).
- 19.18 In making this determination, the Panel will consider
 - 19.18.1 whether there are any mitigating factors that you or the Presenter have raised but may take the view that the breach is of a nature that cannot be mitigated.
 - 19.18.2 written details of any prior proven breaches dealt with under these University Disciplinary and Investigative Procedures and Powers or previous Disciplinary Procedures.
 - 19.18.3 what weight it would be fair to give to uncorroborated, challenged, evidence that was given other than by oral evidence at the hearing.
 - 19.18.4 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 or penalties under these Procedures.

20. Findings of dishonesty

Where possible, the Panel should determine whether any proven breach, or your defence, has involved you in dishonesty. Such dishonesty could relate to the breach itself or to the way in which you have responded to the investigation or determination.

Guidance: Dishonesty can be the principal concern of certain Professional, Statutory and Regulatory Bodies and it is important that we record at this time whether a proven breach or defence is dishonest so that this finding can be provided to the relevant professional regulator if required in accordance with Part A paragraph 2 (confidentiality). If the outcome letter is silent on this, it can be unhelpful to both the regulator and (if you seek admission to a regulated profession) you.

Note that simply making the University prove its case on the balance of probabilities does not by itself mean you are being dishonest – whereas a positive assertion of a false defence may be dishonest.

21. Remitting a case back to the Committee Chair

- 21.1 Where the Panel Chair believes that the hearing should not proceed (or, if commenced, continue) because

- 21.1.1 evidence (or a witness) is missing or unavailable and that evidence is necessary to resolve the case fairly; and/or
- 21.1.2 there is strong reason to believe that you have not received the summons and are not deliberately avoiding the summons; and/or
- 21.1.3 you present at the hearing with serious mental or physical health issues that affects your ability to respond to the allegations such that it would be unfair to continue at the present time; and/or
- 21.1.4 you have requested an adjournment and have very strong reasons for making that request; and/or
- 21.1.5 there is another very substantial reason for not proceeding on that occasion

the hearing shall be remitted back to the Chair of Senate Student Discipline Committee.

- 21.2 The Chair of Senate Student Discipline Committee should then consider the matter afresh under the provisions of paragraph 4. They are free to refer the matter to the same or a differently composed panel of SSDC but may alternatively choose another option outlined in paragraph 4.

22. Part-heard hearings

- 22.1 A Panel Chair has the power to bring a hearing to a halt and to adjourn the rest of the hearing for a period not exceeding 10 working days without giving any reason for this adjournment.
- 22.2 A Panel Chair has the power to bring a hearing to a halt and to adjourn the rest of the hearing for a period not exceeding 20 working days where the purpose of the adjournment is to enable you to obtain a report from a licensed psychiatrist or alternative appropriately qualified medical practitioner in response to questions identified by the Panel and such a delay is necessary to dispose of the case fairly.
- 22.3 A hearing above must be resumed using the same Panel as heard the matter prior to the adjournment.

23. Designation of a proceeding as requiring special measures

- 23.1 The Chair of SSDC or their nominated representative shall determine whether a hearing requires the implementation of Special Measures, taking into account the preference of the student Participants and the need for procedural and substantive fairness.
- 23.2 The Panel shall proceed as Academic Mode (Special Measures), or Non-Academic Mode (Special Measures), or Professional or Research Misconduct Mode (Special Measures) if

- 23.2.1 a Participant is aged under 18; and/or
 - 23.2.2 the case involves an alleged breach of the Policy on Student Harassment and Sexual or Physical Misconduct and a Participant is an alleged victim of such misconduct who does not object to Special Measures; and/or
 - 23.2.3 a witness other than you will give evidence only if Special Measures are provided.
- 23.3 The purpose of these special measures is to enable an alleged victim to give the best quality evidence that they can so that the Panel can make an accurate determination of whether or not a disciplinary offence has been committed. The existence of special measures does not in any way indicate that the allegations are true, as this is for the Panel to determine after hearing the evidence; nor does it deflect from the need for careful due process.

Guidance: Special Measures are different to Reasonable Adjustments for a disability, which should be considered a routine part of the preparation and conduct of a hearing in any Mode.

24. Conduct of proceedings in Special Measures

A hearing in Special Measures may involve the implementation of a number of measures that are designed to assist a Participant in providing the best quality evidence that they can. These measures will be situation specific but may include:

- 24.1 use of more than one hearing room, with a Participant giving evidence by an agreed videoconferencing facility or listening to evidence by an agreed videoconferencing facility; and/or
- 24.2 All questions to a witness being directed via the Hearing Chair, who will relay questions appropriately put; and/or
- 24.3 use of a screen to separate a Participant from another Participant or Participants, other than the Panel; and/or
- 24.4 use of an appropriately qualified or experienced support worker by a Participant (who is in addition to any Companion); and/or
- 24.4 regular breaks.

25 Notification of outcome to student

- 25.1 The Hearing Secretary will normally notify you by email of the outcome within 5 working days and the reasons for the Panel's decision. This emailed letter may also be copied to:
 - the Presenter, if any
 - the Panel Chair, who will have approved the letter

- those involved in the management or administration of the proceedings, such as the Secretary to the Committee (the University's Head of Learning and Teaching (Quality)) and staff within the University's Student and Academic Services division
 - those responsible for you (such as your Head of School, adviser or supervisor, and (where relevant) the Fitness to Practise Lead and/or Degree Apprenticeship Partner and/or employer.
- 25.2 As stated in Part A paragraph 2 in some circumstances it may be necessary, now or in the future, to provide that information to other organisations.
- 25.3 In the case of a new suspension or expulsion, the Panel Secretary will also notify Student Records of the fact of the suspension or expulsion. Where you are a Tier 4 visa holder, the Panel Secretary will also notify the University's Visa Policy, Operations and Compliance Manager

26 Post-hearing actions by Learning and Teaching Service

- 26.1 Upon receipt of an outcome letter, the relevant Learning and Teaching Service Manager must action any academic penalty such as referral to reassessment. In the case of suspension, the Manager should action any suspension not already actioned by the Vice-Chancellor and record when any suspension must be lifted and you can return to study. Further information can be found in Part E.
- 26.2 The Learning and Teaching Service Manager should notify all of your Module Organisers about the suspension, that if you attend one of their classes they should ask you to leave, and if you refuse to leave they should call security.

27 Post-hearing actions by the Postgraduate Research Service

- 27.1 Upon receipt of an outcome letter, the relevant Postgraduate Research Service Manager must action any academic penalty such as referral to reassessment. In the case of suspension, the Manager should action any suspension not already actioned by the Vice-Chancellor and record when any suspension must be lifted and you can return to study. Further information can be found in Part F.
- 27.2 The Postgraduate Research Service Manager should notify your supervisory team and Faculty Training Coordinator about the suspension. You will not be able to attend supervisory meetings or training sessions during the period of suspension.

28 Post-hearing actions by the students Head of School (Regulation 14 only)

If a Panel finds you to be in breach of Regulation 14, your Head of School will decide whether the University should make a report to the relevant Professional, Statutory and Regulatory Body. In doing so, the Head must bear in mind the requirements of Part A paragraph 2.

Part G: Penalties

These Penalties are divided into Powers (the penalties that can be applied) and Guidelines to assist the decision-maker.

Overriding objective

All penalties must:

- have an effect on the student that is proportional to the offence; and
- Be consistent with penalties imposed in genuinely similar cases.

Status of the penalty guidelines

While the guidelines are intended to assist decision-makers in determining the appropriate penalty or penalties for a breach, it is not possible or desirable to capture all the circumstances that may affect the commission of an offence and the different levels of seriousness or culpability and decision-makers, therefore, have a high degree of discretion subject only to review in accordance with the Appeal procedure in Part H and any statutory or judicial body.

Definitions

Expulsion (to **expel**) means your expulsion from the University for a period of at least 7 years following which the University will consider any application for readmission only with the express approval of the Vice-Chancellor. (It is therefore different to exclusion, which in these University Disciplinary and Investigative Procedures and Powers is used for a type of suspension involving removal of access to University Property and services).

1. Non-academic penalties

That can be imposed by the Student Life Manager, Deputy Accommodation Manager or University Disciplinary Officer for low and medium level non-academic misconduct

- 1.1. Issue a warning for low or medium level misconduct
- 1.2. Place a restriction on your privilege to have guests visiting in University Residences
- 1.3. Require you to undertake formative relevant training such as the online module on sexual consent, Consent Matters, or fire safety training
- 1.4. Require you to write a formal letter of apology to a specified person or persons
- 1.5. Prohibit you from contacting a specified person or persons either at all or save in respect of specified matters
- 1.6. Require you to attend and/or engage with specified internal or external agencies.
- 1.7. Require you to move to an alternative University Residence (not available where you hold an assured shorthold tenancy)
- 1.8. Terminate any licence to occupy University Residences
- 1.9. In the event of damage to persons or property or University Property, require that such damage be made good at your expense either by yourself or jointly and/or severally with other students.
- 1.10. Impose a fine not to exceed £150

That can be imposed by the University Disciplinary Officer for non-academic misconduct

The University Disciplinary Officer may apply one or more of the following penalties where they find a student in breach of a regulation or regulations and have decided not to refer the matter to Senate Student Discipline Committee:

- 1.11. Place a restriction on your privilege to have guests visiting in University Residences
- 1.12. Require you to undertake formative relevant training such as the online module on sexual consent, Consent Matters, or fire safety training
- 1.13. Require you to write a formal letter of apology to a specified person or persons
- 1.14. Prohibit you from contacting a specified person or persons either at all or save in respect of specified matters
- 1.15. Require you to attend and/or engage with specified internal or external agencies.
- 1.16. Require you to move to an alternative University Residence (not available where you hold an assured shorthold tenancy)

- 1.17. In the event of damage to persons or property or University Property, require that such damage be made good at your expense either by yourself or jointly and/or severally with other students.
- 1.18. Require you to engage in reparative or community service activities commensurate with the nature of your breach.
- 1.19. Require you to write an essay or reflective account on a topic determined by the Disciplinary Officer
- 1.20. Impose a fine not to exceed £500
- 1.21. Terminate any licence to occupy University Residences.
- 1.22. Seek a court order to terminate any assured shorthold tenancy in respect of University Residences (this penalty should only be used where the breach relates to the terms of the tenancy).

That can be imposed by a Panel of Senate Student Discipline Committee for non-academic misconduct

A Panel may apply one or more of the following penalties where it finds a student in breach of a regulation or regulations:

- 1.23. Place a restriction on your privilege to have guests visiting in University Residences;
- 1.24. Require you to undertake formative relevant training such as the online module on sexual consent, Consent Matters, or fire safety training;
- 1.25. Require you to write a formal letter of apology to a specified person or persons;
- 1.26. Prohibit you from contacting a specified person or persons either at all or save in respect of specified matters;
- 1.27. Require you to attend and/or engage with specified internal or external agencies.
- 1.28. Require you to move to an alternative University Residence (not available where you hold an assured shorthold tenancy);
- 1.29. In the event of damage to persons or property or University Property, require that such damage be made good at your expense either by yourself or jointly and/or severally with other students;
- 1.30. Require you to engage in reparative or community service activities commensurate with the nature of your breach;
- 1.31. Require you to write an essay or reflective account on a topic determined by the Panel;
- 1.32. Impose a fine not to exceed £1,000;
- 1.33. Terminate any licence to occupy University Residences;
- 1.34. Seek a court order to terminate any assured shorthold tenancy in respect of University Residence (this penalty should only be used where the breach relates to the terms of the tenancy);

- 1.35. Temporarily suspend you from Study and University Property (SSEP) or less commonly from Study only (SS);
- 1.36. Temporarily or permanently exclude you from specified University activities or from certain areas of campus;
- 1.37. Expel you from the University;
- 1.38. Impose an alternative or additional penalty of its choosing save that where the penalty or exemption requires or implies a concession under the Regulations governing the award of degrees, diplomas, or certificates, approval should first be sought from the Academic Director of Taught Programmes or the Academic Director of Research Degrees, as appropriate.

2. Academic penalties

Penalties that can be imposed by a Panel of Senate Student Discipline Committee (or the Chair or Deputy Chair exercising their powers of summary determination) for cases involving breach of a regulation relating to academic and professional integrity other than professional or research misconduct

A panel may apply one or more of the following penalties where it finds you in breach of a regulation or regulations:

- 2.1. Determine that a mark of zero should be recorded for the whole or part of the work submitted by you for assessment and either refer you to reassessment or decide that you should not be permitted to reassess which may mean that you are required to withdraw from the University;
- 2.2. Temporarily suspend you from study and University Property (SSEP);
- 2.3. Expel you from the University;
- 2.4. Impose an alternative or additional penalty of its choosing save that where the penalty or exemption requires or implies a concession under the Regulations governing the award of degrees, diplomas, or certificates, approval should first be sought from the Academic Director of Taught Programmes or the Academic Director of Research Degrees, as appropriate;
- 2.5. Subject to the penalty guidelines below, the Panel may wish to consider the following alternative or additional penalties:
 - Requiring you to undertake formative relevant training such as the online module on sexual consent, Consent Matters, or fire safety training;
 - Requiring you to write a formal letter of apology to a specified person or persons;
 - Requiring you to attend and/or engage with specified internal or external agencies;
 - Require you to write an essay or reflective account on a topic determined by the Panel, such as the need for academic integrity;

Guidance: In the case of a core module, a decision not to send the student to reassessment in a failed module means that the student cannot progress and will be withdrawn. Panels must ensure that such an outcome is a proportionate response.

3. **Penalty guidelines: Breaches of Regulation 13 (attendance, engagement, and progress)**

Guidance: Where a Panel of SSDC has determined that you have breached Regulation 13, and you have received a first and second formal warning, the usual penalty is expulsion from the University.

4. **Penalty guidelines: Breaches of Regulation 18 (plagiarism or collusion)**

Penalties	Mitigating and aggravating factors that affect the starting point can include:
<p><i>For a first offence under Regulation 18 (but not involving the purchase of assessed work)</i></p> <p><i>For a first offence of sufficient severity to merit referral to SSDC, the normal starting point penalty will be temporary suspension (SSEP) from the University for not less than one semester and a mark of zero in the relevant assessment component.</i></p> <p><i>Where there are mitigating factors and the Panel considers that the starting point is too severe, or when the mark of zero would have the consequence of the student being withdrawn from the University for academic failure (e.g. on a core module) and the Panel considers this excessive, the Panel may impose another Penalty or suspend the application of a suspension.</i></p> <p><i>Where there are aggravating factors and the Panel considers that the starting point is insufficiently severe, the Panel should consider whether a longer period of suspension is appropriate or whether</i></p>	<p><i>Mitigating:</i></p> <ul style="list-style-type: none"> <i>• Your experience is limited (you are in your first semester of a higher education course in the UK)</i> <i>• There is no evidence that other Regulations have been breached by you</i> <i>• You accepted your guilt early and have shown remorse</i> <i>• You are suffering from an illness or other medical condition affecting your judgement or exacerbating the effect of any penalty imposed</i> <i>• At the time you were experiencing family or relationship problems affecting your judgment</i> <i>• You have felt under duress</i> <p><i>Aggravating:</i></p> <ul style="list-style-type: none"> <i>• You intended to cheat</i> <i>• You are not in your first semester of a higher education course in the UK</i> <i>• You have not accepted guilt or shown remorse, or such acceptance/remorse came late in the process</i> <i>• There is evidence that you have breached other Regulations</i>

<p><i>expulsion from the University is appropriate.</i></p>	
<p>For a second offence under Regulation 18 (but not involving the purchase of assessed work)</p> <p><i>For a second offence of sufficient severity to merit referral to SSDC, the normal starting point penalty will be temporary suspension (SSEP) from the University for not less than two semesters and a mark of zero in the relevant assessment component.</i></p> <p><i>Where there are mitigating factors and the Panel considers that the starting point is too severe, or when the mark of zero would have the consequence of the student being withdrawn from the University for academic failure (e.g. on a core module) and the Panel considers this excessive, the Panel may impose another Penalty or suspend the application of a suspension.</i></p> <p><i>Where there are aggravating factors and the Panel considers that the starting point is insufficiently severe, the Panel should consider whether expulsion from the University is appropriate.</i></p>	<p>Mitigating:</p> <ul style="list-style-type: none"> <i>• There is no evidence that other Regulations have been breached by you</i> <i>• You accepted your guilt early and have shown remorse</i> <i>• You are suffering from an illness or other medical condition affecting your judgment or exacerbating the effect of any penalty imposed</i> <i>• You were experiencing family or relationship problems affecting your judgment</i> <i>• You have felt under duress</i> <p>Aggravating:</p> <ul style="list-style-type: none"> <i>• You intended to cheat</i> <i>• You are not in your first semester of a higher education course in the UK</i> <i>• You have not accepted guilt or shown remorse, or such acceptance/remorse came late in the process</i> <i>• There is evidence that you have breached other Regulations</i> <p><i>The fact of a previous offence under Regulation 18 is not a mitigating or aggravating factor as it creates the starting point.</i></p>
<p>For a third offence under Regulation 18 or where the offence involves the purchase or commission of assessed work</p> <p><i>For a third offence of sufficient severity to merit referral to SSDC, or for the purchase or commission of assessed work, the normal starting point penalty will be expulsion from the University and a mark of zero in the relevant assessment component.</i></p> <p><i>Where there are mitigating factors and the Panel considers that the starting point is too severe, the Panel may</i></p>	<p>Mitigating:</p> <ul style="list-style-type: none"> <i>• There is no evidence that other Regulations have been breached by you</i> <i>• You accepted your guilt early and have shown remorse</i> <i>• You are suffering from an illness or other medical condition affecting your judgment or exacerbating the effect of any penalty imposed</i> <i>• You were experiencing family or relationship problems affecting your judgment</i> <i>• You have felt under duress</i>

<p><i>impose another Penalty or suspend the application of expulsion. However, where the offence involves the purchase of assessed work, mitigation would not normally reduce the penalty below the starting point of expulsion.</i></p>	<ul style="list-style-type: none"> • <i>Experience of student is limited (purchased work only: if the student is in this category because they have committed a third offence, they are to be considered an experienced student).</i> <p><i>Aggravating:</i></p> <ul style="list-style-type: none"> • <i>You intended to cheat</i> • <i>You are not in your first semester of a higher education course in the UK</i> • <i>You have not accepted guilt or shown remorse, or such acceptance/remorse came late in the process</i> • <i>There is evidence that you have breached other Regulations</i>
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5. Penalty guidelines: Breaches of Regulation 20 (misconduct in examinations and course tests)

<i>Penalties to be considered once starting point determined:</i>	<i>Mitigating and aggravating factors that affect the starting point can include:</i>
<p><i>For a medium level offence under Regulations 20</i></p> <p><i>The normal starting point penalty will be a mark of zero in the relevant assessment component.</i></p> <p><i>Where there are mitigating factors and the Panel considers that the starting point is too severe, or when the mark of zero would have the consequence of the student being withdrawn from the University for academic failure (e.g. on a core module) the Panel may impose another Penalty.</i></p> <p><i>Where there are aggravating factors and the Panel considers that the starting point is insufficiently severe, the Panel should consider whether a period of suspension is appropriate or whether expulsion from the University is appropriate.</i></p>	<p><i>The factors set out above in the classification table have determined that this is a medium level offence and given us the starting point, so should not be considered as relevant to mitigating or aggravating that starting point.</i></p> <p><i>Consider other factors:</i></p> <p><i>Mitigating:</i></p> <ul style="list-style-type: none"> • <i>No evidence that other Regulations have been breached</i> • <i>Early acceptance of guilt or remorse</i> • <i>Illness or other medical condition affecting the student's judgment or exacerbating the effect of any penalty imposed</i> • <i>Family or relationship problems affecting the student's judgment</i> • <i>You have felt under duress</i> <p><i>Aggravating:</i></p> <ul style="list-style-type: none"> • <i>Failure to accept guilt in a timely manner</i>

	<ul style="list-style-type: none"> • <i>Evidence of a breach of other Regulations</i>
<p><i>For a high level offence under Regulations 20</i></p> <p><i>The normal starting point penalty will be temporary suspension (SSEP) from the University for not less than one semester and a mark of zero in the relevant assessment component.</i></p> <p><i>Where there are mitigating factors and the Panel considers that the starting point is too severe, or when the mark of zero would have the consequence of the student being withdrawn from the University for academic failure (e.g. on a core module) and the Panel considers this excessive, the Panel may impose another Penalty or suspend the application of a suspension.</i></p> <p><i>Where there are aggravating factors and the Panel considers that the starting point is insufficiently severe, the Panel should consider whether expulsion from the University is appropriate.</i></p> <p><i>Where there is a severely aggravating factor, the normal penalty is expulsion from the University.</i></p>	<p><i>The factors set out above in the classification table have determined that this is a high level offence and given us the starting point, so should not be considered as relevant to mitigating or aggravating that starting point.</i></p> <p><i>Consider other factors:</i></p> <p><i>Mitigating:</i></p> <ul style="list-style-type: none"> • <i>Early acceptance of guilt or remorse</i> • <i>Illness or other medical condition affecting the student's judgment or exacerbating the effect of any penalty imposed</i> • <i>Family or relationship problems affecting the student's judgment or exacerbating the effect of any penalty imposed</i> • <i>Duress or undue pressure</i> <p><i>Aggravating:</i></p> <ul style="list-style-type: none"> • <i>Intentionality</i> • <i>Failure to accept guilt</i> • <i>Evidence of a breach of other Regulations</i> • <i>This incident was one of several breaches on the same occasion (e.g. has notes and has dictionary pen at same exam)</i> <p><i>Severely aggravating:</i></p> <ul style="list-style-type: none"> • <i>A previous finding of medium or high level breach of Regulation 20</i> <p><i>As a general rule, no distinction should be drawn between misconduct in an examination and misconduct in a course test. However, the SSDC Panel should take into account the full context and circumstances in which the course test was taken and in particular whether the full procedures governing the invigilation of examinations was followed.</i></p>

6. Penalty Guidelines: Breaches of Regulation 14 (professional misconduct and/or suitability/fitness to practice) and 15 (misconduct in research and research ethics)

6.1 A panel may apply one or more of the following penalties where it finds a student in breach of Regulation 14 (professional misconduct or unsuitability/fitness to practise) and/or 15 (misconduct in research or research ethics):

- Require you to undertake formative relevant training
- Require you to write a formal letter of apology to a specified person or persons
- Prohibit you from contacting a specified person or persons either at all or save in respect of specified matters
- Require you to attend and/or engage with specified internal or external agencies.
- Determine that a mark of zero should be recorded for the whole or part of the work submitted by you for assessment and either refer you to reassessment or not do so
- Require you to write an essay or reflective account on a topic determined by the Panel, such as the need for academic integrity
- Temporarily suspend you from study and University Property (SSEP) or less commonly from study only (SS)
- Temporarily or permanently exclude you from specified University activities or from certain areas of campus
- Expel you from the University
- Impose an alternative or additional penalty of its choosing save that where the penalty or exemption requires or implies a concession under the Regulations governing the award of degrees, diplomas, or certificates, approval should first be sought from the Academic Director of Taught Programmes or the Director of Research Degrees, as appropriate.

6.2 In determining the appropriate penalty for breaches of Regulation 15 (misconduct in research and research ethics), the following factors shall be taken into account:

- Your level and experience
- The nature and extent of your misconduct
- The extent to which you intended the misconduct and the extent to which the offence was premeditated
- Your previous record
- Whether the offence exposed others to actual or potential risk of harm and, if so, the nature and severity of that risk.
- The nature of the award (qualification) to which the misconduct relates
- Early acceptance of guilt or remorse
- Illness or other medical condition affecting your judgement or exacerbating the effect of any penalty imposed
- Family or relationship problems affecting your judgement or exacerbating the effect of any penalty imposed
- Duress or undue pressure

Part H: Appeals

Overriding objectives

The overriding objective of this Part is to deal with proceedings fairly. This means that:

- i. Proceedings should be resolved as quickly as is consistent with due process.
- ii. That where a Participant requires reasonable adjustments under the Equality Act 2010 in order to participate, such adjustments will be made.
- iii. Where a provision of the Regulations or these Procedures is unclear a decision-maker should interpret them in the way most consistent with the requirements of substantive and procedural fairness to you, the student.

Appeals against a decision of the University Disciplinary Officer, Student Life Manager, or Deputy Accommodation Manager

1. Outline

The Appeals Procedure comprises two parts:

Stage One, in which the Director of Student Services considers the appeal against a decision made by the University Disciplinary Officer, Student Life Manager, or Deputy Accommodation Manager, and

Stage Two, which you may follow if dissatisfied with the outcome of the Stage One Appeal. Stage Two Appeals are considered by the Director of Student and Academic Services (who is not the same person as the Director of Student Services) who may refer the appeal for further investigation.

2. How to appeal

- 2.1. You must complete a Stage One Non-Academic Student Discipline Appeal form and in that form you will need to state:
 - 2.1.1. whether you are appealing against the decision that you have breached the Regulations or the penalty or both
 - 2.1.2. the ground(s) of your appeal.
- 2.2. You will need to attach to your form your evidence in support of your appeal.
- 2.3. You are deemed to have received the notification of the decision of the University Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager within two working days of it being sent to you by email. You must file any appeal against the decision within five working days of the receipt of the notification of the decision i.e. within seven working days of us sending you the notification.

- 2.4 The University will not consider any appeal until you have been sent formal written notice of the outcome of the hearing.

Guidance: Forms are available on the LTS Forms webpage within MyUEA

3. Grounds for appeal (stage one appeals)

- 3.1. You cannot appeal against a decision to refer a case to the Senate Student Discipline Committee or a decision to classify the offence as low, medium, or high for the purposes of allocating the case to a decision-maker.
- 3.2. If you decide to appeal, you must tell us whether the appeal is made against the finding of the University Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager, or the penalty imposed, or both.
- 3.3. An appeal will only be considered if one or more of the following grounds is demonstrated:
- 3.3.1. that evidence (including any mitigation) put to the University Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager was not fully considered
 - 3.3.2. the correct procedure was not followed and this is sufficient to undermine the validity of the decision
 - 3.3.3. that there was prejudice and/or bias or the appearance of prejudice and/or bias on the part of the Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager
 - 3.3.4. that the penalty or penalties imposed were excessive
 - 3.3.5. that there is new information that should be considered that was not known to the Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager and you could not reasonably have obtained that evidence at the time that they made their decision.

Guidance: You should provide as much information as possible about the ground(s) on which you are relying. For example, if you say that evidence put to the University Disciplinary Officer was not fully considered, you will need to explain what evidence and in what way you say it was not fully considered. If there is new information, you will need to say what information and why you could not reasonably have obtained that evidence before. We strongly recommend that you seek advice from the Student Union Advice Centre.

4. The appeal process (stage one appeals)

- 4.1. The Director of Student Services is responsible for responding to an appeal. If the Director of Student Services 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 Director of

Student and Academic Services (who is not the same person as the Director of Student Services). Notwithstanding this provision, for ease of reference the person responsible for responding to the Appeal will be called the Director of Student Services in this Procedure.

- 4.2. The Director of Student Services must consider all of the evidence previously submitted to the University Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager and your appeal form and supporting evidence. No evidence submitted can be anonymous.
- 4.3. The Director will determine whether there is evidence that satisfies one of the grounds set out at paragraph 3.3. The Director may ask another member of Student Services to investigate this for the Director, as long as that person has not previously been involved in the case.

5. Appeal outcomes (stage one appeals)

- 5.1. The investigation having been completed, the Director of Student Services will decide whether:
 - 5.1.1. to uphold the decision and penalty
 - 5.1.2. to uphold the decision but substitute a lower penalty
 - 5.1.3. reject the appeal.
- 5.2. If your appeal is rejected and you are unhappy about that then you may have grounds to start a Stage Two Appeal (paragraph 6 below).
- 5.3. The decision of the Director of Student Services and the reason(s) for it will be communicated to you by email letter. If you want to meet with the Director so that the Director can explain their decision to you then you should request that.

Stage two appeals

6. How to appeal (stage two appeals)

- 6.1. You must complete a Stage Two Non-Academic Student Discipline Appeal form and in that form you will need to state:
 - 6.1.1. Whether you are appealing against the decision of the Director of Student Services or the penalty or both
 - 6.1.2. The ground(s) of your appeal.
- 6.2. You will need to attach to your form your evidence in support of your appeal.
- 6.3. You are deemed to have received the notification of the Director of Student Services decision within two working days of it being sent to you by email. You must file any appeal against their decision within five working days of the receipt of the notification of the Director's decision i.e., within seven working days of us sending you the notification.

Guidance: Forms are available on the LTS Forms webpage within MyUEA

7. Grounds for appeal

A Stage Two Appeal will only be considered if one or more of the following grounds is demonstrated:

- 7.1. The correct procedure was not followed in the conduct of the Stage One Appeal and this is sufficient to undermine the validity of the decision
- 7.2. That there was prejudice and/or bias or the appearance of prejudice and/or bias on the part of the Director of Student Services and/or any person helping the Director to investigate
- 7.3. That evidence (including any mitigation) put forward at Stage One was not fully considered

8. The Stage Two appeal process

- 8.1. The Director of Student and Academic Services (who is not the same person as the Director of Student Services) is responsible for responding to a Stage Two Appeal. The Director of Student and Academic Services must consider all of the evidence previously submitted to the Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager and the Stage One Appeal and your Stage Two Appeal form and supporting evidence. No evidence submitted can be anonymous.
- 8.2. The Director will determine whether there is evidence that satisfies one of the grounds set out at paragraph 7. The Director may ask a member of the Learning and Teaching Service or the Postgraduate Research Service to investigate this for the Director, as long as that person has not previously been involved in the case.

9. Appeal outcomes (stage two)

- 9.1. The investigation having been completed, the Director of Student and Academic Services will decide whether:
 - 9.1.1. to uphold the decision and penalty or penalties at Stage One
 - 9.1.2. to uphold the decision but substitute a lower penalty
 - 9.1.3. reject the appeal.
- 9.2. The decision of the Director of Student and Academic Services and the reason(s) for it will be communicated to you by email letter within fifteen working days of your filing the Stage Two Appeal letter.
- 9.3. If your appeal is rejected there is no further right of appeal in the University.

10. Withdrawing an appeal

- 10.1. You can withdraw a Stage One Appeal at any time. The effect of this will be that the decision and penalty of the University Disciplinary Officer/Student Life Manager/Deputy Accommodation Manager will stand.
- 10.2. You can withdraw a Stage Two Appeal at any time. The effect of this will be that the Stage One outcome will stand.

Appeals against a decision of a Senate Student Discipline Panel**11. Who can appeal**

Only the student(s) who have been found to have breached a Regulation can appeal against a decision of Senate Student Discipline Panel or a Chair or Deputy Chair's summary determination under Part F paragraphs 5, 6, or 7.

12. Timescales

- 12.1. You are deemed to have received the notification within two working days of it being sent to you by email.
- 12.2. You must file any appeal against a decision of a Senate Student Discipline Panel or Chair with the Director of Student and Academic Services within five working days of the receipt of the notification of the decision of the Senate Student Discipline Panel or Chair, i.e., within seven working days of us sending you the notification.
- 12.3. The University will not consider any appeal until you have been sent formal written notice of the outcome of the hearing.

13. Grounds for appeal

- 13.1. If you decide to appeal, you must tell us whether the appeal is made against the finding of the Senate Student Discipline Panel or the penalty imposed, or both.
- 13.2. If you are appealing against the summary determination of the Chair or Deputy Chair of Senate Student Discipline Committee, you must tell us whether the appeal is made against the Chair's finding or the penalty imposed, or both.
- 13.3. An appeal will only be considered if one or more of the following grounds is demonstrated:
 - 13.3.1. That evidence put to the SSDC Panel or Chair was not fully considered and that this evidence was of such significance that it

would cast doubt over the validity of the decision made by the SSDC;

- 13.3.2. That there was procedural irregularity in the conduct of any SSDC hearing or meeting with the SSDC Chair that was sufficient as to render the outcome unfair;
- 13.3.3. That there was prejudice and/or bias or the appearance of prejudice and/or bias in the conduct of the hearing by SSDC or, as in the case of summary determination, by the Chair or Deputy Chair of SSDC;
- 13.3.4. That the penalty or penalties imposed was excessive;
- 13.3.5. That there is new information that should be considered that was not known to the SSDC Panel or Chair and you could not reasonably have obtained that evidence at the time of the original decision and that this evidence is of such significance that it would cast doubt over the validity of the decision made by the SSDC.

Guidance: You should provide as much information as possible about the ground(s) on which you are relying. For example, if you say that evidence put to the SSDC was not fully considered, you will need to explain what evidence and in what way you say it was not fully considered. If there is new information that was not before the SSDC, you will need to say what information and why you could not reasonably have obtained that evidence before. In all cases you will need to explain why you think that this evidence would call into question the validity of the decision made by the SSDC. We strongly recommend that you seek advice from the Student Union Advice Centre.

14. Reviewing your appeal

- 14.1. The Secretary to Senate Student Discipline Appeals Committee will email you to acknowledge receipt of your appeal.
- 14.2. The Secretary will then review the appeal and confirm
 - 14.2.1. That it was received within the specified timescale or, if it was received outside the specified timescale (i.e., late), there is a very good reason to still consider the appeal
 - 14.2.2. That you have clearly stated a ground of appeal as outlined in 13.3
 - 14.2.3. That you have provided evidence in support of your ground of appeal, if relevant
 - 14.2.4. That there is a real possibility that your outcome may be changed as a result of a review by an Appeal Panel.
- 14.3. If one or more of these things is not confirmed, then the Secretary will recommend to the Chair of Senate Student Discipline Appeals Committee that your appeal should be rejected. If the Chair agrees with the Secretary, then

your appeal will be rejected. You will be told the decision of the Chair within fifteen working days of receipt of the appeal form. This decision is final and there is no further right of appeal in the University.

14.4. If all of these things are confirmed, then:

14.4.1. If the appeal is accepted by the Secretary to Senate Student Discipline Appeals Committee solely on the grounds that there is evidence that there was procedural irregularity in the conduct of a Student Discipline Panel or Chair, the Director will refer the appeal to the Chair of the Senate Student Discipline Committee to remedy the procedural irregularity. The Secretary to Senate Student Discipline Appeals Committee will tell you about this referral within fifteen working days of receipt of the appeal form and the Chair of the Senate Student Discipline Committee must notify you of how the procedural irregularity has been resolved within a further fifteen days. 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.

14.4.2. In other cases, you will be notified within fifteen working days of receipt of the appeal form that your appeal will proceed to a hearing.

Definitions

Senate Student Discipline Appeals Committee is a committee authorised by the Senate of the University of East Anglia. It comprises a **Chair and Deputy Chair of the Senate Student Discipline Appeals Committee** and members of the Committee who are appointed by Senate from time to time. The current membership of the committee is set out in the University Calendar under 'Statutory Bodies and Committees'. The Secretary to the Committee is the Head of Learning and Teaching (Systems).

The Chair of the Senate Student Discipline Appeals Committee has the power to make a summary determination as to whether an appeal can proceed. In other cases, they can appoint a **Panel** to hear each case referred to it.

The members of the Panel will be drawn from the **Panel Pool**. The Panel Pool comprises (a) those members of the Senate Student Discipline Appeals Committee who are academic staff as described in Statute 7 and who are not Principal Officers of the University; and (b) students who have been selected by the Head of Learning and Teaching (Quality) from time to time. The Panel sits in different modes according to the nature of the allegations against you. In Professional or Research Misconduct Mode the Panel will also include two additional people.

A "**real possibility**" is defined as a possibility that cannot sensibly be ignored, as opposed to a fanciful or insubstantial possibility

There will be various **Participants** at the panel hearing. These are:

- you
- any **Companion** that you bring to support you at the hearing
- any other students involved in the same incident who are also appealing
- the Panel members
- the Hearing Secretary, who is usually a senior member of staff of the Learning and Teaching Service (or, for postgraduate research students, the Postgraduate Research Service). They do not take part in the deliberations as they are not a member of the Panel, but they may advise on matters of procedure or the powers that the Panel has
- the representative(s) of the University who are asserting the University's case, such as the University's Disciplinary Officer or a School plagiarism officer. This person is known as the Presenter.
- any Companion that the person responding to your appeal brings with them
- any witnesses approved by the Panel Chair
- any other person whose presence the Panel Chair deems necessary to resolve the proceedings fairly, or who (with your agreement only) is there for the purpose of training.
-

15. Training of Panel Members

- 15.1. The Secretary to the Senate Student Discipline Appeals Committee must ensure that all members of the Panel Pool and Hearing Secretaries have been trained before sitting on a Panel for the first time and at least every two years thereafter.
- 15.2. No person may remain within the Panel Pool unless they have undertaken the training specified in 15.1 above as and when it falls due.

16. Reasonable adjustments

- 16.1. The University will apply this Part in accordance with its [Equal Opportunities Policy for Students](#).
- 16.2. The University will also comply with its legal obligation to make reasonable adjustments under the Equality Act 2010. Reasonable adjustments are person specific but could include use of an intermediary or support worker, provision of documents in a different format, regular breaks, or adaptation in the style of questioning used.
- 16.3. You must tell the Hearing Secretary if you or your Companion or witness requires reasonable adjustments to be made because of a disability. You must do this no later than two working days before the hearing.

Guidance: Participants should contact Its.ssdcc@uea.ac.uk.

Guidance: Scheduling of hearings: The University will try to schedule the hearing to avoid clashes with your timetabled academic activities. If that is not possible, the hearing will take priority.

17. Role of the Panel Chair

- 17.1. Review and approve the hearing pack before the hearing
- 17.2. Lead the hearing and ensure that the schedule is followed.
- 17.3. Ensure that any reasonable adjustments notified in accordance with paragraph 16 are made
- 17.4. Liaise with the Hearing Secretary to ensure the identification and implementation of any Special Measures
- 17.5. Ask any questions the Panel wish to ask the student, Presenter or witnesses during the hearing.
- 17.6. Have the final decision on the inclusion of any evidence.
- 17.7. Approve the outcome letter written by the Secretary.

18. Composition of Disciplinary Appeals Panel

The Panel shall sit in one of three Modes: Professional or Research Misconduct Mode, Academic Mode and Non-Academic Mode.

18.1. Professional or Research Misconduct Mode

18.1.1. A Panel shall be convened in Professional or Research Misconduct Mode for cases arising under General Regulation 14 and/or 15. A Panel convened under this Mode may, in addition to considering matters relating to Regulations 14 and 15, also consider allegations and determinate penalties relating to any other Regulations that are alleged to have been breached.

18.1.2. In Professional or Research Misconduct Mode, the Panel shall comprise two non-student members of the Panel Pool, one of whom shall be appointed to act as Chair; and two non-student co-opted Panel members who do not need to be members of Senate Student Discipline Committee:

18.1.2.1. one co-opted Panel member who has expertise within the same or a similar discipline to you; and

18.1.2.2. one co-opted Panel member who is not a member of staff or officer of the University but who has expertise within the same or a similar discipline to you

- 18.1.3. Where you are enrolled on a programme that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body (or are already regulated by that Body), at least one of the two co-opted Panel members must be regulated by the same Body.

18.2. *Academic Mode*

- 18.2.1. All cases arising under Regulations 13 and 17–23 inclusive shall proceed in Academic Mode. A Panel convened under this Mode may, in addition to considering matters relating to Regulations 13 and 17–23, also consider allegations and determinate penalties relating to any other Regulations that are alleged to have been breached.
- 18.2.2. In Academic Mode, the Panel shall comprise three non-student members of the Panel Pool, one of whom shall be appointed to act as Chair.

Guidance: Where a case involves allegations of both academic and non-academic misconduct and the Chair of Senate Student Discipline Committee has decided they should be heard together (which may be appropriate in some cases, for example where there is a close causal link or common facts), then the case will be heard in Academic Mode.

18.3. *Non-Academic Mode*

All cases not arising under either Academic Mode or Professional Research Misconduct Mode shall be heard in Non-Academic Mode. The Panel shall comprise two non-student members of the Panel Pool, one of whom shall be appointed to act as Chair, and one student member of the Panel Pool.

- 18.4. A Panel must comprise the requisite constitution as set out above in 18.1, 18.2 and 18.3, in order to proceed to hear a case. Where the Panel Chair determines that the composition of the Panel is incorrect, they shall adjourn the hearing and refer the matter back to the Chair of the Senate Student Discipline Committee for reallocation to a new Panel. However, where the Head of Learning and Teaching (Quality) has used their best endeavours to obtain a suitably trained student member of the Panel Pool for a scheduled hearing under Non-Academic Mode but has not been able to do so, and the hearing cannot be expeditiously rescheduled, the hearing shall proceed with three non-student Panel members.

19. **Conflicts of interest**

- 19.1. No person may be appointed to a particular Panel if they have knowingly taught or been the personal adviser or supervisor of a student appearing before the Panel or if they have been involved with the disciplinary proceedings at an early level, such as because they are the plagiarism officer,

disciplinary officer, or fitness to practise lead who dealt with the case in question.

- 19.2. No person may be appointed to a particular Panel if they were a member of the Panel or Presenter at the original SSDC hearing.

Guidance: Panel members must be alert to the risk not only of actual prejudice or bias but to the appearance of prejudice or bias, and should consider removing themselves from a Panel where a reasonable person may consider that there is an appearance of prejudice or bias.

20. The evidence

- 20.1. The Panel has the power to summons and question any person who is a member of staff, officer, or student at the University, including any witnesses not called by another party, but can only ask a member of the public to provide evidence.
- 20.2. The Panel Chair will decide at their absolute discretion:
- 20.2.1. whether or not to hear from some or all witnesses giving oral evidence in person; and/or
 - 20.2.2. whether to accept witness statements and other documents instead of or in addition to oral evidence; and/or
 - 20.2.3. whether to hear oral evidence or read a statement from a person (who is attending or not attending) about a conversation they had with a non-attending third party.

Guidance: When considering best evidence, the Panel Chair may like to consider:

- *Whether the witness and/or third party is a member of staff, officer, or student of the University or a member of the public*
- *Whether the hearing is during a University semester or outside of semesters*
- *The nature and seriousness of the allegations*
- *The nature of the evidence to be given and the degree to which it is accepted or likely to be accepted*
- *The importance of that witness's or third party's evidence*
- *Why the witness and/or third party is not proposing to attend*
- *Whether a student can adequately challenge the case against them in the absence of oral evidence and the ability to question that witness and/or third party*

21. Language

- 21.1. All documents (other than assessed work prepared for a language module) must be in English or accompanied by a certified translation into English. A certified translation is one that is made by a professional translator or translation company and which includes the credentials of the translator, confirmation from the translator that it is an accurate translation of the original document, the date of the translation, and the original signature of the translator or an authorised official of the translation company.
- 21.2. The Panel shall conduct its proceedings in English. No member of staff, student, or officer of the University shall have the use of a translator.

22. Standard of proof

- 22.1. The standard of proof is the balance of probabilities. This means that allegations must be shown to be 'more likely than not' true.
- 22.2. The burden of proof is upon the person appealing (you, the student) to show that your ground(s) of appeal are true.

Guidance: What is the standard of proof?

The presenting officer has to prove the allegation(s) against you on what is called 'the balance of probabilities'. This means that it is 51% or more likely that you are in breach of the regulation.

So, in a plagiarism case, the panel might ask itself 'Is it more likely that the student copied these phrases than that the student came up with the same wording as a published journal article, by accident?'

This standard is used throughout all non-criminal legal proceedings from the trivial to the life-changing. Even though the panel may instinctively want more evidence for more serious allegations, that is legally wrong, as described in the case *Re B (Children)* [2008] UKHL 35. Even if an allegation is being made that is very serious in nature (such as an allegation of sexual misconduct under Regulation 10) or has serious consequences for you or someone else (as with fitness to practise under Regulation 14), the standard is still the balance of probabilities.

This is also why someone can be found not guilty in a criminal trial where the standard of proof is higher ('beyond reasonable doubt') but found responsible by the university using the lower 'balance of probabilities' standard.

In deciding whether something is 'more likely than not' true, the panel should take the inherent probabilities of that event/issue happening into account. This can depend upon the context. As Lady Hale says in the above case, 'Consider the famous example of the animal seen in Regent's Park. If it is seen outside the zoo on a stretch of greensward

regularly used for walking dogs, then of course it is more likely to be a dog than a lion. If it is seen in the zoo next to the lions' enclosure when the door is open, then it may well be more likely to be a lion than a dog.'

There is 'no logical or necessary connection' between the seriousness of an allegation and the likelihood of it having happened. Some serious events are common; some are not.

23. Summons to the hearing

23.1. The Secretary to SSDAC must give you access to

- 23.1.1. a copy of the General Regulations and any other Statutes, Regulations Student Charter, Codes of Practice, Rules, and Procedures that you are alleged to have breached
- 23.1.2. a copy of these University Disciplinary and Investigative Procedures and Powers
- 23.1.3. a copy of all of the documentation available at the first hearing plus the SSDC outcome letter and your appeal documentation. (This is known as the 'hearing pack'.)

23.2. The Secretary to SSDAC must tell you

- 23.2.1. the nature and grounds of the appeal
- 23.2.2. the time, place, and mode of the hearing
- 23.2.3. whether special measures are to be used (if known)
- 23.2.4. the identity of the Panel members
- 23.2.5. the identity of any Presenter
- 23.2.6. the identity of any witnesses, to the extent known
- 23.2.7. that the Panel may proceed in your absence if you do not attend or confirm the decision and penalty of the original SSDC Panel
- 23.2.8. your ability and that of the Presenter to bring a Companion to the hearing subject to paragraph 25 below.

23.3. The summons will be sent to you by email no fewer than 5 working days before the hearing in all cases.

23.4. A copy of the summons will be sent to your Head of School and Adviser or Supervisor.

Guidance: Your pre-hearing preparation

It is important to understand that Senate Student Discipline Appeals Committee reviews appeals and will only interfere with the decision made by the Senate Student Discipline Committee if you prove, on the balance of probabilities, that your ground of appeal is true.

We recommend that you seek advice from the Students' Union Advice Centre.

At the hearing there are several stages and you need to be prepared for each one.

You will receive a folder of the papers relevant to the hearing, including these Procedures, the relevant Regulation(s), the SSDC outcome letter, and the appeal documents. You should consider these papers carefully and make notes of any points that you want the Panel to know about.

You must confirm your attendance in person (if you are in the UK) or via an agreed videoconferencing facility (if abroad) (see paragraph 26) and whether or not you are bringing a Companion with you (see paragraph 25).

At the hearing, you will be given the opportunity to respond to what is said about the case. However, you also have the right to submit a statement prior to the hearing if you want to do so, setting out your position. You can also submit evidence in support of your defence if you want to do so. Please see paragraph 24 below.

Please note that all evidence must be in English or accompanied by a certified translation: see paragraph 21 above.

24. Evidence submitted by you

- 24.1. You may (if you wish) submit a statement setting out your position and/or submit evidence in support of your appeal. These documents should be sent to the Hearing Secretary no later than two working days before the hearing.
- 24.2. Your statement will be put into the hearing pack. The Panel Chair will consider any evidence that you submit under paragraph 32.1 above and will decide whether it is relevant. If the Panel Chair believes the evidence to be relevant, they will also ensure that this is added to the hearing pack.

Guidance: Send your statement and/or evidence to its.ssdcc@uea.ac.uk.

25. Bringing a Companion to the hearing

- 25.1. You have the right to be accompanied by a Companion. The Companion must have no connection with the allegations and therefore no material interest in the matter.
- 25.2. You must tell the Hearing Secretary no later than two working days before the hearing of the identity and status (for example Student Union Adviser or fellow student) of the Companion. If you do not tell the Hearing Secretary within this timescale, the Panel Chair may decide that you are not allowed to bring a Companion at all.

- 25.3. The Companion may present the case on your behalf and help and support you. However, they cannot answer questions on your behalf, or attend the hearing in your absence.
- 25.4. It is your responsibility to tell your Companion about the date, time, and location of the hearing. If your Companion does not attend the hearing, the hearing may proceed in their absence.
- 25.5. Your Companion may be excluded from the hearing if they are so disruptive as to impede the conduct of the hearing. In such a case, the Panel Chair will decide whether or not to continue with the hearing even though your Companion has been excluded.
- 25.6. This paragraph 25 applies equally to the Presenter who, on an appeal hearing, can themselves bring a Companion.

Guidance: Members of the Student Union Advice Centre are available to act as your Companion on your request. You must notify the Hearing Secretary of the identity and status of any Companion by emailing its.ssdac@uea.ac.uk.

26. Attending the hearing

- 26.1. The hearing will be held in closed session, which means that only Participants can attend the hearing.
- 26.2. You must attend the hearing if you are present in the UK, unless you have been told you must not come onto campus (see paragraph 26.4 below). It is a separate disciplinary offence to fail to attend a disciplinary hearing when summoned to do so (a breach of General Regulation 13). It may also severely harm your case, in that the Panel will not be able to gain a direct impression of you or hear your perspective first-hand. If you do not attend the hearing, in person or by an agreed videoconferencing facility, the Panel may proceed in your absence or it may determine that you have abandoned your appeal and confirm the original decision and penalty.
- 26.3. If you are no longer in the UK, you may, by prior arrangement, use an agreed videoconferencing facility to call into the hearing. It is your responsibility to ensure that you are contactable at the given time.
- 26.4. Even if you are in the UK, the University may decide to require you to use a specified videoconferencing facility instead of physically attending campus if it believes that there may be a risk to you or to others if you come onto campus. A decision to hold a hearing by videoconferencing for this reason is a precautionary measure and does not indicate that the University has concluded that you have committed a breach of the Regulations or a criminal offence.

27. What happens at the hearing

- 27.1. The Hearing Secretary should remind the Panel Chair what reasonable adjustments or special measures are in place for the hearing.
- 27.2. If you have not attended in person or by an agreed videoconferencing facility, the Panel will decide whether to proceed with the hearing or confirm the original decision and penalty.
- 27.3. If the hearing proceeds, the Hearing Secretary will invite you and other Participants (other than witnesses) into the room or rooms. The Panel Chair will introduce themselves and ask the other Participants to introduce themselves and in what capacity they are there. The witnesses will stay outside the hearing room(s) until the Hearing Secretary calls them to give evidence.
- 27.4. The Hearing Secretary will then briefly state what grounds of appeal are to be considered.
- 27.5. The Panel Chair will then invite you (or your Companion) to outline the grounds of appeal and why your appeal should succeed. You must also answer any questions from the Panel and the person presenting the case, and your Companion cannot answer questions on your behalf. You may also call your witnesses to support your appeal. You should tell the Panel what remedy (outcome) you are seeking.
- 27.6. The Panel Chair will invite the person presenting the case against you (or their Companion) to respond. The Presenter can indicate (although the Panel is not bound by this) their view of the merits of the appeal.
- 27.7. The Panel may also call any witnesses not called by another party.
- 27.8. You (or your Companion) and the presenter will have the opportunity to question any witnesses, as will the Panel, regardless of who has called those witnesses. The Panel Chair has the right to prevent a question being asked that is irrelevant to the issues and/or only has the purpose of being vexatious (deliberately rude or upsetting).
- 27.9. If you have a Companion with you, and you wish to speak to them privately at any time, you should ask the Panel Chair to pause the hearing, so you can step outside. If at any time you need a short break to gather your thoughts, you should also ask the Panel Chair. The Panel Chair will try to accommodate these requests.
- 27.10. You (or your Companion) will have the opportunity to make a closing statement. You should use this opportunity to summarise your appeal.
- 27.11. The Presenter will be given the opportunity to make a closing statement. They can outline whether they believe the first outcome and penalty to be correct or whether they support the appeal wholly or partly.
- 27.12. You may wish to raise issues of mitigation which are of a private nature. In this situation, you can ask to speak to the Presenter, the Panel and the Panel Secretary in the absence of anyone else. However, in order to be fair to everybody, if what you say is relevant to another Participant (for example that you blame another student for the situation) then the Panel Chair will need to invite that person back into the room and tell that person what you have said.

However, it should not be necessary to tell them things like health or personal problems. Any mitigation that you offer may be included in the outcome letter and seen by others who are sent that letter.

- 27.13. The Panel Chair should then ask you whether there is anything in particular that you think that the Panel should look at or anything you want to the Panel to know that hasn't been considered but that is relevant to the appeal.
- 27.14. The Panel will then end the hearing and ask you, the Presenter, and any witnesses to leave.
- 27.15. The Panel will confer among themselves and decide whether
 - 27.15.1. to reject the appeal and to confirm the decision of the Senate Student Discipline Panel; or
 - 27.15.2. to uphold an appeal wholly or in part.
- 27.16. In reaching a decision to uphold or reject an appeal, SSDAC must give reasons for its decision.
- 27.17. If the Panel decides to uphold the appeal, wholly or in part, it should decide whether to either
 - 27.17.1. determine that no breach has been committed; or
 - 27.17.2. impose a lower penalty (being one that has a less serious consequence for you than the previous penalty); or
 - 27.17.3. arrange for case to be heard de novo (afresh) by a panel of Senate Student Discipline Committee which does not include anyone who heard the case before.

28. Remitting a case back to the Committee Chair

- 28.1. Where the Panel Chair believes that the hearing should not proceed (or, if commenced, continue) because
 - 28.1.1. evidence (or a witness) is missing or unavailable and that evidence is necessary to resolve the case fairly; and/or
 - 28.1.2. there is strong reason to believe that you have not received the summons and are not deliberately avoiding the summons; and/or
 - 28.1.3. you present at the hearing with serious mental or physical health issues that affects your ability to respond to the allegations such that it would be unfair to continue at the present time; and/or
 - 28.1.4. you have requested an adjournment and have very strong reasons for making that request; and/or
 - 28.1.5. there is another very substantial reason for not proceeding on that occasion

the hearing shall be remitted back to the Chair of Senate Student Discipline Appeals Committee for rescheduling.

29. Part-heard hearings

- 29.1. A Panel Chair has the power to bring a hearing to a halt and to adjourn the rest of the hearing for a period not exceeding 10 working days without giving any reason for this adjournment.
- 29.2. A Panel Chair has the power to bring a hearing to a halt and to adjourn the rest of the hearing for a period not exceeding 20 working days where the purpose of the adjournment is to enable you to obtain a report from a licensed psychiatrist or alternative appropriately qualified medical practitioner in response to questions identified by the Panel and such a delay is necessary to dispose of the case fairly.
- 29.3. A hearing above must be resumed using the same Panel as heard the matter prior to the adjournment.

30. Designation of a proceeding as requiring special measures

- 30.1. The Chair of SSDAC or their nominated representative shall determine whether a hearing requires the implementation of Special Measures, taking into account the preference of the student Participants and the need for procedural and substantive fairness.
- 30.2. The Panel shall proceed as Academic Mode (Special Measures), Non-Academic Mode (Special Measures), or Professional or Research Misconduct Mode (Special Measures) if
 - 30.2.1. a Participant is aged under 18; and/or
 - 30.2.2. the case involves an alleged breach of the Policy on Student Harassment and Sexual or Physical Misconduct and a Participant is an alleged victim of such misconduct who does not object to Special Measures; and/or
 - 30.2.3. a witness other than you will give evidence only if Special Measures are provided.
- 30.3. The purpose of these special measures is to enable an alleged victim to give the best quality evidence that they can so that the Panel can make an accurate determination of whether or not a disciplinary offence has been committed. The existence of special measures does not in any way indicate that the allegations are true, as this is for the Panel to determine after hearing the evidence; not does it deflect from the need for careful due process.

Guidance: Special Measures are different to Reasonable Adjustments for a disability, which should be considered a routine part of the preparation and conduct of a hearing in any Mode.

31. Conduct of proceedings in Special Measures

- 31.1. A hearing in Special Measures may involve the implementation of a number of measures that are designed to assist a Participant in providing the best quality evidence that they can. These measures will be situation specific but may include:
- 31.1.1. use of more than one hearing room, with a Participant giving evidence by an agreed videoconferencing facility or listening to evidence by an agreed videoconferencing facility; and/or
 - 31.1.2. all questions to a witness being directed via the Panel Chair, who will relay questions appropriately put; and/or
 - 31.1.3. use of a screen to separate a Participant from another Participant or Participants, other than the Panel; and/or
 - 31.1.4. use of an appropriately qualified or experienced support worker by a Participant (who is in addition to any Companion); and/or
 - 31.1.5. regular breaks.

32. Notification of outcome to student

- 32.1. The Hearing Secretary will normally notify you of the outcome by email within 5 working days and the reasons for the Panel's decision. This email letter may also be copied to:
- the Presenter, if any
 - the Chair of SSDC and the SSDC Panel chair that heard your case
 - the Panel Chair, who will have approved the letter
 - those involved in the management or administration of the proceedings, such as the Secretary to the Committee (the University's Head of Learning and Teaching (Quality)) and staff within the University's Academic Services division or Postgraduate Research Service
 - those responsible for you (such as your Head of School, Adviser or Supervisor, and (where relevant) Fitness to Practise Lead and/or Degree Apprenticeship Partner and/or employer.
- 32.2. As stated in Part A paragraph 2, in some circumstances it may be necessary, now or in the future, to provide that information to other organisations.

33. Appealing against a decision of the Senate Student Discipline Appeals Committee

If you are dissatisfied with the outcome of your appeal or if your appeal was rejected without a hearing then there are no further appeals within the University. However, you may make a complaint to the Office of the Independent Adjudicator for Higher Education once our internal procedures are completed. We will tell you more about this in our final outcome letter.

Student Engagement Procedure

This procedure covers what you can expect if UEA has concerns about your absence from classes, missed coursework submission or other indications that you are not engaging with your studies.

It also covers what you can expect if there are issues which may be affecting your own safety or where your behaviour may be impacting on the welfare of other students and staff.

It covers what steps UEA will put in place to help you to improve your engagement.

It is for undergraduate and taught postgraduate students; postgraduate research students have a separate procedure.

It should be read in conjunction with [General Regulation 13, Engagement](#), which sets out the engagement regulations you must abide by.

There are other documents which you may wish to refer to. In particular, the [Student Charter](#) provides an overview of UEA's and students' mutual responsibilities and obligations in establishing an outstanding and vibrant community of learning.

If you have any queries about this procedure please contact your Academic Adviser, your LTS Hub, Student Services or the SU Advice Centre.

Introduction

The University of East Anglia (UEA) recognises that studying at university can, at times, be difficult and stressful. The University will endeavour to support you at those times when personal difficulties hinder your ability to engage with your studies and university life."

All areas of UEA have a part to play in creating and maintaining a culture which promotes positive mental health and wellbeing and supports your learning and teaching to help you to succeed in your studies and enrich your university experience.

UEA has a diverse, inclusive and compassionate community among staff and students, one which supports you to disclose difficulties, and provides you with support, advice and guidance tailored to your needs. In signposting and working with key services, UEA is committed to providing you with consistent support, helping to ensure that no student feels left behind.

Working in partnership with the Students' Union, UEA is committed to regularly evaluating its procedures to ensure that student wellbeing is a priority and ensuring that staff have the appropriate training for their roles.

Engagement Expectations

UEA and the Students' Union provide you with opportunities to engage with university life, such as living in a community, volunteering, sports and social events, and work experience. The extent of your engagement with university life will depend on your individual circumstances; however, all students are expected to behave in a way which does not prevent you or others in the wider community from participating in academic and social pursuits in a safe and legal manner.

You are expected to read emails sent to you by the University within 48 hours and to action any requests contained in the emails, provided that you are in a position to do so.

You are expected to engage with your academic study by:

- Attending and participating in all teaching events and activities required as part of your course;
- Participating in all assessments, formative and summative, including preparation, submission and reflection on any assessment feedback;
- Attending meetings arranged with your Academic Adviser.

If you are unable to attend a timetabled teaching event, either in person or online, you must inform UEA via the online absence reporting system; guidance is available [here](#).

If you have an extenuating circumstance, such as a personal difficulty or health problem, which has a significantly negative impact on your capacity to perform in any assessment, you should follow [the Extenuating Circumstances \(Taught Programmes\) Policy and Regulations](#) so that a remedy or adjustment can be put in place.

If you are enrolled on a programme of study that may lead to admission to a regulated profession overseen by a Professional, Statutory or Regulatory body, not engaging with your course may be considered under [General Regulation 14, Professional misconduct and/or unsuitability/fitness to practice and Disciplinary Procedures Part F paragraph 5](#).

If you are a student subject to immigration rules, for example by holding a Tier 4 visa, not engaging with your course could result in your suspension from UEA and your permission to remain in the United Kingdom being curtailed ([General Regulation 5, Students subject to immigration rules and Disciplinary Procedures Part E paragraph 2](#)).

Monitoring Engagement

UEA monitors your engagement with your studies so that any engagement difficulties can be identified and you can be supported as quickly as possible. It will monitor engagement through a combination of

- Your attendance at teaching events relevant to your course;
- Your assessment submissions
- Your marks achieved in your assessments.

This monitoring will be carried out by relevant people from your School, Student Services Faculty Embedded Team and the Learning and Teaching Service.

In addition to potential lack of engagement identified through the routine monitoring detailed above, a member of staff will meet with you if:

- The extent and severity of extenuating circumstances you have reported suggest that you need additional support;
- A member of staff or other concerned individual raises their concerns about you.

Engagement Procedure

If UEA has concerns about your potential lack of engagement and the possible implications on you and your studies, you will be contacted by the Faculty Embedded Team to remind you of where you can access support to help with your engagement. If it appears that this does not resolve your engagement, a meeting will be arranged, as described below. These steps are to help you and if you are invited to a meeting you must attend, either remotely eg via Microsoft Teams or Skype, or in person. At these meetings:

- Staff will discuss with you why UEA is concerned about you;
- You will have the opportunity to talk about any problems you are having which are affecting your engagement;
- Together, we will discuss what actions you can follow to improve your engagement;
- A brief summary of actions will be recorded on eVision and will be available for you to view on the 'Adviser Meeting' section of your student information.

Types of Engagement Meetings

If there are serious concerns about your wellbeing and the potential impact on yourself and/or others, there may be an immediate need to discuss your situation in an 'Ability to Engage' Panel meeting.

School Engagement Meeting

If your attendance and engagement has not improved following initial contact from the Faculty Embedded Team, you will be invited to meet with someone from your School such as your Academic Adviser or the School Engagement Officer.

- This is your opportunity to discuss issues affecting your engagement with your studies and what steps you and UEA can put in place to support you. To ensure we can give you the help you need, you will need to tell us what is preventing your engagement.
- You will be reminded of the academic, learning and teaching support available.
- You will be reminded of the requirements of engagement on your course and the potential impact of not keeping up to date with course content and submissions.
- If a welfare concern is identified as the reason, you will be referred to a Welfare Engagement Meeting.

- We will agree actions to improve attendance your attendance and catch up with missed work
- A summary of actions will be recorded on e:Vision Adviser Meeting Task

If you do not attend the meeting, without a good reason for your absence, you may be referred to your Head of School for consideration of further action.

Welfare Engagement Meeting

Where a welfare concern has been identified, the Faculty Embedded Team will consider what course of action to take to best support you. This may be a meeting with you will discuss your engagement and welfare concerns and possible solutions. You will meet with an Embedded Wellbeing Adviser or Embedded Student Life Adviser, and if appropriate other people may be asked to attend, such as your academic Adviser, Senior Adviser, a member of LTS, a member of central Student Services or your relative. They will discuss with you in more detail the issues affecting your welfare and wellbeing, and possible actions to help and support you, and improve your engagement.

The Welfare Engagement meeting should cover:

- a. Presenting concern
- b. How long it has been going on
- c. How it is affecting your academic studies
- d. How it is affecting your daily life
- e. What you have tried so far to address the concern and has there been any success
- f. How motivated does you feel to address the concern
- g. What is your understanding of the potential impact on your studies and daily life if you do not address it
- h. Assessment of risk and safety plan if required
- i. Discussion and presentation of actions/interventions with you.

It is important that you participate and engage with the process; if you think it would be helpful you can bring a friend along or ask to speak to a member of staff privately. If you do not participate in the process you may be in breach of University regulations which results in a disciplinary process which could require your withdrawal from your course and the University.

Outcomes

Following the discussions, we will agree the most appropriate outcome for your situation. This might be an Action Plan or some time away from your studies:

- An Engagement Action Plan designed to address any welfare or wellbeing issues
 - This will be shared with you and with those staff at UEA responsible for your student record and for supporting you.
 - If you have any queries or concerns about your Engagement Plan you should contact the person you met with, or a member of Student Services, to discuss your concerns and agree a way forward.

- Your engagement will continue to be monitored and if it does not improve you will be contacted for a review.

or

- Consideration and application to interrupt your studies if your difficulties are such that some time away from the university would be helpful.

or

- Referral to an Ability to Engage Meeting.

or

- If you are not engaging and there are no health or other mitigating circumstance to explain your non-engagement, your case would be referred to your Head of School for potential disciplinary action in accordance with General Regulation 13. This may involve referral to the Senate Student Discipline Committee and your withdrawal from UEA. Information about this is available in the [University Disciplinary and Investigative Procedures and Powers](#), Part F: Senate Student Discipline Committee, Paragraph 5.

If you do not attend the Meeting without good reason your case would be referred to your Head of School for potential disciplinary action in accordance with General Regulation 13.

Ability to Engage Meeting

If there are serious concerns about your wellbeing and its potential impact on yourself and/or others, there may be an immediate need to discuss your situation in an 'Ability to Engage' Panel meeting. This can happen at any point in the engagement process. The aim of the meeting is to have a constructive discussion about what is best for you in your present circumstances.

It has an outcome of either enforced interruption to study or referral to a Welfare Engagement Meeting; students will not be referred to any discipline procedures associated with non-engagement as a result of this Ability to Engage meeting.

The Panel Meeting

You will be informed of the meeting arrangements and who will be on the Panel by at least 5 working days in advance of the meeting; normally it is the Director of Student Services acting as Chair, the Head of Student Services (Wellbeing), and your Head of School, with secretarial support. If you think it would be helpful you can bring a friend or SU Adviser along to the meeting.

The Panel members will discuss their concerns with you and may ask you further questions and will give you the opportunity to inform the Panel of anything you want them to take into consideration. The Panel will meet on their own after meeting with you, to consider which outcome would be most appropriate for you in the circumstances.

Outcomes

- Where the Panel regards the continuation of your studies to pose a significant risk to yourself and/or others or it considers that your ability to engage is sufficiently undermined by your current circumstances it will enforce a mandatory period of interruption. The interruption period would be no longer than 12 months in the first instance, but your return would be dependent on you being fit to return to your studies so may be extended.
- Where the Panel is satisfied that your ability to engage is not impaired to such a degree that a mandatory interruption is appropriate, the case shall be referred to Welfare Engagement Meeting, and that meeting will be held with you as soon as possible and within 10 working days. That meeting will determine how best you can be supported in continuing your studies and what ongoing monitoring may be required to ensure that your ability to engage is kept under review for as long as the relevant concerns persist.

You will be notified of the Panel's decision in writing within 5 working days of the date of the meeting.

As a follow up to the Panel's decision to enforce a period of interruption, the School should discuss the implications for the student's academic programme with the LTS Hub team. Together, the School and LTS will decide on which modules you will study on your return, and any regulation implications, and inform you as soon as possible, ideally at the same time as the Decision Letter.

Return to Study following an interruption

You may return to study following a period of required interruption provided that UEA is satisfied that the issues giving rise to the interruption have been satisfactorily addressed. This will involve a review of your case and current circumstances before your return, and will be subject to satisfactory occupational health clearance. If you have evidence to support your return earlier than the date stipulated by the Panel, this will be considered.

Your return may be subject to academic conditions for return such as the need to repeat some or all of the course of study and a Welfare Engagement Meeting on your return to agree an Engagement Action Plan for your continued support.

Any interruption and return is subject to limitation set out in [UEA regulations regarding length of study](#) (length of course plus two years).

Appealing the Outcome of the Ability to Engage Panel

You have a right to a second opinion regarding the Panel's outcome. Your case would be reviewed by the University Physician at your request if you disagreed with the outcome.

SU Advice Centre

You may seek independent advice on this process via the Students' Union's advice service, who are an impartial team of trained and experienced advisers. The service provides free and confidential advice and representation on a range of issues relating to student life, including all university procedures, housing, consumer and employment rights, money, and welfare issues. The students' union is completely independent of the

University, and therefore is without conflict of interest. You can find the contact details for the students' union's advice service [on their website.](#)

Procedures for Investigating Allegations of Research Misconduct Made Against Students

1. INTRODUCTION: POLICY

- 1.1 This document constitutes the University's policy on, and procedures for the investigation of allegations of research misconduct made against students.
- 1.2 The University of East Anglia is committed to ensuring that research by its staff and students is conducted to the highest standards, and that all researchers uphold the principles set out in the Research Integrity Section of the MyUEA web pages. .
- 1.3 These Procedures outline the action to be taken when allegations of research misconduct are brought against any present or past student of the University in respect of research undertaken while registered with the University. The Procedures apply to all students registered at the University¹ undertaking research as part of a programme of study (whether categorised as taught or research degree students).
- 1.4 The context of what constitutes research misconduct and the principles which guide the operation of these Procedures are set out in Parts A and B of the [University's Procedures for Dealing with Allegations of Misconduct in Research](#) which can be found in the Research Integrity Section of the MyUEA web pages.
- 1.5 Allegations of plagiarism and/or collusion relating to the work of an undergraduate or postgraduate taught degree student, or to the taught components of professional doctorates, will be handled under the [General Regulations](#) and should be brought to the attention of the relevant School Plagiarism Officer
- 1.6 For undergraduate and postgraduate taught students, suspected cases of breaches of research ethics should be discussed with the Chair of the relevant Research Ethics sub committee in the first instance.
- 1.7 Where a researcher is (or has been) both a student and a University employee the route by which research misconduct will be investigated will normally be determined by whether the alleged misconduct took place during staff or student duties.

¹ For postgraduate research students based at the John Innes Centre, Sainsbury Centre for Visual Arts, The Sainsbury Laboratory, the Earlham Institute or Quadram Institute Bioscience, or at the University of Suffolk, research misconduct allegations are considered by the School of registration, in liaison with the institution concerned. For students on validated or accredited programmes at partner institutions the relevant Procedures or Regulations at their place of study will be used.

- 1.8 Throughout this document the term 'Complainant' refers to the person(s) making an allegation of research misconduct and the term 'Respondent' refers to the person(s) against whom the allegation is made.
- 1.9 Allegations of research misconduct may be brought to the attention of the University internally or externally by an individual or by an organisation. Complainants may include supervisors, examiners, markers and module organisers. Alleged research misconduct may also be revealed through the work of the Postgraduate Research Service or Learning and Teaching Service.
- 1.10 Guidance regarding these Procedures is available from the Learning and Teaching Service (for taught students) or the Postgraduate Research Service (for research students).

2. SUMMARY OF STAGES IN THE PROCEDURE

- 2.1 The Procedures for Investigating Allegations of Research Misconduct Made against Students comprise four parts:
- an Informal Stage – whereby situations that are not considered to be serious in nature may be able to be resolved by informal action;
 - receipt of a formal allegation;
 - an Initial Assessment Stage, the purpose of which is to determine whether the allegation falls within the definition of research misconduct on the basis of the available information or whether it may be appropriate to deal with the allegation in an alternative manner; and
 - a Formal Investigation Stage, after which it will be decided whether the allegation should be upheld or not and whether any further action is needed.
- 2.2 Until such time as the allegation of research misconduct has been resolved the student should continue to engage with their programme of study, unless otherwise advised.

3. STAGE 1: INFORMAL ACTION

- 3.1 In considering whether a formal allegation of research misconduct should be made the Complainant should first consider whether it might be more appropriate to deal with the allegation:
- through informal resolution if the alleged research misconduct is considered to be of a minor nature and is of a level where correction of the error is feasible; or
 - by arranging for the matter to be taken forward using an alternative procedure. For example, where a student has not obtained the required ethics approval to conduct a research

project, it may be possible, in exceptional circumstances, for an application for retrospective approval to be considered.

- 3.2 Complainants are encouraged to seek an informal resolution of the matter about which they are concerned before beginning the formal Procedures. Informal explorations of possible ways in which a matter may be resolved will not prejudice the consideration of a later formal investigation. Consideration should also be given as to whether guidance or training might be an appropriate and effective method of addressing the issue raised.
- 3.3 Research Ethics Subcommittee Chairs and/or Postgraduate Research Directors can provide confidential advice on concerns relating to research ethics and integrity to help establish whether a formal report or investigation under this policy and procedure might be required. If necessary, the University Research Ethics Committee Chair may also be consulted for further confidential advice.
- 3.4 The following instances of alleged research misconduct must be handled via a formal allegation:
 - a) where the alleged research misconduct occurs in a postgraduate research degree thesis submitted for examination or in the final version of the thesis deposited with the University;
 - b) where it appears in published work or in work submitted for publication, whether or not the work appears before or after the final examination or assessment for the degree concerned.

4. STAGE 2: RECEIPT OF A FORMAL ALLEGATION

- 4.1 Any formal allegation of research misconduct must be made in writing by the Complainant to the Head of the School in which the student is or was registered. The Complainant must provide a detailed written statement in support of the allegation before any inquiries are instigated. In circumstances where
 - a) the Head of School is also the Complainant or the Respondent or
 - b) the Head of School considers there to be a real or apparent conflict of interestthe allegation should be referred to the Pro-Vice-Chancellor of the Faculty who will appoint an alternative suitable senior person to investigate and report back to the Pro-Vice-Chancellor. In the event that it is felt that confidential advice is required from experts in the relevant subjects, that may be sought.
- 4.2 On receipt of the Complainant's written statement the Head of School will:

- a) inform the Head of Postgraduate Research Service (for postgraduate research students) or the Head of Learning and Teaching Services, Quality (for taught students) of the formal allegation of research misconduct;
 - b) formally acknowledge receipt of the allegation to the Complainant and advise them of the Procedure that will be followed, within 10 working days of receipt of the allegation;
 - c) inform the Respondent that an allegation of research misconduct has been made which involves them, within 10 working days of receipt of the allegation, taking care not to disclose the identity of the Complainant;
 - d) consider whether any immediate action is required, for example in the interests of health and safety, or of safeguarding evidence or protecting personal data. In case of sufficient seriousness the Head of School may ask the Vice-Chancellor to suspend the student without prejudice pending the outcome of further inquiries.
- 4.3 The Head of Postgraduate Research Service or the Head of Learning and Teaching Services, as appropriate, will designate a Manager within the relevant Service to provide confidential administrative support for Stages 2 to 4 of this Procedure. All records and related evidence will be kept confidential. Records of any interviews will be agreed with the interviewee.

5. STAGE 3: INITIAL ASSESSMENT

- 5.1 The Head of School will conduct an Initial Assessment of the allegations to determine whether they are mistaken, frivolous, vexatious and/or malicious and to ensure that they relate to matters which fall within the definition of research misconduct (as detailed in section 5 of the Procedures for Investigating Allegations of Research Misconduct made against Students).
- 5.2 The Head of School will also consider whether the case could be resolved informally or through an alternative University procedure.
- 5.3 For students who are or have been members of staff at UEA, the Head of School will consider whether the allegation relates solely to research undertaken by the Respondent as a member of staff at UEA rather than as a student, in which case the Head of School will consider the allegation under the University's overarching Procedures for Dealing with Allegations of Misconduct in Research.
- 5.4 Following completion of the initial assessment the Head of School may determine that:

- there is no case for further consideration;
- it is not sufficiently serious to merit consideration under Research Misconduct Procedures and should be addressed informally;
- it should be referred to the Formal Investigation stage.

The Respondent and Complainant will be informed in writing of the outcome of the Initial Assessment, whether further informal action will be undertaken or whether the allegation is being referred for formal investigation under section 6 of these Procedures.

- 5.5 Where the student concerned is funded by or engaged with an external sponsor, including one of the UK Research Councils, the Head of School (or the Faculty Pro-Vice-Chancellor) will consult the terms and conditions of the sponsor and with the University's Chief Resource Officer as to whether the case should be reported to the sponsor concerned.
- 5.4 The Head of School will also decide whether further steps should be taken to ensure that all relevant information and evidence are secured. If appropriate, the Head of School will establish if the Respondent has any outputs based on the research published or submitted for review.

6. STAGE 4: FORMAL INVESTIGATION

- 6.1 Where the Head of School determines that the allegation meets the definition of research misconduct they will conduct an investigation to determine whether or not there is a case to be answered and to assemble the detailed evidence. The Head of School may appoint a member of staff with appropriate experience as an Investigating Officer to conduct the enquiry and report to them.
- 6.2 Following the report of the investigation the Head of School (or the Faculty Pro-Vice-Chancellor as appropriate) will consider the allegation and the evidence collected and determine either:
- a) that there is no evidence to support the allegation and that it should be dismissed. The Head of School (or Faculty Pro-Vice-Chancellor) will inform the Complainant, and where necessary the Respondent, of the outcome of the investigation and of their decision;
 - b) that the evidence supports some elements of the allegation whilst others are not substantiated;
 - c) that the evidence supports the allegation to the extent that in the judgement of the Head of School (or Faculty Pro-Vice-Chancellor) the allegation, on the balance of probabilities, should be upheld.
- 6.3 The Head of School (or Faculty Pro-Vice-Chancellor) will not conclude 6.2 a) or 6.2 b) unless the investigation has included the presentation of the allegation to the Respondent and consideration of any response from them to the allegation. In the event of 6.2 a) the Head of School (or Faculty Pro-Vice-Chancellor) will inform the Complainant and anyone

else who has been made aware of the allegation and needs to know the outcome. In the event of 6.2 b) or 6.2 c) above, the Head of School (or Faculty Pro-Vice-Chancellor) will consider the seriousness of the findings and decide whether any further action should be taken, which could include the issue of a warning to the student concerned or referral to the Senate Student Disciplinary Committee (acting in Professional or Research Misconduct Mode)*.

- 6.4 Following receipt of the allegation by the Head of School (or Faculty Pro-Vice-Chancellor), the procedures in section 6.1 to 6.3 above will be completed as quickly as possible and normally within 40 working days.
- 6.5 Where the Respondent has concerns regarding the further action to be taken, excepting where they have been referred to Senate Student Discipline Committee (which has its own Appeals processes), or considers that they have received unfair treatment under these Procedures, they may raise these concerns formally by making a complaint in writing, under the University's Academic Appeals and Complaints Procedures. These can be found under the [University's Academic Appeal and Complaints Procedures](#).

* Senate Student Discipline Committee (Professional or Research Misconduct Mode)

In Professional or Research Misconduct Mode, the Panel will comprise two non-student members of the Panel Pool, one of whom shall be appointed to act as Chair; and two non-student co-opted Panel members who do not need to be members of Senate Student Discipline Committee:

- one co-opted Panel member who has expertise within the same or a similar discipline to the student; and one co-opted Panel member who is not a member of staff or officer of the University but who has expertise within the same or a similar discipline to the student.
- Where the student is enrolled on a programme that may lead to admission to a regulated profession overseen by a Professional, Statutory and Regulatory Body (or are already regulated by that Body), at least one of the two co-opted Panel members must be regulated by the same Body.
- The Committee is empowered to hear alleged research misconduct in contravention of General Regulation 15 Misconduct in research and research ethics.

Policy on Students' Beliefs and the Organisation of University Work

Preamble

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.

Regulation 17.2 of the General Regulations for Students requires you to

Notify the University immediately upon registration for your programme of study if you are unwilling to carry out University work or examinations on Saturdays or on certain other days during the year because to do so would be contrary to your religion or belief as defined in the Equality Act 2010.

Your own and the University's actions

1. If you have notified the University that you are unwilling to carry out University work or examinations on Saturdays or on certain other days during the year because to do so would be contrary to your religion or belief as defined in the Equality Act 2010, the University will, to the extent that is reasonable, arrange learning, teaching, and assessment in order to minimise impact on religious practice or belief.
2. It is your responsibility to inform yourself about work which has been done in classes from which you have been absent.
3. If you feel that you have been adversely affected by assessment arrangements, you should advise the Learning and Teaching Service (LTS) via your LTS Hub or, in the case of postgraduate research students, the Postgraduate Research (PGR) Service in writing as soon as possible on receipt of notice of the relevant assessment arrangements. The Learning and Teaching Service or Postgraduate Research Service will then:
 - 3.1. make reasonable adjustments where these fall within their remit; and
 - 3.2. where central timetabling processes are involved, advise the University Assessments and Quality Office of any students requesting special arrangements on religious grounds.
4. However, while the University will endeavour to make reasonable adjustments (which may be, for example, avoiding holding examinations on certain days) the University reserves the right to hold examinations or other assessments on those days if no alternative time is reasonably practicable.

University Policy on Illegible or Gratuitously Offensive Assessment Submissions

Preamble

Regulation 19 of the General regulations for Students states that

You must not include gratuitously offensive material in any work submitted for assessment. If you do so, you are guilty of a breach of this Regulation.

You must ensure that work submitted for assessment is legible.

Gratuitously offensive work and/or illegible work will be dealt with according to the University Policy on Illegible or Gratuitously Offensive Assessment Submissions.

Students are therefore 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.

Illegible Work

1. Where a marker finds a section or the whole of assessed work is illegible, they shall mark the parts of the script that are legible (if any) and then refer the whole paper to the Chair of the Board of Examiners responsible for the module concerned.
2. The Chair of the Board of Examiners must either
 - 2.1 confirm that the whole script is illegible; or
 - 2.2 confirm that a section of the script is illegible; or
 - 2.3 decide that the script is legible and ask a second marker to mark the script or work in question.
3. *Minor proportion*

If it is decided by the Chair that the illegible section of a script represents a minor proportion of the script and would not have a material impact on the module mark, a marker should award a zero for that section and proceed to mark the remainder.
4. *Substantial proportion*

If it is decided by the Chair 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 must be invited to report to their School so that arrangements can be made to have their work legibly transcribed (by reading their answers under examination conditions). If the student does not accept the offer and make arrangements with the School, the marker shall give a mark of zero to the illegible sections of work and proceed to mark the remainder.

5. *Whole of work*

If it is decided by the Chair that the whole of an examination or course test script is illegible (or such a very substantial part that there is little material that can be marked), the student must be invited to report to their School so that arrangements can be made to have their work legibly transcribed (by reading their answers under examination conditions). If the student does not accept the offer and make arrangements with the School, the marker shall give a mark of zero to the script.

6. *Referral*

In all cases 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.

Gratuitously offensive work

7. Where a marker finds a section of assessed work contains what they consider to be gratuitously offensive material, they shall (subject to 13 below) mark the parts of the work that do not contain such material (if any) and refer the whole paper to the Chair of the Board of Examiners responsible for the module concerned.

8. The Chair of the Board of Examiners must either

- 8.1 confirm that the whole of the work submitted for assessment is gratuitously offensive; or
- 8.2 confirm that a section of the work submitted for assessment is gratuitously offensive; or
- 8.3 decide that the material is not gratuitously offensive and ask a second marker to mark the script or work in question.

9. *Minor proportion*

If it is decided by the Chair that the gratuitously offensive part of the work submitted for assessment represents a minor proportion of the script or would not have a material impact on the module mark, a marker should award a zero for that section. A marker should award the work a mark worthy of its academic merit notwithstanding the inclusion of the 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 zero.

10. *Substantial proportion*

If it is decided by the Chair that the gratuitously offensive section of work submitted for assessment represents a substantial proportion 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 19 (Attendance, engagement, and progress) and/or 14 (professional misconduct or unsuitability) of the General Regulations for Students. The Head of School may then refer the matter to Senate Student Discipline Committee. A marker should award the work a mark worthy of its academic merit and notwithstanding the inclusion of the 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 zero.

11. *Whole of work*

In the event that the Chair confirms that the whole of the script is gratuitously offensive (or such a very substantial part that there is little material that can be marked), a mark of zero shall be awarded for the whole of the assessed work in question and a report made to the Head of the relevant School with a recommendation that disciplinary action be taken under Regulation 19 and/or 14 of the General Regulations for Students. The Head of School may then refer the matter to Senate Student Discipline Committee.

12. *Disciplinary action*

If disciplinary action has been taken or is pending as part of the procedure for marking offensive material, any marks awarded for assessments containing offensive material should be confirmed by the Board of Examiners once the disciplinary investigation/action has been concluded.

13. *Effect on staff*

Regardless of any disciplinary action, 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.

University Policy on Placements

1 INTRODUCTION

The University of East Anglia recognises and values the importance of placement activities both academically and vocationally and is committed to maximizing the opportunities that its students have to benefit from such possibilities. This Policy sets out the various roles and responsibilities of the University, Placement Students and external Placement Providers in order to ensure that robust processes are in place both to secure the quality of the learning opportunities and to mitigate any risk. The Policy is applicable to all Undergraduate, Postgraduate Taught and Postgraduate Research programmes which include a placement component either in the UK or overseas.

The Policy is informed by and consistent with the Expectations and Indicators of Chapters B3 (*Learning and Teaching*), B4 (*Enabling Student Development and Achievement*) and B10 (*Managing Higher Education Provision with Others*) of the Quality Assurance Agency for Higher Education's *Quality Code for Higher Education* (2012).

Since the type and function of placement-learning varies widely across the University depending on the subject discipline and programme of study, the Policy constitutes a framework which outlines the minimum requirements in the development, delivery and monitoring that such learning opportunities must meet in order to safeguard the interests of the University, Placement Students and Placement Providers. Schools may choose to adopt more stringent conditions and, in some cases, the associated professional, statutory or regulatory body may require it.

The Policy is supported by University Guidance providing further explanation and examples of effective practice. Additional course-level information will be provided by Schools and, where relevant, the Study Abroad Office.

2 GENERAL PRINCIPLES

The University adopts the fundamental principles of good practice for placements outlined in the Work Based and Placement Learning Association's (ASET) *Good Practice Guide for Work Based and Placement Learning in Higher Education* (2013). This framework of principles recognises that placements are a three-way partnership between the University (in effect a School of Study), the Placement Student and the Placement Provider and that for the best outcomes each party should:

- (a) Accept and recognise the value to the Placement Student's employability attributes;
- (b) Be partners in planning and management;
- (c) Clearly understand the responsibilities and expectations of each party involved;

- (d) Collaborate to ensure opportunities are inclusive, safe and supported;
- (e) Engage in structured opportunities for learning and development;
- (f) Establish sustainable relationships and networks;
- (g) Record outcomes and evaluate feedback to enable continuous enhancement.

More specific responsibilities of each party are outlined in section 5.

3 DEFINITIONS

A **placement** is a period of academic or vocational activity, integral¹ to the student's course, where, whilst still enrolled at the University and subject to its regulations, the student is in an approved situation outside of their normal academic context either in the UK or overseas. A placement may be organised either by the University or the individual student; in all cases it needs to be approved by the relevant School.

For the purposes of this Policy, "placement (activity)" covers, but is not restricted to:

- (a) *Study Abroad*: programmes which include a semester or year abroad which typically, but not necessarily, involve an exchange with another academic or training institution;
- (b) *Work-based placements*: programmes which incorporate a period in a work organisation in either the UK or abroad. Work-based placements may be paid or unpaid;
- (c) *Professional experience placements*: programmes which include industrial, practice, clinical or other placements as part of requirements leading to professional qualifications;
- (d) *Fieldwork projects*: where these are managed by individuals or organisations external to the University.

The Policy is applicable where necessary to Degree Apprenticeship students where placements form part of the course.

The Policy is applicable to research degree students involved in formal collaborations with non-academic partners (broadly defined), as in the case of industrial studentships.

"Placement (activity)" will not normally refer to any extra-curricular activity, work experience (including internships)² or any other venture which is outside of the student's planned course even if the activity is relevant in some way to the

¹ "Integral" in this context refers to either a course or module requirement.

² "Internship" is here understood to refer to an extra-curricular developmental work-experience organised under the auspices of the University.

student's studies. While not covered by the Policy, the expectation is that such activities will be consistent with its ethos.

Although there is some variation in nomenclature across disciplines, for the purposes of the Policy the following terms are used to differentiate the various placement roles:

A **Placement Director** is an academic member(s) of staff, normally nominated by the Head of School in which the Placement Student is enrolled, who is responsible for ensuring the quality of the learning opportunities and the mitigation of any risk of the placement activities offered by the School including the establishment, delivery, organisation and provision of general oversight of the School's placement programme(s).

A **Placement Adviser** is any academic member of the School involved in the running and/or support of placement activities (such as Course Director, Module Organiser or academic Adviser).

A **Visiting Tutor** is a member of academic staff who visits a Placement Student at the premises of the Placement Provider during the placement activity.

A **Placement Student** is any student participating in a placement activity.

A **Placement Provider** is any third party providing or delivering the placement activity.

4 RISK MANAGEMENT

The University follows the recommendations outlined in the Universities Safety and Health Association's (USHA) *Guidance on Health and Safety of Placements for Higher Education Students* (2018). Given the diversity of placements, a risk-based approach is adopted entailing that the requirements of low-risk placements are minimised in order that resources may be concentrated on those placements likely to be of higher risk. The University may decide not to approve a placement based on risk.

The risk management framework is composed of the following mandatory components:

4.1 Review and approval of placements

The following risk factors are applicable to all placements and must be considered as part of the risk assessment process:

- (a) **Work factors:** These relate to the Placement Provider and to the work that the Placement Student will be carrying out. They include the nature of the work-based hazards to which the student may be exposed. Control measures may include the professional knowledge and expertise of the student and the ethical approval process.

- (b) **Travel and transportation factors:** Driving and travel while carrying out the business of the Placement Provider can be a risk. Placements do not just involve the work carried out for the Placement Provider. Depending on the nature and location of the placement, the Placement Student may face significant health, safety and welfare issues associated with their travel to and from the placement and to and from their accommodation.
- (c) **Location and/or regional factors:** The location of the placement can have considerable impact, particularly if it is abroad in a country that the Placement Student is not acquainted with, though it could apply to international students enrolled at UEA and going on placement within the UK. Initial checks will need to include the Foreign and Commonwealth Office website.
- (d) **Health and environmental factors:** The student may face significant health, safety and welfare issues associated with the environmental conditions in their place of work or the general location, their accommodation, or their food and drink.
- (e) **Individual student factors:** Each student is an individual. Their health, their knowledge, skills and experience and their personality could have an impact on health and safety in particular environments. A Placement Student who has personal factors (e.g. health, disability, linguistic or cultural concerns) which may require specific adjustments or support should discuss this with their School as it may have implications for placement choice.
- (f) **Insurance limitations:** Insurance is a means of transferring risk by paying for the provision of professional support and financial recompense if things go wrong. Any assessment must include consideration of the extent and limitations of the insurance arrangements of the University and the Placement Provider, the contractual arrangements in place and the legal requirements in the country or countries where the placement will take place. It is useful to distinguish between those issues that can be considered by the University generally and those that are specific to a particular placement.

4.2 Processes for raising and resolving problems

Both the University and the Placement Provider are required to have processes in place by which Placement Students and Placement Directors can raise their concerns in order that these may be appropriately addressed. The Placement Student should be encouraged to initially raise matters with their named contact at the Placement Provider. The Placement Student and the Placement Provider will also be informed about when, how and to whom to report their concerns to the University.

The School of Study should collect feedback from its Placement Students and, where relevant, from the Placement Director, Placement Advisers and/or Visiting Tutors, on any issues experienced during the placement and their resolution. This feedback will provide evidence that can be used to inform the School's annual review of the Placement Provider.

4.3 Planning for contingencies

Schools are required to have contingency plans to cover exceptional circumstances, especially where the placement is abroad. All students will be given the details of who to contact in their School in the case of an emergency. A list of all such contacts must be maintained by each School.

Students will also be provided with a University telephone number and/or email to contact in an emergency.

4.4 Ensuring each party understands their roles and responsibilities

The University through the relevant Placement Director, the Placement Student and the Placement Provider should all have a clear understanding of their roles and responsibilities with regards to health and safety. This must be stated in writing.

Roles and responsibilities are covered in greater detail in section 5, and written agreements in section 10.

4.5 Preparation of students

All Placement Students will be briefed before they go on placement and will be provided with information about relevant risk factors and control measures so that they are in a position to understand the risks to their health and safety and can make informed judgements whilst on their placement.

4.6 Training of staff

All staff involved in organising and supporting student placements should be provided with appropriate guidance and training by their School on the relevant University policies (most especially the Policy on Placements) and the arrangements and risk assessments and reviews that they must follow.

Visiting Tutors can play a role with respect to health and safety issues. The role and experience (subject-based) required of Visiting Tutors is likely to be more significant for placements in high hazard work environments. The School of Study should clarify any expectations of the Visiting Tutor(s) that arise from the risk assessment.

Where practical a student on a placement should be visited at least once by an appropriate member of staff. Where a visit is not possible, alternative forms of direct communication should be used (e.g. telephone or web-based means).

5 RESPONSIBILITIES

A placement is a three-way partnership between the University (more particularly a School of Study), the Placement Student and the Placement Provider. Each of the partners has specific responsibilities which are outlined below.

5.1 Responsibilities of the School of Study

The School will ensure that:

- (a) There is sufficient resource in place to support the placements and that the members of staff overseeing the placements are appropriately qualified as outlined in section 4.6;
- (b) Placement opportunities meet the learning outcomes identified in the programme or module specification and are consistent with normal University practices and expectations;
- (c) Placement opportunities meet relevant requirements of any professional or accrediting bodies associated with the programme;
- (d) Where there is a requirement, ethical approval will be put in place;
- (e) Placement provision is, at a minimum, annually monitored and reviewed to enable continuous enhancement;
- (f) It has contingencies in place for students who are unable to obtain or attend a placement;
- (g) It keeps clear records relating to placements including a readily accessible record of all Placement Providers it has worked with;
- (h) No deadline for a credit-bearing assessment that is not associated with the placement activity should fall within the placement period, and any such deadlines following a period of placement activity should be set within a reasonable timeframe after the placement has ended;
- (i) It provides current documentation and relevant briefings for all Placement Students prior to placement including:
 - i. Information about relevant risk factors to their health and safety and control measures;
 - ii. Reporting mechanisms for raising concerns;
 - iii. Logistical requirements (for e.g., transport arrangements and travel times);
 - iv. Guidance and support on sourcing secondary accommodation;
 - v. Any known (additional) costs that may be incurred by the Placement Student whilst on placement;
- (j) It provides clear information to Placement Providers on their role and responsibilities;
- (k) It is transparent where any of the above activities are delegated to other services within the University, for example, the Study Abroad Office, the Postgraduate Research Service, the Learning and Teaching Service.

5.2 Responsibilities of the Placement Student

Placement Students are required to:

- (a) Read all placement information provided before the placement, engage with any briefing sessions and, where required, ensure that any necessary clearances and/or mandatory training have been satisfactorily undertaken;
- (b) Understand the learning outcomes of the placement;
- (c) Provide contact details whilst on placement;
- (d) Follow the policies and guidance of the Placement Provider relating to, for example, health and safety, research integrity, dress code, confidentiality requirements;
- (e) Be mindful of their own health and safety;
- (f) Be responsible for managing their conduct and behaviour;
- (g) During the placement engage fully with all placement activities;
- (h) Be responsive to the University's and the Placement Provider's requests for information;
- (i) Familiarise themselves with any reporting mechanisms and use these to record any concerns with the Placement Provider and/or School support as necessary. Placement Students should also ensure that the Placement Director is informed of any special circumstances which may be impacting on their performance;
- (j) Provide timely feedback on the placement when requested.

5.3 Responsibilities of the Placement Provider

Placement Providers are required to:

- (a) Have suitable health and safety arrangements in place;
- (b) Have suitable insurance in place to cover liabilities arising from the placement (see section 12);
- (c) Provide details of the work/study programme to be undertaken by the Placement Student;
- (d) Provide the Placement Student with a clear induction programme to the Provider's policies and working practices;
- (e) Provide the Placement Student with a named supervisor or mentor;
- (f) Facilitate, and where required participate in, any visits by Placement Director, Placement Adviser or Visiting Tutors;
- (g) Report to the Placement Director any concerns about the Placement Student;
- (h) Respond to any concerns raised by the Placement Director, Placement Adviser, Visiting Tutor and/or Placement Student;
- (i) Monitor the progress of the Placement Student as and where required to do so and provide feedback on the Placement Student's performance as requested;
- (j) Engage in assessment as and where required to do so;
- (k) If requested, provide an evaluation of the effectiveness and suitability of the placement itself.

6 COURSE AND MODULE APPROVAL

It is the School's responsibility, in liaison with the relevant University services, to ensure that all courses or modules that include a placement component are subject to appropriate approval processes.

Given the variety of placements, the practices and procedures contained in this Policy should be applied in a proportionate manner. It is the responsibility of individual Schools that the placements they offer adhere to the following general principles:

- (a) Placements should widen learning opportunities without prejudice either to the academic award being sought or the quality of what is being offered to the Placement Student. The University bears ultimate responsibility for the quality, academic standards and student experience of any placement;
- (b) The University has a duty of care to all students on placement and must ensure that informed decisions are made with respect to health and safety issues relating to the placement;
- (c) Placement Students remain registered at UEA whilst on placement and will receive ongoing support from the University as appropriate to their placement and course of study;
- (d) Placements will be relevant to and supplement and develop the academic and vocational skills and competencies consistent with the overall aims of the Placement Student's course of study;
- (e) The inclusion of placements within a course of study must be approved as part of the overall course approval process and must be monitored and reviewed as part of the University's usual monitoring and review processes to ensure the quality and enhancement of the student experience and the continued appropriateness of the placement;
- (f) The learning outcomes of any placement will be clearly identified and assessed appropriately by the relevant School;
- (g) The University cannot guarantee allocation to a particular Placement Provider;
- (h) Clear and timely information and guidance will be available to all those involved in a placement activity, including University staff, students and Placement Providers;

Schools will ensure that all relevant University policies and procedures dealing with complaints and Fitness to Study/Practice issues are available to all relevant parties.

7 MONITORING AND EVALUATION

All placements and courses and modules containing placements are subject to annual monitoring. As a minimum the following areas must be assessed:

- (a) That the University's Policy on Placements is being fully complied with;
- (b) Where relevant, that any additional requirements of Professional, Statutory or Regulatory Bodies are being met;

- (c) The appropriateness of the placement's educational aims, learning outcomes and modes of assessment.

To facilitate the review process the Placement Director will ensure that appropriate mechanisms are in place to seek and collate both formal and informal feedback from Placement Students, Placement Providers, Visiting Tutors and any other members of the University associated with the placement activity. Feedback from External Examiners should also be considered where relevant.

As part of any periodic review process, the course team will review the aims and learning outcomes of any placements to ensure that they remain appropriate. It may also be appropriate during such reviews to monitor success rates and, if possible, the effects on subsequent employment outcomes.

8 EQUAL OPPORTUNITIES

All placements are subject to the education and employment provisions of the Equality Act 2010 which offers protection from discrimination or victimisation with respect to nine protected characteristics (age; gender reassignment; being married or in a civil partnership; being pregnant or on maternity leave; disability; race including caste, colour, nationality, ethnic or national origin; religion or belief; sex; sexual orientation). In particular, it is the University's responsibility to ensure equality of access and opportunity through suitable placement provision for those Placement Students with protected characteristics. In some cases reasonable adjustments may be required in order not to put the Placement Student at a substantial disadvantage; these adjustments may include alternative ways in which the Placement Student may demonstrate that the learning outcomes of the placement have been achieved.

Placement Providers within the UK are also subject to the Equality Act 2010 and should be provided with information about individual Placement Students' requirements (with the Placement Student's explicit permission) in order to plan for their learning. Schools may need to work with the Student Support Service to identify any equipment and/or assistance that can be provided to help individual Placement Students with specific needs. Ultimately it is the School's responsibility on behalf of the University to protect all its Placement Students from discrimination and support maximum participation, and where this is not possible, the School may consider whether any relationship with the Placement Provider should be established.

It is recognised that a School may wish to establish placement opportunities in countries with very different legal and cultural frameworks from the UK. If there is believed to be a substantial risk of discrimination or victimisation of certain groups of Placement Students, the School should not consider allocating them to these placements. Schools will need to assess this issue carefully and ensure, wherever possible, that those barred in this way will still have equitable access to suitable placement opportunities considered as a whole.

9 APPROVAL OF PLACEMENT PROVIDERS

All Placement Providers should wherever possible be approved by the appropriate School in advance of the commencement of the placement. The University encourages Schools to visit potential Placement Providers in order to assist with evaluating their suitability; a visit will not always be necessary but should normally be conducted if there is doubt over the suitability of the provider.

In each case, the suitability of the Placement Provider will be assessed, taking into account risks. Schools should use a robust, fit-for-purpose procedure, proportionate to the complexity and nature of the activity and appropriate for their discipline. It is recognised that one procedure will not fit all types of placement. In each case, procedures must be clear, and visits or other forms of contact recorded.

International placements may carry greater risk. Schools will need to consider how to meaningfully assess the quality and risk of particular Placement Providers given that information and tools available in the UK (e.g. site visits) may not be practical in this context.

10 PLACEMENT AGREEMENT

The rights and responsibilities of each party to the placement (the School, the Placement Provider, and the Placement Student) will be clearly set out in writing. This agreement will be signed by an appropriate authority within the School and communicated to the Placement Provider before the start of the placement. The nature of the Placement Agreement may vary by School; a letter may be sufficient but Schools may wish to use more formal Agreements. The agreement will set out the minimum requirement for the placement and should be proportionate to the activity being undertaken.

11 TERMINATION OF PLACEMENT

If a placement is terminated prematurely, the terminating party must immediately inform the other parties. It is the responsibility of the relevant Course Director, in liaison with the Placement Director, to decide the possible outcomes and seek suitable remedies.

12 INSURANCE

Placement Directors will obtain confirmation of each Placements Provider's insurance; this to include:

- (a) Public Liability – limit of Indemnity (minimum £5,000,000);
- (b) Employer's Liability – limit of Indemnity (minimum £10,000,000);
- (c) Professional Indemnity – no recommended minimum.

The Placement Provider must provide confirmation that there is an equivalent policy or scheme in place which covers the Placement Student for the above. If the Placement Provider is unable to cover the Placement Student, or insists

that liability should be transferred back to the University, or does not respond appropriately when requested, UEA Insurance must be contacted for advice.

13 TIER 4 VISA STUDENTS

UK Visas and Immigration (UKVI) Sponsor Guidance states that an International student studying on a Tier 4 Visa can undertake a placement (including a placement abroad) providing it is an integral and assessed part of their course.

The Placement Director must ensure that current regulations are being followed prior to making any arrangements with a Placement Student who has a Tier 4 Visa and a Placement Provider. In such cases advice must be sought from the University's Student Visa Compliance Team. The Placement Director must not give visa advice to any Placement Student.

If a placement is an integral and assessed part of the course, this, together with an estimate of the percentage of the course that it represents, must be declared on the student's Confirmation of Acceptance of Studies (CAS) which is used by the student in making their visa application.

When a student undertakes a placement, the University is legally required to report to the UKVI the length of the placement and its precise location.

Tier 4 students are subject to attendance and engagement monitoring requirements whilst on placement. The School must ensure, therefore, that arrangements are in place to register and record attendance and that regular contact is maintained between the School and the Placement Student. There must also be a named contact at the Placement Provider to confirm that the Placement Student is attending and engaging with their placement.

14 APPEALS AND COMPLAINTS

All appeals and complaints with regard to student placements will be dealt with according to existing University procedures:

<https://portal.uea.ac.uk/learning-and-teaching/docs/appeals-complaints>

If the Placement Student has concerns about the standards of practice adopted by the Placement Provider, he or she should initially contact the Placement Director.

Before the commencement of the placement, Placement Students and Placement Providers must be given information about who to contact if they wish to make a complaint about any aspect of the placement. Records must be kept of all complaints and the follow-up action. These must be reviewed as part of the annual monitoring process.

Non-Academic Complaints Regulations

1. Purpose

1.1 The Non-Academic Complaints Regulations are intended to allow the formal raising of concerns by UEA students* undertaking taught or research programmes regarding matters which are the responsibility of the University, but which do not directly relate to a student's programme of study, its associated academic facilities nor to an academic result, such as marks. We take students' concerns seriously at UEA and the Procedure within these Regulations is 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 procedure.

1.2 The Non-Academic Complaints Procedure is designed to be easy to use, timely, transparent and consistent in its treatment of cases.

1.3 The Non-Academic Complaints Procedure comprises three parts: an informal stage; a formal Stage One, in which the Stage One Non-Academic Complaints Panel (NACP) considers the complaint, and a formal Stage Two, which a student may follow if dissatisfied with the outcome of the Stage One complaint.

1.4 A Guidance document for staff and students detailing the processes associated with these regulations is available from the Student Support Service.

** Students studying at UEA, or registered with UEA and based at the John Innes Centre, Sainsbury Laboratory, Quadram Institute Bioscience or University of Suffolk. For postgraduate research students based at the John Innes Centre, Sainsbury Centre, Sainsbury Laboratory or Quadram Institute Bioscience or University of Suffolk, Stage One complaints will be considered by the NACP where this is provided for under the relevant Partnership Agreement – please consult the Head of Postgraduate Research Service should clarification be required. Students on validated or accredited programmes at partner institutions wishing to submit a complaint should use the relevant procedures 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 Director of Student Services.

2.2 The University expects that students will not engage in frivolous or malicious 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 Non-Academic Complaints Regulations and Procedure.

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 data protection legislation.

2.6 Training will be provided for all University staff involved in the processing of complaints.

3. First Steps to Try to Resolve Concerns

3.1 Students are encouraged to seek an informal resolution of the matter about which they are concerned, before beginning the formal Procedure. Informal explorations of possible ways in which a matter may be resolved will not prejudice the consideration of a later formal submission.

3.2 Students should initially raise their concern with the department responsible for delivering the service with which they are dissatisfied. Where a student is uncertain as to where to raise a concern, or where a satisfactory resolution has not been achieved, they may contact the Student Support Service to explore the possibility of informal resolution.

3.3 Should these steps not resolve the matter to the student's satisfaction, the student may submit a formal complaint under Stage One of the Procedure.

4. The Nature of the Complaint

4.1 Students may complain about any aspect of their experience for which the University is responsible, but which does not form part of the delivery, management or assessment of their academic experience. Examples of the sorts of things about which a student might complain would include:

- i) Standard of University accommodation
- ii) Experience of University catering
- iii) Library Services
- iv) Experience of Student Services
- v) Experience of an academic related Service such as LTS
- vi) The University's response to the behaviour of fellow students in the University.

5. Submitting a Stage One Non-Academic Complaint

5.1 Students must submit a completed Stage One Non-Academic Complaint Form to the Academic Services Office or email it to LTS.Appeal@uea.ac.uk. Forms are available to download from MyUEA

5.2 The formal consideration of the complaint may be suspended where appropriate, pending clarification by a student that they have tried to resolve the matter they are concerned about informally, before beginning the formal Procedure.

5.3 A student may decide to withdraw a complaint at any time prior to its consideration by the NACP.

6. Consideration of the Stage One Complaint

6.1 Stage One Complaints that meet the grounds for consideration (see 4.1 above) shall be considered by the Non-Academic Complaints Panel (NACP), which shall meet with a frequency that ensures that the time between submission and consideration by the Panel does not exceed 20 working days for any case (normally this will require monthly meetings).

6.2 The Panel shall comprise: a manager from Student Services (Chair), a School Manager or other manager level member of staff who is not connected to the detail of the complaint and student representative and an experienced Student Services Secretary. Where the complaint involves the Student Support Service, membership of the NACP will **not** be drawn from Student Support Service staff.

6.3 The Student Support Service will provide the NACP with the documentation submitted by the student under Stage One and a summary of the case.

6.4 The Student Support Service will, within 5 working days of receipt of the Complaint, write to the student acknowledging receipt and informing the student of the date of the next meeting of the NACP 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 no later than 20 working days after 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, for example: meetings, emails, and letters.)

7.2 Complaints submitted after the deadline (see 7.1 above) with good reason for the delay may still be considered. The student should contact the Student Support Service if they are unable to meet this deadline.

7.3 The decision by the Director of Student Services as to whether a late submission should be accepted shall be final and not subject to appeal.

7.4 In normal circumstances the student shall be advised of the outcome of their Stage One Complaint within 10 working days of the date of the NACP 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 NACP will uphold complaints where any of the following are found:

1. Correct procedures were not followed.
2. The student experienced unfair or unequitable treatment.
3. The student experienced undue delay in the delivery of a service or the provision of a response to an earlier enquiry.
4. The University failed to deliver an appropriate level of service.
5. The student received inadequate or inaccurate advice or guidance.
6. The experience of the student is at odds with the level of service which they might reasonably expect.

8.2 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 NACP, will not involve any adjustment to academic outcomes (since academic outcomes must be addressed through the Academic Appeals and Complaints route) and where a concession would be needed to allow the proposed remedy to apply the Chair of the relevant NACP should seek advice from the Academic Director of Taught Programmes or Academic Director of Research Degree Programmes as appropriate.

8.3 NACPs shall be able to agree compensatory payments to be made to students in relation to upheld complaints up to a limit of £1,000. If it is felt that such compensation would provide an insufficient remedy the Chair of the relevant NACP should seek advice from the Director of Student Services who will liaise with the relevant budget holder as appropriate.

8.4 In all cases the Secretary to the NACP shall write to advise the student of the outcome of the consideration of their case in accordance with 7.5 above.

8.5 The letter shall advise the student that a Stage Two Complaint can only be submitted if the student believes that correct procedures were not followed at Stage One. The letter shall advise the student that, if they do not intend to pursue a Stage Two Complaint on those grounds, the student may treat the Stage One outcome letter as a completion of procedures notification and, if they wish, exercise their entitlement to contact the Office of the Independent Adjudicator.

9. Submitting a Stage Two Non-Academic Complaint

9.1 A Stage Two Non-Academic Complaint can only be considered where the student claims that there was a procedural irregularity at Stage One. This includes the claim by the student that evidence was not fully and properly considered. Where a Stage Two Complaint is submitted on grounds other than those permitted within the regulations it shall not be considered by a Panel and the student will be advised to submit a complaint to the Office of the Independent Adjudicator.

9.2 A student must submit a completed Stage Two Complaint Form, available to download from MyUEA along with any supporting documentation to the Academic Services Office or email it to LTS.Appeal@uea.ac.uk.

9.3 A student may decide to withdraw a complaint at any time prior to its consideration.

9.4 The Student Support Service will, within 5 working days of receipt of the

Complaint, write to the student acknowledging receipt.

10. Consideration of the Stage Two Appeal or Complaint

10.1 Complaints that meet the grounds for consideration (see 9.1 above) shall be considered by the Stage Two Non Academic Complaints Panel (NACP2), which shall meet with a frequency that ensures that the time between submission and consideration by the Panel does not exceed 20 working days for any case.

10.2 The Panel shall comprise: A Head of Student Services, or more senior member of University Professional Services staff where no Head is available (Chair); a Senior Faculty Manager or other senior member of University administrative management not connected to the detail of the complaint; a student representative and an experienced Student Services Secretary. Where the complaint involves the Student Support Service, membership of the NACP2 will **not** be drawn from Student Support Service staff.

10.3 The Student Support Service will provide the NACP2 with the documentation submitted by the student under Stage One and a summary of the case.

10.4 The Student Support Service will, within 5 working days of receipt of the Complaint, write to the student acknowledging receipt and informing the student of the date of the next meeting of the NACP2 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.

11. Timescales for Stage Two

11.1 The student's submission, including any supporting documentation, must be received by the Academic Services Office no later than 15 working days after the date on which the student was formally advised of the Stage One outcome.

11.2 Complaints submitted after this deadline with good reason for the delay may still be considered. The student should contact the Student Support Service if s/he is unable to meet this deadline.

11.3 The decision by the Director of Student Services as to whether a late 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 Complaint within 20 working days of the date of receipt. 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 Complaint shall be upheld where there is evidence that correct procedure was not followed at Stage One.

12.2 Where a Stage Two Complaint is upheld, the Panel shall consider the substance of the case in accordance with paragraphs 8.1-8.6 above, determining such remedy as the Panel regards appropriate.

12.3 Where there is no evidence that correct procedure has not been followed, the Complaint shall be rejected and there shall be no further right of complaint within the University.

12.4 The outcome letter referenced in 11.4 above shall serve as a completion of procedures letter and will advise the student of their entitlement to contact the Office of the Independent Adjudicator should they be dissatisfied either with the rejection of the Complaint, or in cases where the Complaint is upheld, with the proposed remedy.

Academic Appeals and Complaints Regulations

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 are 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 Academic Appeal or Complaint, and a formal Stage Two, which a student may follow if dissatisfied with the outcome of the Stage One Academic Appeal or Complaint and if the submission meets the required conditions for consideration.
- 1.4 Guidance documents for staff and students detailing the processes associated with these Regulations are available from the Learning and Teaching Service (for taught students) or the Postgraduate Research Service (for research students).

** Students studying at UEA or registered within the last 30 days, or registered with UEA and based at the John Innes Centre, The Sainsbury Laboratory, the Earlham Institute or Quadram Institute Bioscience. For students based at the John Innes Centre, Sainsbury Centre, The Sainsbury Laboratory, the Earlham Institute or Quadram Institute Bioscience, Stage One Academic 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 an Academic Appeal or Complaint under these Regulations will not be unfavourably treated for having done so. Any student who believes that they have been less favourably treated as a result of submitting a case should immediately contact the Head of Learning and Teaching or the Head of the Postgraduate Research Service.
- 2.2 The University expects that students will not engage in frivolous or malicious appeals or complaints. It should be noted that if an Academic 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 Academic 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 General Data Protection Regulation 2018.
- 2.6 Training will be provided for all University staff involved in the processing of Academic 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 mean 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, EdD, ProfD and EdPsyD) references to 'Board of Examiners' normally mean 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 blind double-marked can be challenged by students either via the re-marking policy or as part of an Academic Appeal. Work which has been double-marked cannot be

challenged or the subject of an Academic Appeal unless the Appeal relates to circumstances affecting the submission rather than concerns about marking. Details of the Regulations are available from the relevant Learning and Teaching Hub or the Postgraduate Research Service. Under the Submission of Work for Assessment Policy the outcome should normally be available within a further 10 working days of the re-mark request.

- 3.3 Students should make every attempt to submit their case concerning a provisional academic result 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 Academic 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 Academic Appeal or Complaint

4.1 Students may appeal any of the following:

- i) A degree result
- ii) Confirmed marks (i.e. following internal moderation)
- iii) A failure to be transferred to a PhD from an MPhil or to an EdD from an MEd
- iv) A 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 they are 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 Learning and

Teaching Hub or the Postgraduate Research Service.

Forms can be downloaded from the LTS Students MyUEA web page or for research students from the PGR MyUEA Appeals and Complaints web page. 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 Learning and Teaching Hub or the Postgraduate Research Service may suspend the Stage One Academic Appeal or Complaint where appropriate, pending clarification by a student that they have tried to resolve the matter they are concerned about informally before beginning the formal stage of the process.
- 5.3 A student may decide to withdraw an Academic 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 Academic Appeal or Complaint and may choose, within the limits of their authority, to reverse the action or decision giving rise to the Academic 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 Academic Appeal or Complaint subsequent to a confirmation by the student that they are now content that the Academic Appeal or Complaint has been satisfactorily addressed.
- 5.5 Until such time as the Academic 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 Academic Appeal or Complaint

- 6.1 Stage One Academic Appeals and Complaints that meet the grounds for consideration (see 4.1-4.3 above) shall be considered by a Faculty Appeals and 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 taught student case (normally this will require monthly meetings). PGR FACP meetings are arranged on an as-required basis but shall meet within 30 working days of submission of the Stage One Academic Appeal or Complaint.
- 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 trained member of academic staff in the Faculty concerned. The Panel shall comprise two 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 Learning and Teaching Service or Postgraduate Research Service Secretary/Advisor. The Head of Learning and Teaching or Head of the Postgraduate Research Service will advise on procedural matters in relation to particularly complex cases.

- 6.3 The Learning and Teaching Service or Postgraduate Research Service 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 grounds in order for it to be considered.
- 6.4 The Learning and Teaching Service or Postgraduate Research Service will write to the student, within 5 working days of receipt of the Academic Appeal or Complaint for taught students or within 10 working days of receipt for research students, 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 Learning and Teaching Hub no later than 10 working days after, or the Postgraduate Research Service no later than 15 working days after:
- i) Academic 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, but is not limited to, meetings, emails, and letters).
 - ii) Academic 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, but is not limited to, meetings, emails, and letters).
- 7.2 Academic 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 Learning and Teaching Hub or the Postgraduate Research Service if they are unable to meet this deadline.
- 7.3 The decision by the Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee as to whether a late

submission should be accepted shall be final and not subject to appeal.

7.4 Where a case is received by the Learning and Teaching Hub or the Postgraduate Research Service not later than 5 working days prior to the next scheduled FACP meeting it shall be considered at that 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 their Stage One Academic 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 Academic 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 Academic Director of Taught Programmes or Academic Director of UEA Doctoral College as appropriate – see Appendix A).
- 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 Academic 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 Academic 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 Academic 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 the Academic Director of Taught Programmes or Academic Director of UEA Doctoral College 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 Academic Director of Taught Programmes or Academic Director of UEA Doctoral College 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 Academic 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 the Academic Director of Taught Programmes or Academic Director of UEA Doctoral College as appropriate.

8.6 Where the outcome of an Academic 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 Academic Appeal or Complaint can only be submitted if the student believes that correct procedures 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 Academic Appeal or Complaint on those grounds, the student may treat the Stage One outcome letter as a Completion of Procedures 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 Academic 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 Academic 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 downloadable Forms can be downloaded for taught students from the LTS Students MyUEA web page or for research students from the PGR MyUEA Appeals and Complaints web page. with any supporting documentation to the Head of Learning and Teaching or Head of the Postgraduate Research Service.

- 9.3 A student may decide to withdraw an Academic Appeal or Complaint at any time prior to its consideration by the Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee and the Academic Director of Taught Programmes or Academic Director of UEA Doctoral College.
- 9.4 Until such time as the Stage Two Academic 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, they will retain this status until such time as the outcome of an Academic Appeal or Complaint results in their reinstatement.

9.5 The Learning and Teaching Service or Postgraduate Research Service will, within 5 working days of receipt of the Stage Two Academic Appeal or Complaint, write to the student acknowledging receipt.

10. Consideration of the Stage Two Academic Appeal or Complaint

10.1 The Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee will check that the Academic 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 Academic 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 Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee is satisfied that there is evidence of procedural irregularity at Stage One the student will be advised that their Stage Two Academic Appeal or Complaint has been upheld.

10.4 Where the Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee is not satisfied that there is evidence of procedural irregularity at Stage One, the case shall also be considered by either the ADTP/ADDC as appropriate.

11. Timescales for Stage Two

11.1 The student's submission including any supporting documentation must be received in the Academic Services Office or Postgraduate Research Service no later than 15 working days after the date on which the student was formally advised of the Stage One outcome.

11.2 Academic Appeals and Complaints submitted after this deadline with good reason for the delay may still be considered. The student should contact the Academic Services Office or Postgraduate Research Service if they are unable to meet this deadline.

11.3 The decision by the Head of Learning and Teaching or Head of the Postgraduate Research Service 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 Academic Appeal or Complaint within 20 working days of the date of receipt by the Learning and Teaching Service's Academic

Services Office or Postgraduate Research Service. 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 Academic Appeal or Complaint shall be upheld where there is evidence that correct procedures were not followed at Stage One.

12.2 Where a Stage Two Academic Appeal or Complaint is upheld the case shall be referred to the next FACP for consideration in accordance with correct procedures. This further consideration will constitute the conclusion of the University's procedures; the subsequent outcome letter will advise the student of their entitlement to contact the Office of the Independent Adjudicator.

12.2.1 Where the procedural irregularity giving rise to the Stage Two Academic 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 their entitlement to contact the Office of the Independent Adjudicator.

12.3 Where there is no evidence that correct procedures have not been followed the Academic 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 Procedures letter shall be sent to the student by the Academic Services Office or Postgraduate Research Service advising the student of their entitlement to contact the Office of the Independent Adjudicator

APPENDIX A

- 1) 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 Academic 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 Academic Appeal or Complaint is described as having been upheld this means that the FACP (or the Head of Learning and Teaching or Head of the Postgraduate Research Service or their nominee for Stage Two cases) has determined sufficient evidence exists that the necessary grounds have been met (e.g. that there is evidence of a bias or prejudice). It is important to note that upholding an Academic Appeal does not necessarily imply a particular final outcome for the student. For example, a 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 Academic 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 Academic Appeal, the degree classification itself remains appropriate.

Procedural Irregularity:

This term refers to circumstances where agreed processes have not been correctly applied, procedures 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.

- 2) Decision making process of Academic Director of Taught Programmes or Academic Director of UEA Doctoral College for allowing late submission of ECs to be considered:
- a) Are there good/legitimate reasons for why the submission is late? If no, reject; if yes consider (b).
 - b) Can the circumstances claimed be considered extenuating given the current regulations? If no, reject; if yes, consider (c).
 - c) Is there appropriate supporting evidence? If no, reject; if yes, refer back to the Extenuating Circumstances Panel (ECP).

This process for late submission of extenuating circumstances applies to taught programmes and, for research degree programmes, the taught elements of professional doctorates. The consideration of late submission of extenuating circumstances for other elements of research degrees will be handled on a case-by-case basis by the Academic Director of UEA Doctoral College.

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 see the [Finance](#) and [Postgraduate Scholarships, Bursaries and Funding](#) sections of the website.

Prospective students should go to the [Finance](#), [Bursary](#) and [Undergraduate Scholarships](#) pages.

Go to the [Fees and Funding](#) pages for more information.

Courses Validated by UEA

For details of courses (including regulations) validated by the University of East Anglia at Partner Institutions, please refer to the [Academic Partnerships pages](#).

A list of the University's Partner Institutions can be found under the Addresses and Telephone Numbers section of this Calendar.