

THE SENATE



There will be a meeting of the Senate at 2pm on Wednesday 27 February 2019, in the Council Chamber, the Council House, University Plain.

Chief Resource Officer and University Secretary
20 February 2019

AGENDA

1. BUSINESS OF THE AGENDA

Items in Section A are for discussion and action by the Senate. Items in Section B contain routine recommendations which will be deemed to have been approved at the meeting unless members of the Senate ask for them to be discussed. Items in Section C are for information only. Any member of the Senate may ask for an item from Section B or Section C to be moved to Section A by contacting the Secretary before 5pm on Monday 25 February 2019. Reserved items appear in Section D.

These Items can be found on the Committee's Blackboard site.

- Go to the UEA Portal site (<https://portal.uea.ac.uk/>) and log in
- Click on the Blackboard tab
- Then find the Senate Committee Blackboard site listed under My Organisations and look at the Meeting Papers folder for the relevant meeting.

The open items can be found online at the Committee Office website at <https://portal.uea.ac.uk/committee-office/uea-committees-and-boards/senate>

2. MINUTES

To confirm
the minutes of the meeting held on 7 November 2018. **(PAGE 1)**

3. STATEMENTS BY THE VICE-CHANCELLOR

4. DECLARATIONS OF CONFLICTS OF INTEREST (IF ANY)

SECTION A: ITEMS FOR DISCUSSION AND ACTION

Please look under 1. Business of the Agenda for details of how to view these documents.

*A1. UNIVERSITY RESEARCH PERFORMANCE

To report
that Senate is required to review at least annually the academic performance in research of the University and the standing of the University both nationally and internationally, judged against strategies approved by Council;

To consider

- (1) a confidential report and recommendations from Pro-Vice-Chancellor (Research & Innovation) Professor Fiona Lettice and Head of Research Services, Julia Sheldrake
- (2) reminding all Heads of School and Faculties that all research outputs must be added to PURE within three months of acceptance.

SEN18D019 (**PAGE 11**)

* A2. INNOVATION

To report

that Senate is required to review at least annually the academic performance in innovation of the University and the standing of the University both nationally and internationally, judged against strategies approved by Council;

To consider

- (1) the academic performance of the University in relation to Innovation.
- (2) methods of removing any internal barriers to contract research
- (3) methods of diversifying the funding base for contract research
- (4) addressing some of the issues inhibiting an increase in the University's CPD offer

A confidential report from the Pro Vice Chancellor, Professor Fiona Lettice and the Head of Innovation, Dr Jon Carter, Research and Innovation Division, is attached. SEN18D020 (**PAGE 27**)

*A3. STUDENT ENGAGEMENT SURVEY OUTCOMES

To consider

the confidential outcomes of the UK Engagement Survey (UKES) of UEA students that measures students' engagement with their studies. SEN18D021 (**PAGE 45**)

*A4. POSTGRADUATE TAUGHT EXPERIENCE SURVEY

To consider

the confidential outcomes of the Postgraduate Taught Experience Survey (PTES). SEN18D022 (**PAGE 79**)

*A5. IMPACT OF THE NEW ACADEMIC MODEL ON PERFORMANCE

To consider

confidential impact of the New Academic Model on Performance by the Head of Learning and Teaching, Mrs Caroline Sauverin SEN18D023 (**PAGE 109**)

* A6. CHANGES TO BACHELOR AND INTEGRATED MASTERS' REGULATIONS

To consider

the confidential recommendation from the Learning and Teaching Committee that a change be made to UEA's degree classification rules for Undergraduate degrees

- (1) that the degree regulations be changed for students entering the University in September 2019 such that the borderline 'zone of consideration' of 2 percentage points below the classification boundary, where preponderance rules currently upgrade students whose module marks meet the rules, is removed; and
- (2) that Schools be required to analyse the distribution of marks at module level to identify any modules which may produce particularly high proportions of first class marks and consider whether assessments are stretching enough.

SEN18D018 (**PAGE 125**)

SECTION B:

ITEMS WHICH CONTAIN RECOMMENDATIONS BUT WHERE NO DEBATE IS ANTICIPATED

Please look under 1. Business of the Agenda for details of how to view these documents.

B1. SENATE STUDENT DISCIPLINE APPEALS COMMITTEE

To consider
the recommendations within the report. SEN18D024 (**PAGE 131**)

B2. NURSING ASSOCIATE DEGREE REGULATIONS

To consider
the recommendations within the report. SEN18D025 (**PAGE 211**)

SECTION C: ITEMS FOR REPORT

Please look under 1. Business of the Agenda for details of how to view these documents.

C1. APPOINTMENT OF MEMBER OF THE SENATE TO SERVE ON THE COUNCIL

- To report
- (1) that the Council includes amongst its membership two members of the Senate whom currently are Dr Nalini Boodhoo (2019) and Dr Louise Bohn (2021)
 - (2) that the term of office of Dr Nalini Boodhoo will end on 31 July 2019;
 - (3) that nominations of candidates for the vacancy (which need not be for serving members of the Senate) will be sought. It is proposed that nominations should be lodged with the Chief Resource Officer and University Secretary in writing no later than **5pm, Tuesday 21st May 2019** and shall state that the consent of the nominee has been obtained. Members of Senate are asked **to use the nomination form on the Blackboard site**.
 - (4) In the event that there are no nominations for this vacancy, at the first ordinary meeting of the Senate nominations shall be asked for and voted upon by ballot by those persons present and entitled to vote.

C2. HONORARY DEGREES AND AWARDS COMMITTEE MEMBERSHIP

To report

- (1) that the membership of the Honorary Degrees and Awards Committee (HDAC) includes two members nominated by Senate from its own membership which is currently Dr Jon Sharp (2019) and Dr Kelly Walker (2019);
- (2) the membership of Dr Jon Sharp and Dr Kelly Walker will end on 31 July 2019;
- (3) that the current membership is:

Member of the UEA Professoriate (Chair) - The Vice-Chancellor (Professor D. Richardson)

One Academic Representative From each of the four Faculties nominated by the relevant Faculty Executive, and who should not be the Dean:

- HUM – Dr Roger Baines (2021)
- FMH – Professor R Jowett (2019),
- SCI – Dr M. O'Connell (2019)
- SSF – Professor David Mead (2021)

Two members of nominated by the Senate from its own membership:

- Dr Jon Sharp (2019)
- Dr Kelly Walker (2019)

Up to two members co-opted by the Chair as required:

- Professor C. Bigsby
- Professor Richard Hand (2020)

The Welfare, Community and Diversity Officer of the Union of UEA Students - Ms Georgina Burchell

The Director of Development - Mr D Ellis

Assistant Head of Alumni, Conferences and Events - Ms M. Padmore
Secretary - Assistant Registrar (Ms L. Williams)

- (3) that Dr Kelly Walker's membership of Senate ends summer 2019
- (4) that as a member of Senate until summer 2020, Professor Richard Hand, who had been nominated at the same time as Dr Kelly Walker last year will replace her in that position
- (5) therefore members of Senate are invited to nominate one fellow member to serve on this Committee, for up to a three year period or until their membership of Senate ends.
- (6) It is proposed that nominations should be lodged with the Chief Resource Officer and University Secretary in writing no later than **5pm, Tuesday 21st May 2019** and shall state that the consent of the nominee has been obtained. Members of Senate are asked ***to use the nomination form on the Blackboard site***. If more than one nomination is received members will be invited to consider the nominations at the next meeting.

***C3. UNIVERSITY QUALITY ASSURANCE**

To receive

a confidential copy of the report and action plan presented to Council in November 2018 relating to the continuous improvement of the student academic experience and student outcomes in 2017/18, including evidence from our internal quality assurance processes which involve students and include embedded external peer review or professional review. On the basis of this report Council were asked to confirm

- a) that for the 2017/18 academic year that the methodologies used as a basis to improve the student academic experience and student outcomes are robust and appropriate, to the best of your knowledge;
- b) that the standards of awards for which the University is responsible have been appropriately set and maintained.

SEN18D026 (**PAGE 227**)

C4. APPEALS AND COMPLAINTS

To receive

a copy of the report and review of statistics on Stage 1 and 2 Academic and Non-Academic Appeals and Complaints and OIA Cases (Academic Year 2017/18 as presented to LTC in November 2018 (LTC 18D049). SEN18D027 (**PAGE 261**)

C5. LEARNING AND TEACHING COMMITTEE

To receive

a round up report from the Learning and Teaching Committee from its meeting on 28 November 2018. SEN18D028 (**PAGE 269**)

C6. DATE OF NEXT MEETING

To report

that the next meeting of the Senate is scheduled for Wednesday 5 June 2019.

SECTION D: RESERVED BUSINESS

Please look under 1. Business of the Agenda for details of how to view these documents.

No items have been received.

THE SENATE



Minutes of the meeting held on 7 November 2018

Present: The Vice-Chancellor (Professor D.J. Richardson) (in the Chair), Pro-Vice-Chancellor (Professor F. Lettice and Professor N. Ward), the Faculty Pro-Vice-Executive (Professor S. Barrow, Professor F. Bowen, and Professor D. Edwards), Heads of Schools (Professor P. Dobson, Professor R. Jowett, Professor L. Marsden and Professor M. Searcey), Academic Representatives (Dr H. Adcock, Professor N. Boodhoo, Dr S. Broughton Micova, Mrs K. Emerson, Dr B. De La Igesia, Dr R. Gray, Dr J. Kirby, Dr M. Neumann, Dr K. Walker, Professor S. Watts, Professor A. Welch, Director of Student Services (Dr C.J. Sharp), and the Student Representatives except for business marked ** (Ms G. Burchell, Ms J. Chapman and Mr M. Marko).

With: The Chief Resource Officer and University Secretary (Mr I. Callaghan), The Chief Operation Officer (Mrs J. Baxter), The Academic Director of Taught Programmes (Dr C. Matthews), Academic Director of Widening Participation (Mrs H. Gillespie), Academic Director of Pg Research Degree Programmes (Dr N. Watmough), , Academic Director of Admissions (Professor R. Harvey), Director of IT (Mr M. Barry),, Director of Student and Academic services (Dr A Blanchflower), Assistant Registrar (Mrs L. Williams), Head of Corporate Communications (Mr A. Stronach)

1. MINUTES

Confirmed

the Minutes of the meeting held on 6 June 2018.

2. CONFIRMATION OF CHAIR'S ACTION

Confirmed

Chair's action taken since the last meeting of Senate on 6 June 2018:

- a) changes to the Standing Orders of School Boards to reflect the Code of Practice on Student Representation as recommended by THE Learning and Teaching Committee
- b) revisions to the Harassment and Sexual or Physical Misconduct Policy as recommended by the Learning and Teaching Committee
- c) the appointment of a new Senate member for FMH – Professor Ailsa Welch and for HUM Dr Francisco Costa and Dr Sally Broughton Micova all with end dates of 2021.
- d) the appointment of Professor Richard Hand and Dr Kelly Walker on the Honorary Degrees and Awards Committee.

3. STATEMENTS BY THE VICE-CHANCELLOR

The Vice Chancellor

- (1) welcomed new members of Senate to their first meeting
- (2) reported that UEA's overall performance remained strong and had risen from 15th to 14th in the Times/Sunday Times' "table of tables".

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07.11.2018
Min. 3

- (3) reported on the completion of the financial package which involved re-financing of the University's loans on more favourable terms and generated funds to invest in the campus and so support both staff and student success.
- (4) reported that the results of the staff survey had been distributed. The survey was proving to be a useful snapshot of staff views and opinions and a source of rich data. A key frustration was the University's IT infrastructure. A Working group was to be established to take forward some of the initiatives forward such as
 - addressing the gender pay gap
 - flexible working pilots
 - race equality work
- (5) reported that the University has signed a commitment to:
 - the Race Equality Charter, noting that the VC is working with SU colleagues and UUK on race harassment issues
 - the real living wage.
- (6) congratulated those involved in the successful CHASE and ARIES DTP bids
- (7) noted that the Review of Tertiary Education may have financial consequences for the University. The outcome of the review has yet to be published but some of the scenarios under discussion would have significant impact on UEA and other HEIs.

3. UPDATE ON CAMPUS REFURBISHMENT PROJECTS

Considered

an oral report from the Chief Operating Officer, Jenny Baxter:

- (1) construction of Building 60 is on track for it to be occupied next summer in time for the academic year 2019/20. The building will house science teaching laboratories and general teaching spaces.
- (2) the University is bidding for funding from the LEP to create an Institute of Productivity to sit beside Building 60 and provide facilities to educate the next generation of graduate engineers working in conjunction and collaboration with local businesses.
- (3) the planning work for Building Zero has been recently re-launched. This building will house Schools in HUM plus some other Schools/teams and was being designed to give the campus an arrival point and was likely to be situated around Founders Green. The construction of this building is the first stage in the project to refurbish the Lasdun Wall.
- (4) The refurbishment of the Lasdun Wall is the long term plan commencing with Arts I & II. However, until such time as staff and teaching activities move into Building Zero there would need to be refurbishment work undertaken and space issues would remain and everyone was thanked for their patience.
- (5) The creation of a new Faith Centre remained a priority and whilst the plans were taking shape it was noted that the project would require philanthropy to support its construction.

4. DECLARATION OF ANY CONFLICTS OF INTEREST

There were no declarations made.

*5. UNIVERSITY PERFORMANCE

This minute is confidential and attached as a separate sheet.

6. UEA PLAN

Considered

an oral presentation from the Chief Operating Officer on:

- a) The progress being made with developing the 2020-25 Plan
- b) The issues of prioritisation
- c) An update on the KPIs

(Senate noted that a clear framework was being developed for the next Plan building on the four pillars: student success, staff, success, research success and global success and having a clear structure differentiating the vision, the objectives, the implementation steps and the KPIs, PIs and contributory measures.

Work was underway considering what elements of the 2015-2020 Plan do not need to change as they remain relevant to the 2030 Vision and the emerging themes which will impact on the delivery of the vision. These included a range of things where UEA was having to respond and things we have consciously chosen to take forward, e.g

- Strengthening our values
- Enhancing the student experience
- Employability
- Enhanced civic role
- Social inclusion
- Sustainable development goals
- Post-Brexit world
- Tertiary education review
- Technological disruption.

Senate expressed their contentment with the approach being taken and looked forward to a fuller presentation at the February meeting).

7. FEEDBACK FROM COUNCIL ON THE REVIEW OF SENATE EFFECTIVENESS

Reported

at the meeting of Council on 8 October the Senate Effectiveness Review was considered. The following is the minute of that discussion:

"Council noted the detailed work that had gone into undertaking the review and thanked the parties concerned. On the specific point of membership (notably whether Heads of Schools should be added to the membership) Council considered the various arguments put forward which included:

- The impact on the size of Senate
- The role of Heads of Schools as "drivers and influencers of change and performance"
- The diversity of Senate
- The potential for conflict of interest between Senate's role in maintaining and improving performance and Heads of Schools' responsibility for delivering the academic mission of the University.

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On balance, it was agreed that the primary driver for adding Heads of Schools to Senate was one of communication and that there were alternative methods to deliver this – this should be the subject of Faculty Executive meetings receiving feedback from Faculty PVC's, for example. On that basis, it was confirmed that the need for communication to and from Senate would be emphasised and additional communication methods considered in conjunction with the Director of Communications. A review would take place in two years".

(Senate noted that a number of recommendation had been enacted already

- New Senate members had attended an induction session
- The agenda and papers had been circulated 2 weeks ahead of the meeting
- Access to the Senate Blackboard site has been given to all Heads of School and Directors of Professional Services

Communication remained a key theme and it was agreed that a brief summary of Senate discussion would be published in the Lasdun within two weeks of each meeting. It was considered important that Faculty Executives discussed agenda items in advance of Senate meetings, then within two weeks of the meeting discussed what happened at Senate and that Faculty Executive members disseminated afterwards within their Schools and Faculties. Consequently, it was considered important that Faculty Executives aimed to meet at least fortnightly).

RESOLVED

that an item entitled "Feedback from Senate" should feature on the agendas of Faculty Executives, School Boards and the COO/CRO senior management team meetings within two weeks of the meeting.

8. UNIVERSITY RESEARCH ETHICS POLICY

Reported

that the University's Research Ethics Policy was last revised and approved by Senate in November 2016.

Considered

a recommendation from the University Research Executive and the University Research Ethics Committee that a number of amendments and revisions as set out in the paper be made to the University's Research Ethics policy. (A copy is filed in the Minute Book SEN 18D007).

RESOLVED

9. UNIVERSITY ETHICS REVIEW APPEALS PROCEDURES

Reported

that the University's Research Ethics Review Appeals Policy was originally developed in November 2006.

Considered

a recommendation from the University Research Executive and the University Research Ethics Committee that a number of amendments and revisions as set out in

the paper be made to the University's Research Ethics Review Appeals policy and that the new procedures be effective immediately. (A copy is filed in the Minute Book SEN 18D008).

RESOLVED

10. UEA RESEARCH INTEGRITY REPORT 2017/18

Received

the Annual Research Integrity Report 2017/18 which summarises activities undertaken to support and strengthen understanding and application of research integrity issues in the period 1.8.17 – 31.7.18. (a copy is filed in the Minute Book, ref. SEN18D009).

Considered

the recommendation from the University Research Executive and the University Research Ethics Committee that assurances be given to Council on:

- a) the activities undertaken to support and strengthen understanding and application of research integrity issues across the University; and
- b) that the processes in place for dealing with allegations of misconduct in research are transparent, robust and fair and are appropriate for the university's needs; and
- c) that the very small number of formal investigations of research misconduct undertaken mean that it is not possible to identify any trends and further analysis is not warranted.

RESOLVED

11. PROPOSED INSTITUTIONAL PARTNERSHIPS (1) WEST SUFFOLK COLLEGE AND (2) COLCHESTER INSTITUTE

Considered

a recommendation from Professor Neil Ward, as Chair of the Learning and Teaching Committee and acting on behalf of the Committee, that

- a) West Suffolk College; and
- b) Colchester Institute

be both approved as a partner institutions of the University for a period of up to five years. (A copy is filed in the Minute Book, ref. SEN18D004).

RESOLVED

12. ANNUAL REPORT FROM SENATE TO COUNCIL

Received

the confidential 2017/18 report from Senate to Council which went to the Council meeting on 25 June 2018. (a copy is filed in the Minute Book, ref. SEN18D010)

13. THE SENATE 2018/19

Received

- (1) the Senate – Membership. (a copy is filed in the Minute Book, ref. SEN18D012)
- (2) the Senate - Standing Orders (a copy is filed in the Minute Book, ref. SEN18D013)

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14. RESERVED AREAS OF BUSINESS AND CONFIDENTIALITY

Received

statements of the University's policies on reserved areas of business and confidentiality. (a copy is filed in the Minute Book, ref. SEN18D014)

15. LEARNING AND TEACHING COMMITTEE

Received

(1) a round up report from the Learning and Teaching Committee from its meetings on 20 June 2018 and 17 October 2018. (a copy is filed in the Minute Book, ref. SEN18D015)

(2) the confidential LTS Plan of Work. (a copy is filed in the Minute Book, ref. SEN18D016)

(3) the LTC Plan of Work (a copy is filed in the Minute Book, ref. SEN18D017)

16. DATES OF MEETINGS IN 2018-2019

Reported

that the remaining dates for meetings in 2018-2019 were:

Wednesday 27 February 2019
Wednesday 5 June 2019

17. DATE OF NEXT MEETING

Reported

That the next meetings of the Senate was scheduled for Wednesday 27 February 2019.

SEN18D019

Title: UEA Annual Research Report 2018-19
Author: PVC Research and innovation, Professor Fiona Lettice and Head of Research services, Julia Sheldrake
Date: 07 February 2019
Circulation: The Senate – 27 February 2019
Agenda: SEN18A002
Version: Final
Status: Confidential until 1.3.21

STRICTLY CONFIDENTIAL

Freedom of Information Advisory Note:

Disclosure of the information in this paper may be prejudicial to the University's compliance with the Data Protection Act, conduct of public affairs or commercial interests. Not to be disclosed without consultation with the Vice-Chancellor.

Issue

This is the annual report on research across UEA, in this case covering the period between January 2014 to December 2018. Also including new research related developments and activities from 2018 to present and planning for the 2021 Research Excellence Framework.

Recommendation

Recipients are invited to receive the author's report on UEA research activities.

Heads of School and Faculties should ensure that all research outputs are added to PURE within three months of acceptance.

Resource Implications None

Risk Implications None

Equality and Diversity

The Head of Equality and Diversity, and the University's Equality and Diversity Committee have been fully involved in the development of the University's Code of Practice for the 2021 Research Excellence Framework.

Timing of decisions None

Further Information

Professor Fiona Lettice, Pro Vice Chancellor (Research & Innovation), ext 3250, email f.lettice@uea.ac.uk and Julia Sheldrake, Head of Research, Research & Innovation Services, ext 3949, email j.sheldrake@uea.ac.uk

Background

This is an annual report to Senate and Council covering research activity across the University.

This report and attachments detail activities and progress made against the goals and objectives of The UEA Plan 2016-20. Namely goal number two, which states: *Our reputation for the quality of our research and for its global reach and influence in tackling major challenges, including through*

collaboration with our Norwich Research Park (NRP) partners. Our focus will be on developing the quality, volume and impact of our research, especially by building our international reputation for innovation, increasing our research capacity, enhancing our facilities, and improving the training environment for our research postgraduates. We will invest in our staff and facilities, and will develop key research strengths, strategic partnerships and enterprise activities.

Research has key role throughout the University's strategy and the University's objectives underpinning research goals are detailed under 4.1-7 of The UEA Plan. Research activity also contributes to a number of other Objectives, in particular:

- Objective 1 *Investing in our Campus;*
- Objective 6 *Supporting and developing our staff;*
- Objective 7 *Growing our volume of staff;*
- Objective 8 *Developing an enterprising campus;*
- Objective 10 *Projecting our reputation: a world leading university at the heart of local, national and global networks.*

The support and development of activities to help achieve these objectives underpin the management of research through the network of Associate Deans (Research) and School Research Directors, Research & Innovation Services, the University Research Executive and two specialist committees established in 2018 – UEA's REF Steering Group and ODA Research Steering Group.

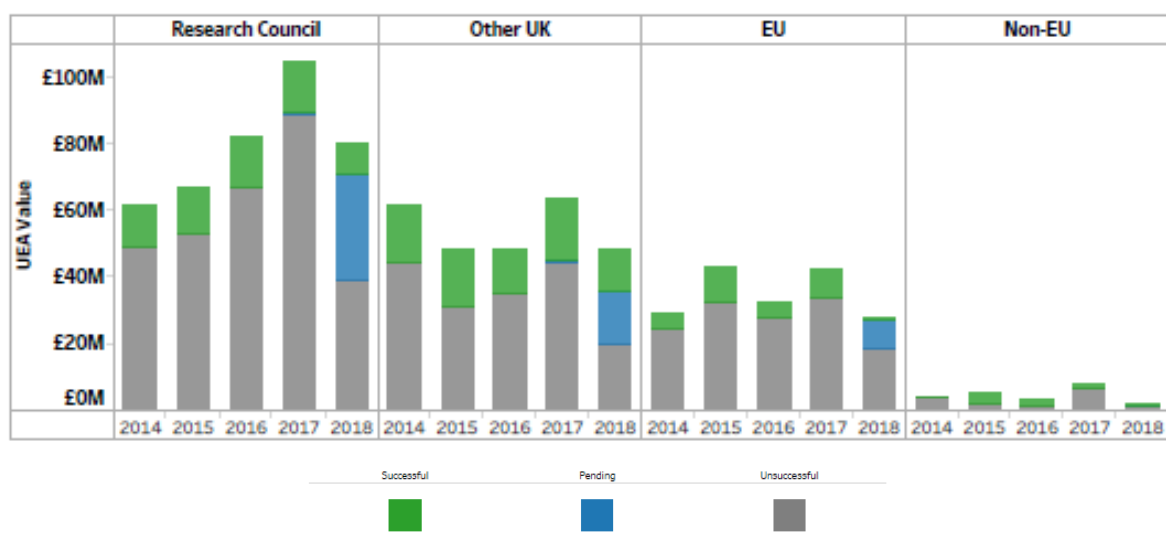
Recent years have seen the increasing visibility and importance of outputs from research activity, both in terms of the open research agenda and for impact beyond academia. Recipients of this report are therefore also encouraged to consider the annual report of the University's innovation activity (SEN18D020) in tandem as they complement each other on this subject.

Discussion

Research Grants and Awards

Figure 1 below describes the 4,869 research grant applications submitted to external funding bodies by the University during the five year period 2014-2018 (total value of applications £814.5m). Forty-nine percent of these applications were successful resulting in new grant awards to a value of £175.2m (21% of that applied for). Rates of application have fallen throughout this period by approximately 30% (in number) due to changes to the external funding environment and availability of research funds, and an increase in internal peer review activity resulting in fewer, higher quality submissions.

Figure 1. UEA Application Value per Year (2014-2018) by Funder Category.



UEA's overall grant bidding success rate by value has remained consistently around 20% (see Charts 1 and 2 below). Success rates differ by funder and scheme, for example with the NERC discovery science scheme UEA applications achieved a 39% success rate (as reported in the most recent NERC demand management calculations (January 2019)), continuing to keep UEA out of NERC demand management measures. The preponderance of higher success rates for lower value applications continues as demonstrated by the variance between success rates by number and value of application. Success rates for EU funding bids from UEA remain consistently around 35% (by number of applications) and volumes of bids to EU schemes from UEA seem presently unaffected by the uncertainties of Brexit.

Chart 1: Success rates (by number)

Funder Type	Status	2014	2015	2016	2017	2018
Research Council	Successful	30.3%	31.9%	34.1%	30.1%	18.6%
	Pending				0.5%	38.2%
	Unsuccessful	69.7%	68.1%	65.9%	69.4%	43.2%
Other UK	Successful	54.0%	54.6%	56.9%	59.1%	52.4%
	Pending				0.3%	21.0%
	Unsuccessful	46.0%	45.4%	43.1%	40.6%	26.5%
EU	Successful	40.2%	33.6%	35.3%	36.8%	26.6%
	Pending					34.2%
	Unsuccessful	59.8%	66.4%	64.7%	63.2%	39.2%
Non-EU	Successful	58.6%	81.0%	69.8%	63.4%	49.1%
	Pending					25.5%
	Unsuccessful	41.4%	19.0%	30.2%	36.6%	25.5%

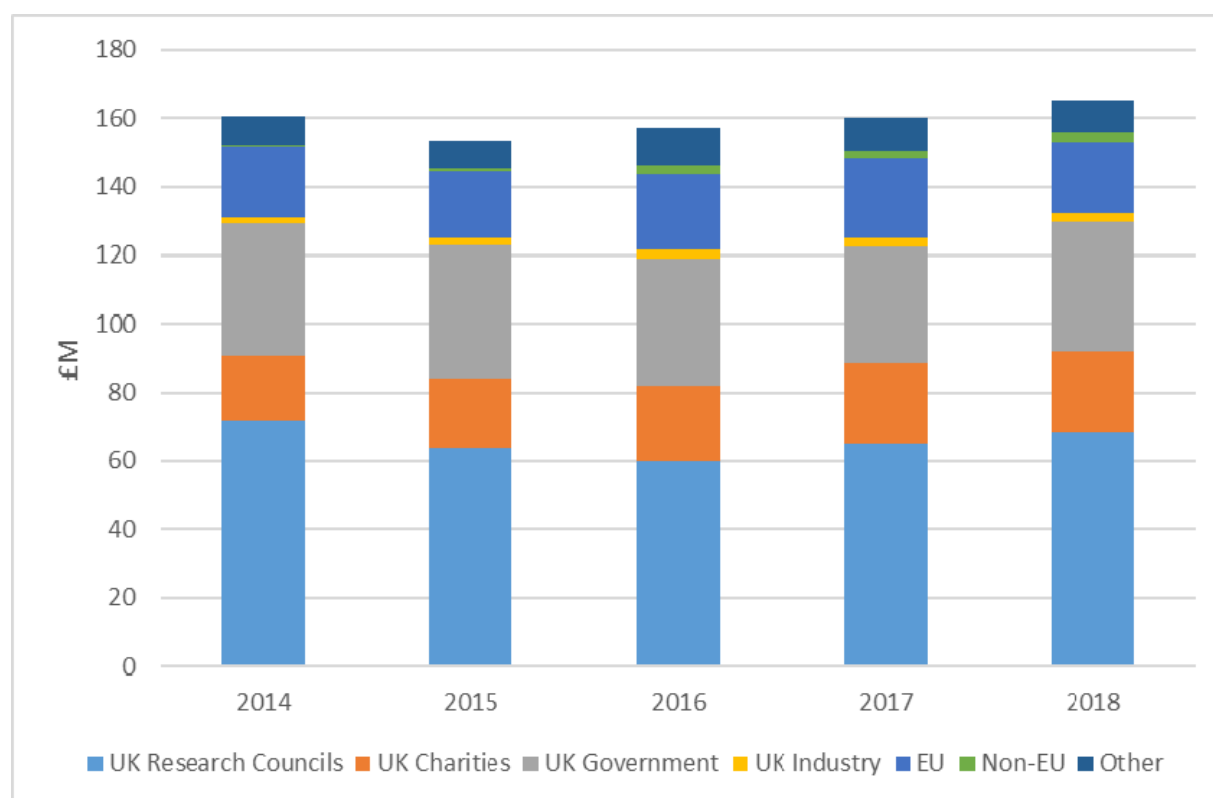
Chart 2: Success rates (by value)

Funder Type	Status	2014	2015	2016	2017	2018
Research Council	Successful	21.1%	21.2%	18.5%	15.0%	11.5%
	Pending				0.4%	40.0%
	Unsuccessful	78.9%	78.8%	81.5%	84.6%	48.5%
Other UK	Successful	27.9%	36.1%	27.9%	29.0%	25.6%
	Pending				0.2%	32.9%
	Unsuccessful	72.1%	63.9%	72.1%	70.8%	41.6%
EU	Successful	16.5%	24.6%	16.1%	19.4%	3.6%
	Pending					29.5%
	Unsuccessful	83.5%	75.4%	83.9%	80.6%	66.8%
Non-EU	Successful	13.4%	64.1%	69.7%	16.3%	30.9%
	Pending					21.4%
	Unsuccessful	86.6%	35.9%	30.3%	83.7%	47.7%

The University's current research grant holding stands at 719 live awards totalling an award value of £140.5m. Of these awards, 41 projects with an award value of £20.6m (15% of total award value) are funded from the European Commission.

Of particular note to the UEA Plan objectives are the recent award to UEA from Wellcome Trust supporting the development of a UEA Brain Imaging Centre; and a significant bid to the Research England Expanding Excellence in England Fund to develop researchers and laboratory space to support Norwich Research Park (NRP)-wide research in evolutionary biology. The outcome of the latter will be known in March 2019.

Figure 2. Awards current during year (value by funder in £m)



The University Research Executive has explored further key areas of research excellence in some detail to inform the development of the future Strategic Plan – these include the NRP Dementia Strategy, and Climate Research at UEA. Other key fields where UEA has the potential to develop national or global excellence will be considered throughout the year.

Research Outputs

The primary outputs from research are in the form of publications. The attached report (Appendix 1) on outputs listed in PURE (the University's research information system) from 2016-2018 show that during this three year period 12,063 new research outputs have been produced by UEA staff and students (although note that information about PhD and Masters theses are not included here). The overwhelming majority of these outputs (76%) are journal articles (Appendix 1 Table A).

Table B describes in more depth the detail of information held about UEA journal articles in PURE. This category of outputs is subject to Open Access eligibility requirements for REF2021, all journal articles accepted for publication after 01 April 2016 must be recorded in a repository within three months of publication (until March 2017) and within three months of acceptance from April 2017 onwards. The presence of documents added to an entry in PURE for a particular journal article indicates that that article meets the requirements of the REF Open Access policy and remains high at an encouraging 97% overall in both 2017 and 2018.

Research Excellence Framework 2021

In the past year, the University has increased activity in planning for the next submission to the Research Excellence Framework (REF), due in November 2020. The REF is the period national assessment of research excellence, the results of which inform HEIs' Quality Related (QR) income and numerous league tables and reputational benchmarks. In the last REF exercise (REF2014) UEA rose 12 places overall, was ranked 10th in the UK in terms of quality of outputs and over 82% of research submitted by UEA was considered to be "world leading" or "internationally excellent". UEA

submitted the research of 455 FTE research active staff in REF2014, comprising 1,611 outputs and 65 impact case studies across 24 units of assessment.

Since REF2014 the funding bodies have undertaken significant reviews and consultations on the methodology for the next REF. Key changes to the submission include the decoupling of outputs from individuals, requirement to submit all research active staff, increase in value of research impact, and the introduction of institutional research environment statements. Final guidance on submissions is expected to be published in January 2019.

In preparation for the submission, Associate Deans (Research), the Pro Vice Chancellor (Research & Innovation) and Research & Innovation Services have appointed Unit of Assessment Coordinators to undertake detailed preparatory work in each of the Units of Assessment where it is expected that the University will submit research activity (23 or 24 Units of Assessment depending on the funding bodies' treatment of multiple submissions).

Light touch output assessment exercises have been ongoing in Schools to inform output selection for the REF submission. This assessment will be further enhanced by selective external review in Spring 2019, culminating in a full modelling of the likely submission scenarios in July 2019. In parallel, reviews of potential REF impact case studies are ongoing, with selected cases being refined and resource being allocated to undertake the collection of appropriate supporting evidence.

Current projections for the size of the submission from UEA are approximately 700 FTE (733 individuals), 1,830 outputs and 72 impact case studies (note these are estimates and subject to change dependent upon eligibility requirements, consideration of individual circumstances and internal staff changes). This shows growth in line with the UEA Plan aims in large part due to methodological changes by the funding bodies. At present the quality of the likely submission is undergoing assessment and review and is difficult to predict.

Underpinning the preparation of the REF submission, the University is currently preparing a Code of Practice to guide REF decision making. This document will be submitted to the REF Equality and Diversity Panel (EDAP) for approval, once internal consultation and approval has been completed in Spring 2019.

Global Challenges Research Fund

In 2017-18 the University learnt that £525k of the Quality Related (QR) research funding received from UKRI was connected to UEA's success in Global Challenges Research Fund (GCRF) calls. UEA received the 26th largest allocation in 2017/18 (of 122 English universities). Furthermore that this funding should be ring-fenced specifically to support overseas development assistance (ODA) research at UEA. UKRI also informed the University of potential future allocations of GCRF related QR funding to 2020-21 and invited UEA to submit a strategy for use of these funds for the three years 2018-2021.

The UEA GCRF QR Strategy was submitted and approved by UKRI in summer 2018, resulting in £637k funding for 2018/19. The strategy outlined a variety of different activities that this UEA fund would support, these included:

- The creation of a visiting fellowships scheme to enable researchers from ODA countries to visit UEA for collaborative research
- Contributions to the full economic costs of UEA's ODA research projects
- A strategic, centralised fund to support pump-priming ODA compliant research activities
- High-quality professional and administrative support to promote ODA research and administer the GCRF QR funding

Awards from the GCRF QR fund will be awarded by the newly created ODA Research Steering Group, chaired by the Academic Director for Innovation, Professor Laura Bowater, on behalf of the Pro Vice Chancellor (Research & Innovation).

A condition of future years' GCRF QR funding is the detailed reporting of expenditure of the previous year's allocation. The report for 2017-18 expenditure was submitted and approved by UKRI and is appended to this report for information (Appendix 2).

Research Impact

Impact from research remains an important measure of quality and success, indeed it's value is increased in REF21 to 25% of the assessment (up from 20% in REF14). The University takes a collaborative approach to the development and support of impact from research, involving both research and innovation directors and professional services personnel.

Annual impact case reviews have been ongoing in Faculties, reporting to the Pro Vice Chancellor (Research & Innovation) since 2014-15. Through these reviews, Schools and Faculties have developed a strong sense of the meaning and importance of developing a portfolio of impact from their research. Reviews in 2018-19 will inevitably focus on the identification of the strongest cases for submission to REF21, whilst remaining mindful of the many other benefits of developing impact beyond REF submission. Alignment of impact cases with REF Units of Assessment, where School and UOA boundaries do not exactly meet, will also be addressed during the 2018-19 internal review exercise.

The University's first Innovation and Impact Awards were held in February 2018 to reward the efforts of our staff and students in developing the outcomes of research into real world solutions or entrepreneurial activity. The success of the event led to a repeat call for nominations in 2018-19 nominations were increased in number and spanned the work of all Faculties, the winners to be announced at the awards ceremony on 31 January 2019. A list of the finalists and winners is appended to this report for information (appendix 3). At the 2018 ceremony, two of the University's most prolific and entrepreneurial academics: Graham Finalyson, Professor of Computing Science; and David Russell, Emeritus Professor, School of Chemistry; were honoured with the title of UEA Innovation Fellows.

Research Staff Development

The annual process of Research Activity Planning (RAP) meetings continues in all Schools for all ATR (and some other research active) staff. These meetings address grant activity, publication planning, and impact activities, which for the first time in 2019 will include data on commercialisation activity. Associate Deans (Research) report to the Pro Vice Chancellor (Research & Innovation) on the completion of these planning meetings within their Faculties and are able to identify pockets of excellence and concern with regards to research performance.

In 2018, the University published a statement on the responsible use of metrics in research assessment. This statement, which has been widely circulated, reads:

The University of East Anglia is committed to the principles of fair, responsible and open use of metrics in the assessment of research activity and performance.

The University will put this commitment into practice by using metrics:

- *To support, and not replace, peer review and expert knowledge*
- *Which take account of discipline variations*
- *In a transparent manner and with a clear objective*
- *Which are appropriate and robust, with the limitations clearly explained*

As part of this commitment, UEA is a signatory to the San Francisco Declaration on Research Assessment (DORA).

The University held an inaugural Researcher Summit in January 2019 for those staff on research contracts (post-doctoral research associates, research fellows, etc). This summit enabled this body of staff to discuss and express issues of concern, and attendees were able to participate in a 3MP competition to detail their research. The event was well attended and the University is considering whether to repeat it in the future.

Research Reputation and Performance

The University was ranked 49th in the world for research citations in the Times Higher Education World University Rankings 2019. UEA researchers also featured in the Annual Highly Cited 2018 List with ten Norwich Research Park researchers named in the top 1% of the world's most highly cited researchers. Five of these were from the University of East Anglia: Phil Jones, Professorial Fellow, School of Environmental Sciences; Yaroslav Khimyak, Professor in Solid-State Nuclear Magnetic Resonance, School of Pharmacy; Corinne Le Quéré, Professor of Climate Change Science and Policy and Director of the Tyndall Centre for Climate Change Research; David Livermore, Professor in Medical Microbiology, Norwich Medical School; and Carlos Peres, Professor of Environmental Sciences, School of Environmental Sciences. This consistently high performance is evidence of the quality of our research output and the calibre of researchers at the University. These results also place Norwich in the top 10 cities in the UK for highly cited researchers.

To support the discoverability of the University's research output, the Enhanced Pure Portal was launched in 2018. This web-based search facility draws on the data held in PURE (the University's research information system) and offers an enhanced and accessible search facility for information and access to UEA's research outputs. Initial feedback has been positive and the Research Systems Improvement Board (comprising colleagues from RIN, ITCS and ARM with academic representative) are seeking further ways to develop the functionality and further improve the discoverability of UEA's research to a global audience. The Research Systems Improvement Project is in regular contact with the web development team (ARM) who have lead responsibility for the delivery of the new University website. This link will help to ensure that the new website continues to facilitate the discoverability and promotion of UEA research.

Focus for 2019

Building on the information described above and the challenges ahead for research, the primary focus for the next year and into UEA 2020-25 Plan will be:

1. REF21 preparations

This will absorb significant focus and attention over next 18-24 months, until the staff census date of 31 July 2020 and final submission deadline of 27 November 2020.

2. Grant capture vs competitors analysis

To guide future strategy for Schools/Faculties with aim to improve grant capture and success rates and to help to support trend towards larger interdisciplinary calls more effectively

3. Reputation

Working across Schools, and with ARM and RIN to identify short- and long-term actions to continuously drive up research reputation

We consider that these priorities will underpin future research success and secure the UEA's position as a leading, research-intensive university, well placed to adapt to future challenges.

Appendices

1. Publications and Open Access
2. Report on GCRF QR funding 2017-18
3. UEA Innovation and Impact Awards finalists and winners 2018 and 2019

Appendix 1: Publications and Open Access

Table A – Research Outputs as recorded in PURE (by School and output type)

School	2016						2017						2018					
	Books and Reports	Chapters in Books, Reports & Conference Proceedings	Conference contributions	Journal Contributions	Other outputs	Total	Books and Reports	Chapters in Books, Reports & Conference Proceedings	Conference contributions	Journal Contributions	Other outputs	Total	Books and Reports	Chapters in Books, Reports & Conference Proceedings	Conference contributions	Journal Contributions	Other outputs	Total
AMA	28	65	2	106	6	207	26	82	8	97	9	222	14	47	7	75	14	157
HIS	19	72	0	64	3	158	21	54	3	52	7	137	19	45	0	41	3	108
PPL	18	62	11	120	6	217	5	26	4	81	6	122	17	50	9	94	9	179
LDC	34	86	0	58	32	210	31	42	0	36	9	118	32	56	0	32	18	138
MED	18	24	44	979	12	1077	7	20	41	730	5	803	8	17	26	621	5	677
HSC	7	18	25	309	8	367	8	14	35	332	10	399	2	7	25	193	2	229
BIO	0	9	2	365	1	377	2	13	1	278	0	294	0	7	0	231	0	238
CHE	14	34	19	289	1	357	0	2	5	121	3	131	0	6	3	135	2	146
PHA	1	6	1	103	0	111	1	2	0	85	0	88	1	4	1	93	0	99
CMP	4	106	23	121	2	256	0	42	17	139	1	199	0	36	1	80	2	119
ENV	10	50	12	435	8	515	5	32	0	367	4	408	9	26	3	299	9	346
MTH	3	38	11	166	1	219	1	6	11	70	0	88	0	8	5	70	2	85
DEV	9	26	1	105	8	149	12	34	4	176	6	232	7	21	0	128	7	163
ECO	2	13	2	70	12	99	1	2	0	61	12	76	0	4	3	54	4	65
LAW	2	13	5	32	5	57	8	21	1	36	4	70	8	17	1	51	6	83
EDU	51	55	12	103	11	232	20	30	3	71	2	126	13	28	4	37	2	84
NBS	8	22	17	154	9	210	10	18	13	120	3	164	7	14	2	107	8	138
PSY	4	8	3	160	0	175	3	6	0	178	0	187	0	4	0	71	0	75
SWK	9	1	0	25	0	35	7	1	1	15	0	24	5	3	0	10	0	18
Total	241	708	190	3764	125	5028	168	447	147	3045	81	3888	142	400	90	2422	93	3147

Appendix 1: Table B Open Access Compliance

	2016							2017							2018						
	with docs			without docs				with docs			without docs				with docs			without docs			
School	Accepted/ In press	Published	Sub-total	Accepted/ In press	Pub	Sub- total	2016 Total	Accepted/ In press	Pub	Sub- total	Accepted/ In press	Pub	Sub- total	2017 Total	Accepted/ In press	Pub	Sub- total	Accepted/ In press	Pub	Sub- total	2018 Total
AMA	0	39	39	0	1	1	40	3	49	52	0	1	1	53	8	43	51	1	2	3	54
HIS	0	22	22	0	1	1	23	0	17	17	0	2	2	19	4	26	30	0	2	2	32
PPL	0	61	61	0	5	5	66	0	67	67	0	3	3	70	17	65	82	0	3	3	85
LDC	0	9	9	0	0	0	9	0	11	11	0	2	2	13	4	18	22	1	2	3	25
MED	0	442	442	0	38	38	480	1	472	473	2	12	14	487	6	529	535	3	4	7	542
HSC	2	149	151	0	21	21	172	0	147	147	0	9	9	156	3	165	168	1	2	3	171
BIO	0	170	170	0	7	7	177	0	203	203	0	2	2	205	2	216	218	0	5	5	223
CHE	0	103	103	0	4	4	107	0	93	93	0	1	1	94	1	97	98	0	2	2	100
PHA	0	77	77	0	5	5	82	0	65	65	0	1	1	66	1	78	79	0	2	2	81
CMP	0	62	62	0	4	4	66	0	75	75	0	0	0	75	3	80	83	0	1	1	84
ENV	0	261	261	0	34	34	295	0	261	261	0	12	12	273	3	281	284	3	10	13	297
MTH	0	57	57	0	12	12	69	1	65	66	0	2	2	68	6	62	68	0	1	1	69
DEV	0	79	79	0	6	6	85	0	101	101	0	9	9	110	5	120	125	1	5	6	131
ECO	0	49	49	0	3	3	52	0	52	52	0	0	0	52	7	54	61	0	0	0	61
LAW	0	21	21	0	3	3	24	0	23	23	0	2	2	25	6	23	29	0	0	0	29
EDU	0	25	25	0	3	3	28	0	27	27	0	2	2	29	2	29	31	0	1	1	32
NBS	0	79	79	0	9	9	88	2	96	98	0	1	1	99	7	99	106	0	2	2	108
PSY	0	55	55	0	4	4	59	0	57	57	0	1	1	58	0	65	65	0	3	3	68
SWK	0	6	6	0	1	1	7	0	12	12	0	0	0	12	1	13	14	0	0	0	14
Total	2	1766	1768	0	161	161	1929	7	1893	1900	2	62	64	1964	86	2063	2149	10	47	57	2206
% of articles with uploaded documents							92%							97%							97%

Appendix 2: Global Challenges Research Fund Quality Related (GCRF QR) funding 2017-18

A condition of receipt of GCRF QR funding from Research England was the submission of a detailed report showing the expenditure against the funding allocation. This is summarised in the table below:

Furthermore, a series of mini narrative case studies were required describing Overseas Development Assistance (ODA) research which had received GCRF QR funding during the reporting period. These are reproduced on the following pages.

Type of Expenditure	Value
Rapid Response Funding (11 awards made in response to internal competitive funding call)	£266,958
Contribution to cost of research funding manager and workshop events	£11,106
Contribution to Full Economic Cost of ODA compliant research projects (22 projects)	£249,112

Annex C: Case Studies

Using the templates below, please provide up to three narrative case studies of specific ODA-eligible activities, projects or other undertakings funded through your QR GCRF allocation in AY 2017-18. Institutions are strongly encouraged to provide three case studies rather than only one or two, though we acknowledge that some HEIs (particularly those with smaller allocations) may have chosen to focus their activities on only one or two discrete projects or activities. **Case studies must be no longer than 350 words each.** Text boxes may be expanded to the required length.

Tom Shakespeare, Professor of Disability Research at UEA, has initiated collaborations on the issue of ex-combatants and disability with Dr Anthony Mugeere (Makerere University, Uganda), Dr Dikmen Bezmez (Koc University, Turkey) and Dr Minerva Rivas Velarde (University of Geneva). This team decided to study this issue in three target DAC countries: Uganda, Colombia (following a recently-negotiated peace settlement between rebels and government forces), and Nepal. GCRF-QR funding enabled Mugeere to tour Northern Uganda, and meet key stakeholders; it enabled Minerva Rivas Velarde to visit Colombia and do preliminary research and networking; it enabled Dikmen Bezmez to visit Nepal to engage with stakeholders there. The funding also enabled Mugeere to visit UEA for two weeks, and Rivas Velarde to join him and Shakespeare.

The project has begun to identify problems on the ground for ex-combatants with disabilities. It has identified the lack of awareness and attention to the specific needs of these individuals, who are managing transitions from both combatant to ex-combatant, but also non-disabled to disabled. There may be hostility or suspicion towards ex-combatants from the disability community, as the former are felt to be perpetrators of violence. The project has begun to identify needs for rehabilitation, livelihood, and community development opportunities, particularly unmet needs for peer support. All of these activities will benefit individuals and groups in these three DAC countries, and also other countries facing armed conflict, whether civil war or multi-national conflict (Syria, Yemen). While there is considerable attention to the death toll of conflict, it is also the case that a large number of individuals are left permanently disabled as a result of conflict, often disproportionately young men, who would otherwise have been economically active. Removing barriers to the economic participation and community integration of ex-combatants with disabilities will benefit them, their families, and promote development.

GCRF-QR funding supported the team to survey the relevant literature; build their capacity and that of DAC country partners; enrich their understanding of the situation on the ground; develop a more detailed research project, including better methodologies and more evidence of local collaboration; and prepare two draft articles for submission.

Jenni Barclay, Professor of Volcanology in the School of Environmental Sciences at UEA, received GCRF-QR funding to exploit opportunities having emerged from recently funded GCRF projects, for action in disaster risk reduction with project partners in DAC countries. Overall, this has improved the saliency and accessibility of the information for the communities at risk.

Three priorities were established for these funds:

1. to enhance and improve the co-designed exhibit 'Soufriere Blow' — exhibiting it during 'Volcano Awareness Week' and enhancing its usability for an ongoing Community Based Disaster Risk Reduction project ('Volcano Ready') in the Caribbean;
2. to create a website as a portal for past disaster information for the Caribbean drawing on Soufriere Blow and other data, and to synthesise and improve awareness of historical information of past disasters in the UK Archive; and
3. to co-create a new film of experience of the eruption on Montserrat, and enhance the use of graphics and design in another film on the experience of ash in Ecuador.

The initial outing of Soufriere Blow (24th-27th April 2018) in the village of Chateaubelair saw direct viewings by 350 schoolchildren and around 100 further community members, with interviews and discussion on SVG-TV and NBC Public Radio. It sparked further conversations and stories of the eruption, equalising different knowledges and their value in future actions, as well as creating new conversations around the importance of culture. The initial venture convinced the collaborative group (Co-Is, SRC and NEMO) that this provided powerful inclusive mechanisms to create both learning from past hazards and processes that improve future preparedness.

Prof Barclay and her team are now working on developing the Soufriere Blow website in response to these experiences and aim (2) above, and anticipate this will be ready in the autumn. The ash film was seen directly by over 150 community members in three towns in Peru (sharing experiences between communities in Ecuador and Peru directly) and will be embedded in global websites and used locally. The Montserrat film has been co-created with the Montserrat Volcano Observatory and will be premiered there in November on a research

Arjan Verschoor, Professor of Economics in the UEA School of International Development, was awarded GCRF QR funding for research that will help develop agricultural insurance products adapted to the risk management needs of small-scale farmers in developing countries. The main idea for these improved agricultural insurance products grew out of Verschoor's recently completed ESRC/DFID study on agricultural investment among approximately 2,000 farmers in Uganda. The idea is to provide groups of farmers with insurance against adverse weather by boosting a common fund when satellite imagery shows poor crop-growing conditions. The allocation of the fund is left to farmers through locally established risk-sharing mechanisms. The insurance products may be bundled with access to finance and agronomic advice, drought and disease resistant seed, and pest surveillance, so that farmers obtain comprehensive risk management services. Fully adequate protection against risk will give farmers the confidence to invest in improved inputs, which may lead to agricultural growth, rural poverty reduction and enhanced food security in developing countries.

For realising this vision of providing tailor-made insurance products to small-scale farmers in developing countries, Prof Verschoor and his team have established all necessary partnerships. In Uganda, they are working with insurance companies, rural banks, agricultural input dealers and farmers' organisations to develop these products.

The GCRF QR funding was used for the implementation of a Service Design methodology for investigating the risk-management needs of farmers in Bwikhonge sub-county, in eastern Uganda. Service Design is a user-centred qualitative approach to understand the needs and contexts of the intended beneficiaries of a product or service. Fieldwork took place in April and May 2018, and analysis in June and July. The team worked with two Service Design experts from the Behaviour and Choice Initiative (BCI) at the Stockholm Environment Institute, a renowned think tank, who provided their time *pro bono*.

The knowledge obtained using this methodology will next be used for refining the design of insurance products to suit farmers in Uganda, where underinvestment by small-scale farmers because of lack of insurance is well known to hold back rural development and poverty reduction.

Appendix 3

UEA Innovation and Impact Awards finalists and winners 2018 and 2019

2018 INNOVATION & IMPACT AWARDS

Outstanding Impact in Policy and Practice

Winner: Andy Jordan (ENV) *Europe, The UK and the natural environment: impacting the EU referendum and the Brexit process*

Finalist: Nikos Skoutaris (LAW) *Can Scotland and Northern Ireland remain in the EU?*

Finalist: Toby James (PPL) *Improving electoral integrity and democratic participation through electoral administration and management*



Outstanding Impact in Health, Wellbeing and Welfare

Winner: John Ford (MED) *Improving access for all: Reducing inequalities in access to GP services*

Finalist: David Russell (CHE) *Iceni Diagnostics*

Finalist: Lee Hooper (MED) *Recognising dehydration in older people*

Outstanding Social or Cultural Impact

Winner: Henry Sutton (LDC) *Crime Pays: Bringing Noir to Norwich*

Finalist: Steven Hooper (SRU) *Fijian Arts*

Finalist: Lyndsey Stonebridge (HIS) *Refugee History*

Outstanding Commercialisation of Technology

Winner: Doug Yu / Kat Bruce (BIO) *Naturemetrics*

Finalist: Justin O'Grady (MED) *Pathogen DNA enrichment for metagenomic sequencing based diagnostics*

Finalist: Aldina Franco (ENV) *Movetech Telemetry*

Consultancy Project of the Year

Winner: Michael Wormstone (BIO) *Improving cataract surgery outcomes*

Finalist: Richard Fordham (MED) *Home blood pressure monitoring in a hypertensive pregnant population: cost effectiveness analysis*

Finalist: Charles Brearley (BIO) *Improving animal nutrition through targeted analytical science*

SME Collaboration of the Year

Winner: Liz Rix (SCI) *Science Analytical Facility*

Finalist: Alfonso Avila-Merino (NBS) *Sync the City*

Finalist: Andrew Fearne (NBS) *Who buys my food?*

Award for Student or Graduate Innovation & Enterprise

Winner: Paul Donati (LAW) *Catching a Fish in Norway*

Finalist: Dennison Smith (LDC) *The Baldwin Gallery*

Finalist: Michelle Sewell (LDC) *Hack Theatre*

ESRC Impact Accelerator Account Award

Winner: Derwin Gregory (HIS) *Operation WALBEA: What the Americans left behind in East Anglia*

2019 INNOVATION & IMPACT AWARDS

Outstanding Impact in Policy and Practice

Winner: Dr Martin Scott (DEV) *The Humanitarian Journalism research project*

Finalist: Prof Kevin Hiscock/Prof Andrew Lovett (ENV) *Wensum Demonstration Test Catchment*

Finalist: Prof David Mead (LAW) *The respect and enforcement of human rights in the UK*



Outstanding Impact in Health, Wellbeing and Welfare

Winner: Dr Karen Bunning (HSC) *Childhood disability in rural Kenya*

Finalist: Prof Laura Biggart (PSY) *Emotional resilience training at work*

Finalist: Callum Coombes (CMP - alum) *Safepoint*

Outstanding Social or Cultural Impact

Winner: Dr Eylem Atakav (AMA) *Growing Up Married*

Finalist: Nathan Hamilton (IIH)/Dr Philip Langeskov (LDC) *The Publishing Project*

Finalist: Dr Tim Snelson (AMA) *Archive service accreditation East Anglian Film Archive (EAFA)*

Outstanding Commercialisation of Technology

Winner: Dr Sheng Qi (PHA) *Technology solutions for treating diseases*

Finalist: Prof Steve Dorling (ENV) *Weatherquest*

Finalist: Dr Jelena Gavrilovic/Dr Damon Bevan (BIO) *Norwich Skin Platform*

Consultancy Project of the Year

Winner: Prof Rachel Warren (ENV/TYN) *Impacts of Climate Change*

Finalist: Prof Ric Fordham (MED) *Health economics and clinical outcomes modelling solution associated with falls prevention*

Finalist: Dr Guy Peryer (HSC) *Expanding community involvement in palliative and end of life care*

SME Collaboration of the Year

Winner: Matthew Bennett (SCI) *SmartCondensing*

Finalist: Dr Brian Reid (ENV) *Safer Agrochemicals*

Finalist: *Sync The City* (NBS/CCEN/external collaborators)

Award for Student or Graduate Innovation & Enterprise

Winner: Dr Oskar Wendowski (PHA) *e-surgery*

Finalist: Jack Lowe (DEV) *Curious Directive*

Finalist: Jesse Onslow Norton/Lauren Razavi (PPL/LDC) *Norwich Sharing City*

ESRC Impact Accelerator Account Award

Winner: Andrew Mayes (CHE) *Microplastic Detection*

SEN18D020

Title: *Innovation Report*
Author: PVC (Research and Innovation) Professor Fiona Lettice and Head of innovation, Dr Jon Carter
Date: February 2019
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Freedom of Information Advisory Note:
Disclosure of the information in this paper may be prejudicial to the University's compliance with the Data Protection Act, conduct of public affairs or commercial interests. Not to be disclosed without consultation with the Vice-Chancellor.

Issue

Annual update on innovation across UEA to Senate

Recommendation

To consider

- (1) the authors' report on UEA innovation activities; and
- (2) recommendations linked to improving UEA's performance in contract research and CPD training:
 - a) methods of removing any internal barriers to contract research;
 - b) methods of diversifying the funding base for contract research; and
 - c) addressing some of the issues inhibiting an increase in the University's CPD offer.

Resource Implications

None

Risk Implications

None

Equality and Diversity

None

Timing of decisions

None

Further Information

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1. Introduction: The Innovation Environment

Oversight of Innovation activity is provided by the Innovation Executive, chaired by the P V-C Research and Innovation, and whose membership includes the Associate Deans for Innovation from the Faculties, the Academic Director of Innovation, the Director of Division, and with the Head of Innovation as secretary.

Innovation activity undertaken is funded through a separate funding stream from Research England, the Higher Education Innovation Fund, commonly abbreviated to HEIF. HEIF is allocated to universities according to an unreleased formula based on certain metrics returned as part of the annual Higher Education Business and Community Survey, commonly abbreviated to HEBCIS, the return to which is described in more detail in Section 2 of this report.

To complement HEBCIS, and to bring innovation in line with research and teaching it has been announced that a new Knowledge Exchange Framework (KEF) will be implemented and there is currently a consultation process underway. Further details on KEF are presented in Section 3 of this report.

Innovation has a key role within UEA's strategy with the portfolio of innovation activities contributing to a number of the Vision 2030 objectives including:

Objective 4	Increasing our research power and impact
Objective 6	Supporting and developing our staff
Objective 8	Developing an enterprising campus
Objective 9	A leader in regional economic and cultural development
Objective 10	Projecting our reputation: a world-leading university at the heart of local, national and global networks

In addition to the direct and indirect generation of income Innovation also closely aligns with a number of other key University priorities including reputational gain, student enterprise and employability, and research. Innovation activity can contribute to both the creation and evidencing of REF impact case studies.

Performance against key elements in Objective 8 is outlined below:

- 1. We will provide opportunities for student and staff enterprise that will strengthen links with the business community and strengthen financial sustainability through enterprise-linked returns being channelled into new investment in the 2030 Vision. This will include support for the development of greater numbers of spin-out companies on the NRP with the help of Norwich Research Partners LLP.*

This has been considerable activity in this area, a number of examples of which are detailed below:

- 1.1 The last five spin-out companies: IsoChemix, Icen Diagnostics, AMA, WEMC and UEA Publishing Project Ltd have all chosen to establish and remain on the NRP. Links with the business community are also being strengthened by the Relationship Management Team within RIN both through individual interactions and through industry groups such as NAME (Norfolk Advanced Manufacturing and Engineering) and FIG (Financial Interest Group).

- 1.2 UEA is now a consortium member on two successful bids to the Research England Connecting Capabilities Fund. The first of these, EIRA, was reported last year and, this year, this programme has provided funding to UEA totalling £244,000. This funding has supported a number of projects including:

i-Teams	£ 15,000
Innovation internships	£ 53,000
Student enterprise accelerator	£ 24,000
Innovation Vouchers	£ 5,000
Proof of Concept (three projects)	£117,000
Collaborative R&D	£ 30,000

In addition to EIRA £4.8M has been awarded to establish the Ceres Fund. The Ceres Fund, led by Cambridge and with Hertfordshire, Lincoln, and Reading, in addition to UEA, as partner universities and with the John Innes Centre, NIAB and Rothamsted as further participants, is looking to partner, build, and invest in commercially viable development projects focused on the innovation needs of the agri-tech sector. The specific details around the Fund have recently been developed and internal publicity about how to apply for funding and access the associated support will be communicated to academic staff shortly.

- 1.3 To facilitate innovation activities UEA has decided that the Adapt Group, which has recently focussed on the Low Carbon Innovation Fund and the operation and management of The Enterprise Centre, will become part of the Research and Innovation Service. This reorganisation will provide a more efficient and effective, seamless, integrated service and provide more clarity around the UEA offer. There has been confusion over the relationship between Adapt and UEA which this merger will remove. Together with Norfolk County Council UEA is currently investigating the possibility of raising a second Low Carbon Innovation Fund supported by the ERDF.

- 1.4 UEA has partnered on a two ERDF supported programmes. The first of these, led by Hethel Innovation is the Breakthrough project. This builds on the previous success of Hethel's Innovation New Anglia programme that will be completed this October. The objectives of the Breakthrough project are to:

- Encourage cross-sector innovation in the East
- Deliver training that will help commercialise world leading research
- Support the development and establishment of new and innovative start-ups
- Foster collaborations between researchers and local businesses

In the other ERDF backed initiative, Invest East, UEA is partnering with Norfolk County Council and others, including New Anglia LEP, to establish an investment readiness programme. This builds on the success of the Low Carbon Innovation Fund (LCIF) and will see two additional members of staff at UEA funded to help local companies improve their investment readiness. While the offer is open to all local SME's this additional resource will also be able to support enterprise at UEA.

- 1.5 UEA is currently developing its response to how it will help East Anglia address issues associated with low productivity. Under the working title the “Institute of Productivity” a programme combining increased undergraduate teaching in key shortage areas such as engineering, the construction of a new facility linking Building 60 and the Julian Study Centre, a programme of CPD and training, and showcasing of relevant research outputs is being proposed. While dependent on attracting external funding for its realisation the initiative illustrates UEA’s ambition to work with local industry and other educational institutions. The development of the Institute of Productivity concept has resulted in looking at some of the barriers to the delivery of CPD and the development of plans as how these might be removed or mitigated.
- 1.6 A further reflection of UEA’s ambition was its willingness to lead the Strength in Places Fund bid for Norfolk and Suffolk. If this bid is successful it will see £36M invested in to digital technology and its associated industrial sectors. The submitted expression of interest was supported by all the universities in Norfolk and Suffolk, local authorities and a range of industrial partners including BT, Aviva, IBM, Archant, Barclays and Hewlett Packard. An announcement on which consortia would be invited to develop their expressions of interest into full bids was anticipated 22nd October 2018 but this has been delayed and it is not currently known when the announcement will be made.
2. *With our partners on the NRP and with the help of stakeholders, such as the New Anglia Local Enterprise Partnership, the local authorities and the Biotechnology and Biological Sciences Research Council, we will re-finance the NRP Translation Fund to help develop enterprise from our innovative research.*

Further funding for the Translational Fund is still being sought. To facilitate this a brochure outlining successes to date has been published and an event was held on 16th January 2019 to promote both the Fund and its associated projects. An application for funding has been submitted to the New Anglia LEP for £1m which, if successful, it is hoped can be used to leverage additional funding.

3. *We will launch a new Enterprise Fund, contributed to by benefactors who will also give up their valuable time to mentor our students as they develop a business idea.*

A new Enterprise Fund has been launched to support student and recent graduates. In addition to financial support one of the key aspects of the Fund is the advice and support applicants are able to receive from the experienced Investment Committee comprising of successful alumni. These individuals are making a highly valued contribution to student enterprise. In addition to seeking funding for the Translational Fund the New Anglia LEP has also been asked to support the student focussed Enterprise Fund with a similar £1m of funding.

2. HECIS and comparative metrics

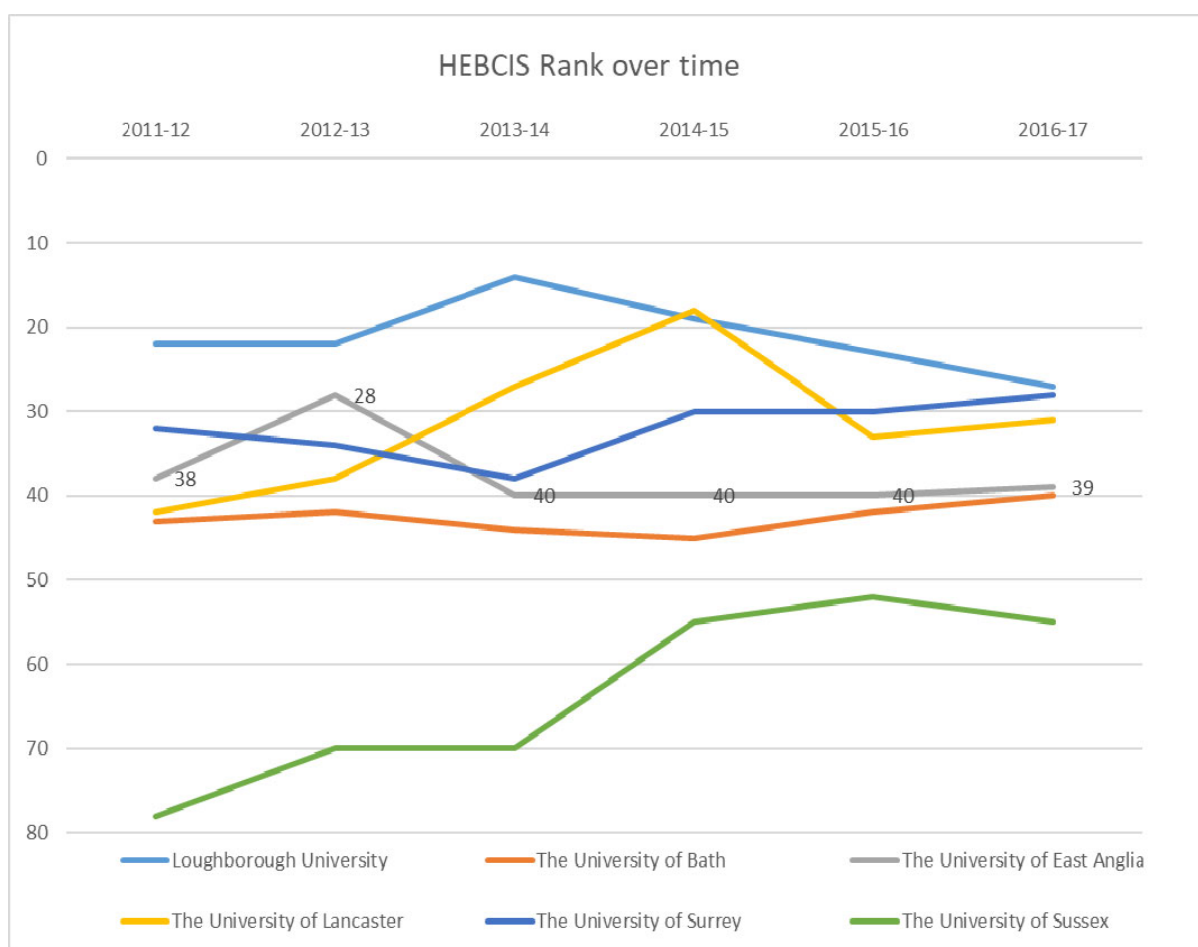
The data supplied as part of HECIS provides a useful basis for both looking at UEA's performance over time and allows comparison with the other 160 institutions that make a return. A great deal of data, often with HECIS specific guidance notes, are returned and the following summary focuses on UEA's overall performance and those metrics which are used as part of the process of HEIF allocation. The following analysis is based on the latest year for which data is available, 2016/17. As part of the analysis UEA's performance is compared with that of Bath, Lancaster, Loughborough, Surrey and Sussex. Data is presented on both the overall HECIS return over time and a more detailed analysis of the elements of HECIS that contribute to HEIF allocation. For these areas it should be noted that it is the financial return (income generated) that is used. In addition, to help provide context, the top ranked university and the 20th ranked university are included in the figures. From this it can be seen that different universities have strengths in different areas, an observation that is important for KEF.

2.1 Overall HECIS rank

The overall rank position of in terms of total HECIS income returned by the 160 HEIs involved can be used to benchmark performance. It should be noted however that this figure includes Collaborative Research which is not a metric used in the allocation of HEIF. Figure 2.1 shows the changes in rank position of UEA and competitors over time. The improvement of the University's placing in 2012-13 was due to a single EU funded regeneration project, the Low Carbon Innovation Fund.

It is worth noting that all HECIS returns are absolute values and do not take into account the size or total income of an institution. While Fig 2.1 shows that UEA was ranked 39th in 2016/17 if total HECIS eligible income is considered as a proportion of an institutions total income UEA would have ranked 14th.

Figure 2.1: University ranking by total HEBCIS eligible income



2.2 UEA's performance in HEIF relevant metrics over time

Figure 2.2 shows the University's performance over time for the key, HEIF relevant, metrics of income from consultancy, intellectual property, facilities, regeneration, contract research and CPD.

Figure 2.2: UEA performance in key metrics over a five year period

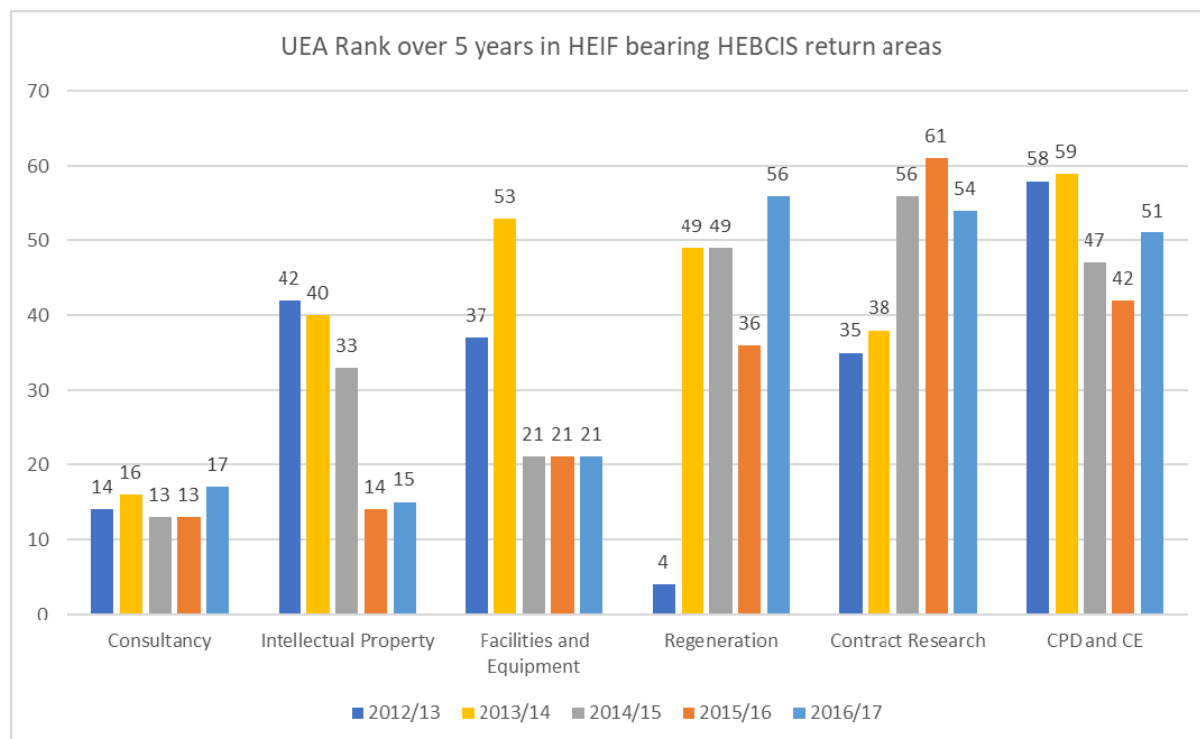


Figure 2.2 shows that the University is maintaining its strength in consultancy and is improving in the areas of intellectual property and facilities and equipment. The improvement in intellectual property is a combination of improved recording of activity and a number of substantial commercial contracts. The improvement in facilities and equipment has been supported by the continued development of the Norwich Research Park. The figures for regeneration income are very volatile and reflect that they can be dependent on a few, large projects. It is also worth noting that a large proportion of the regeneration returned by universities is dependent on EU funding streams such as ERDF and hence is likely to be even more volatile across the whole sector in the next few years. The two areas where the UEA has not been able to improve is its relative performance on contract research and CPD. This lack of improvement for these two metrics is discussed in more detail below.

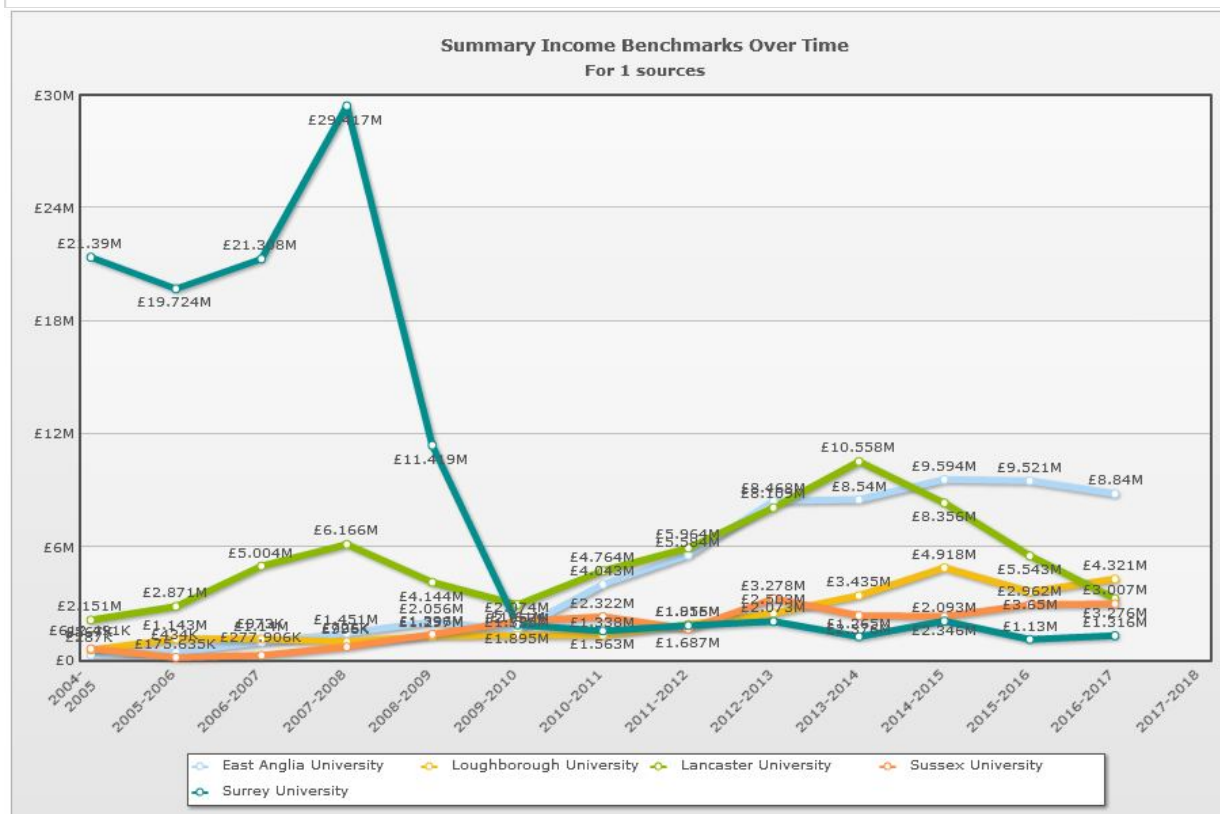
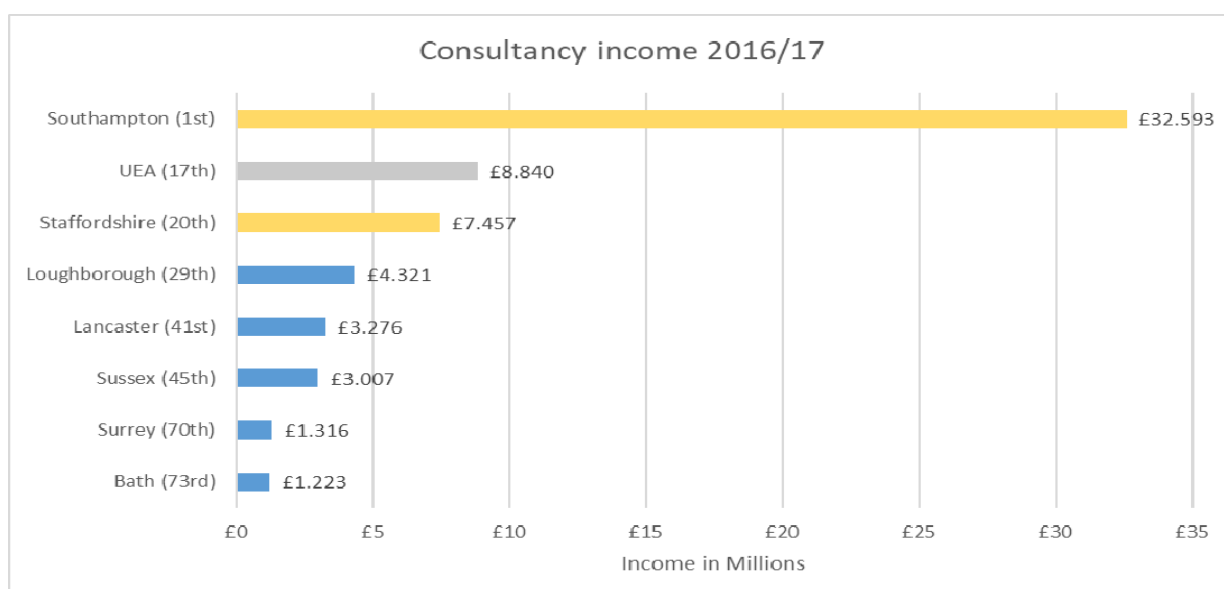
2.3 Comparative Analysis

Reviewing the data for each of the key HEBCIS metrics in turn a graph is presented for the 2016/17 returns that also shows the top and the 20th ranked universities and a further graph showing the UEA's and the other selected universities returns over the past 10 years. The breakdown of each institutions return is obviously confidential to the institution but the analysis does include some speculation on the reasons behind the strengths of various institutions.

2.3.1 Consultancy

Consultancy is defined as the provision of expert advice and work, which while it may involve a high degree of analysis, measurement or testing, is crucially dependent on a high degree of intellectual input from the organisation to the client (commercial or non-commercial) without the creation of new knowledge. In 2016/17 UEA returned £8.84million in consultancy income.

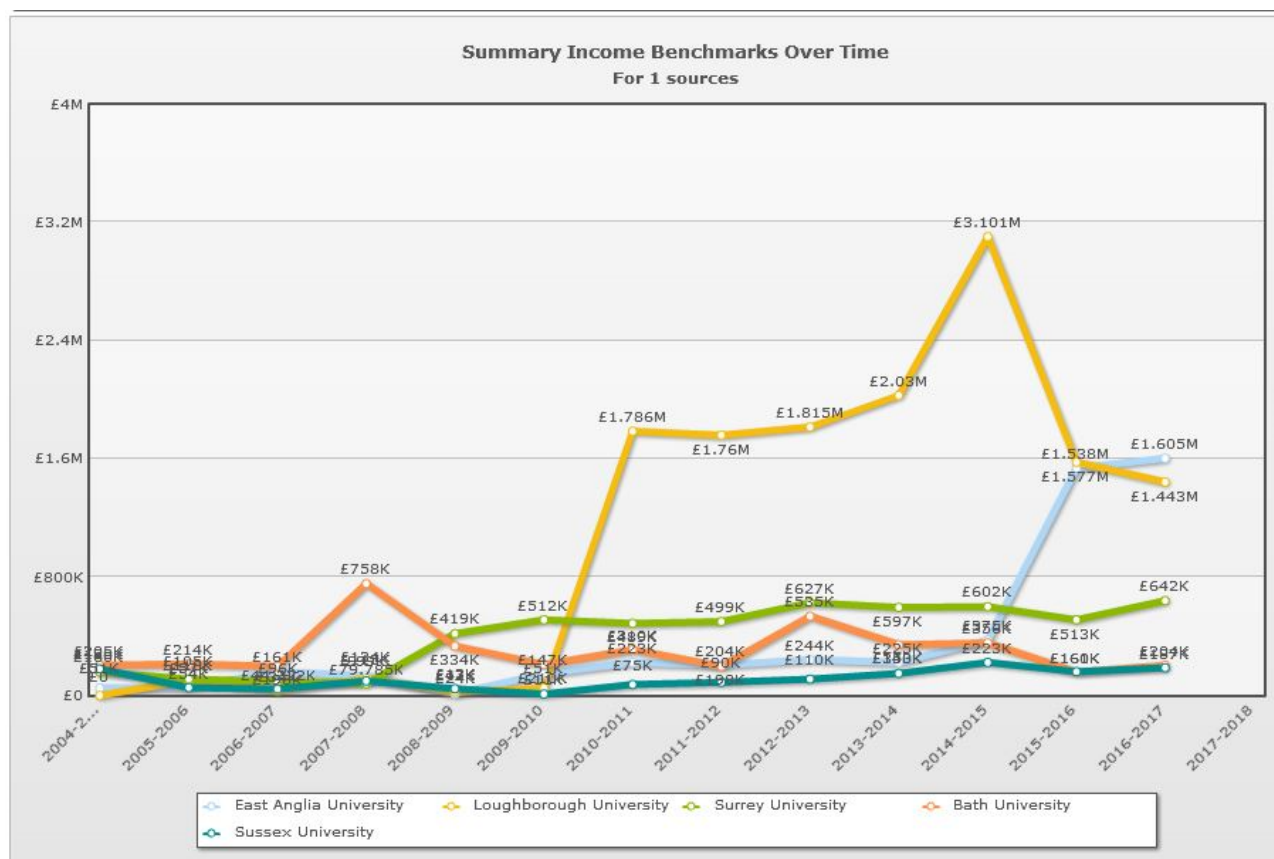
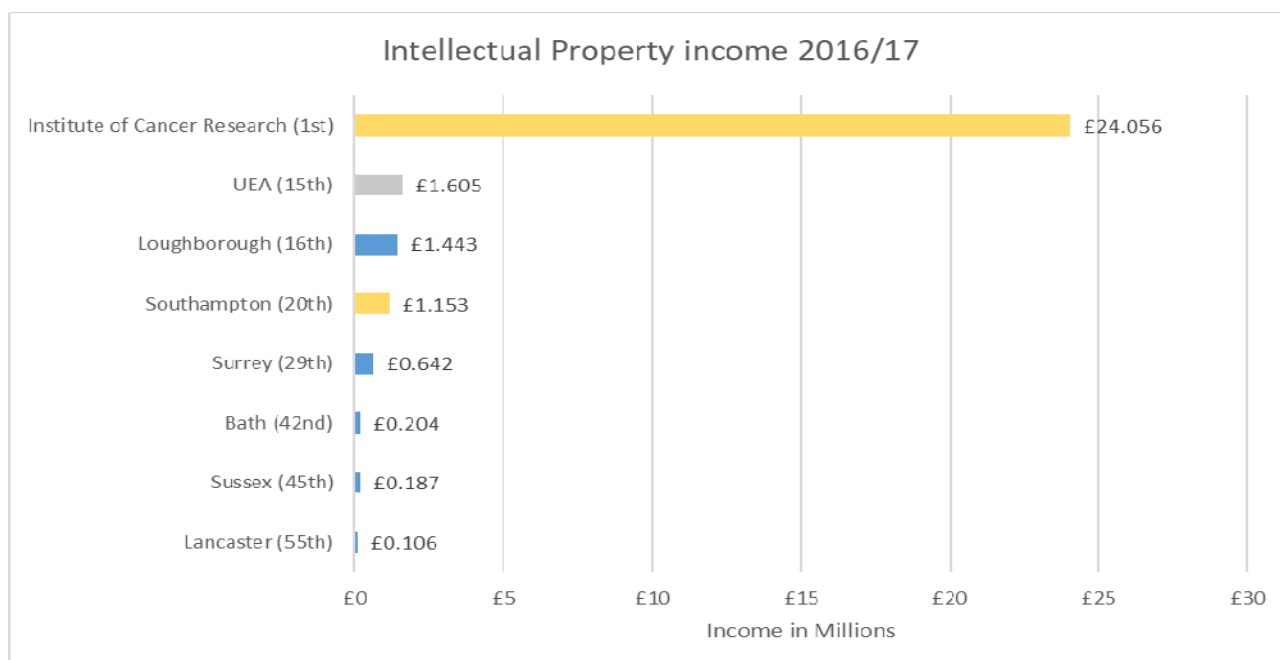
The success of the University of Southampton may be due to it having established a number of units within its Faculty of Engineering and the Environment such as its Institute of Sound and Vibration Research and Research Institute for Industry that have a prominent dedicated consultancy element.



2.3.2 Intellectual Property

In 2016/17 UEA returned £1.6 million in Intellectual Property income. Data is collected on all types of IP agreement including patents, copyright, design registration and trademarks.

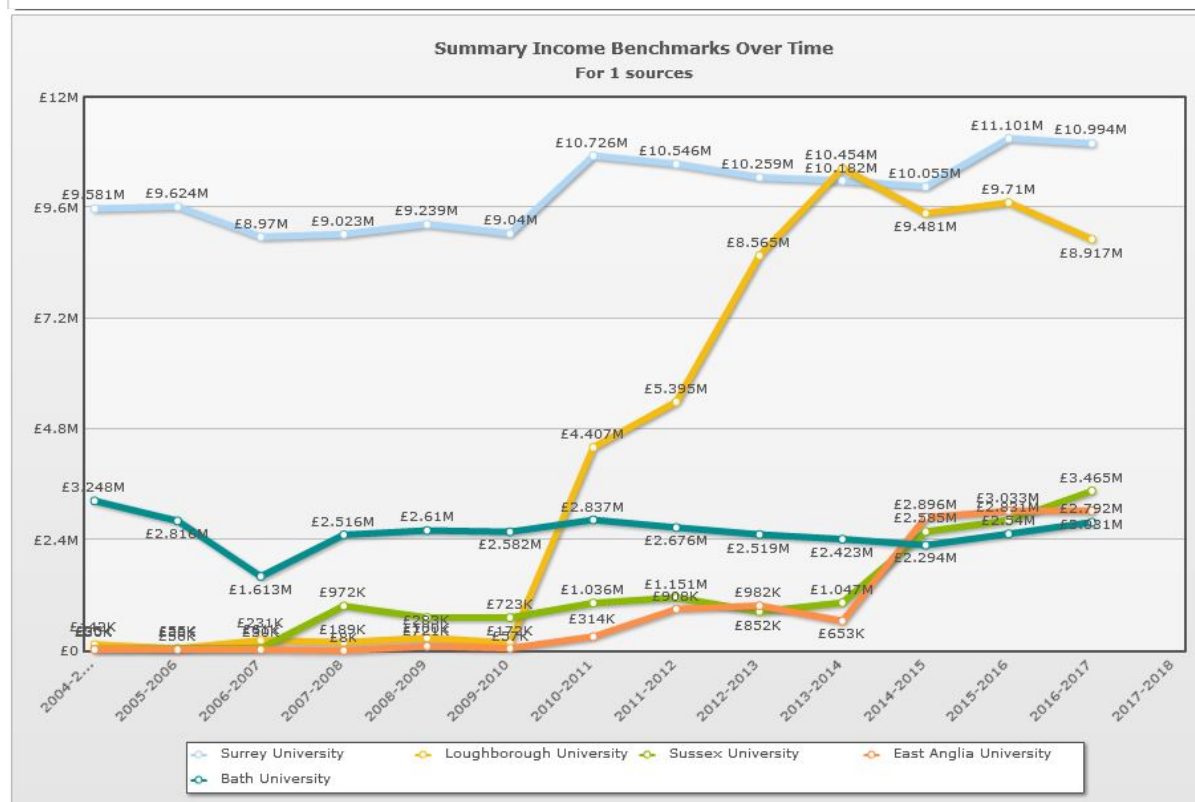
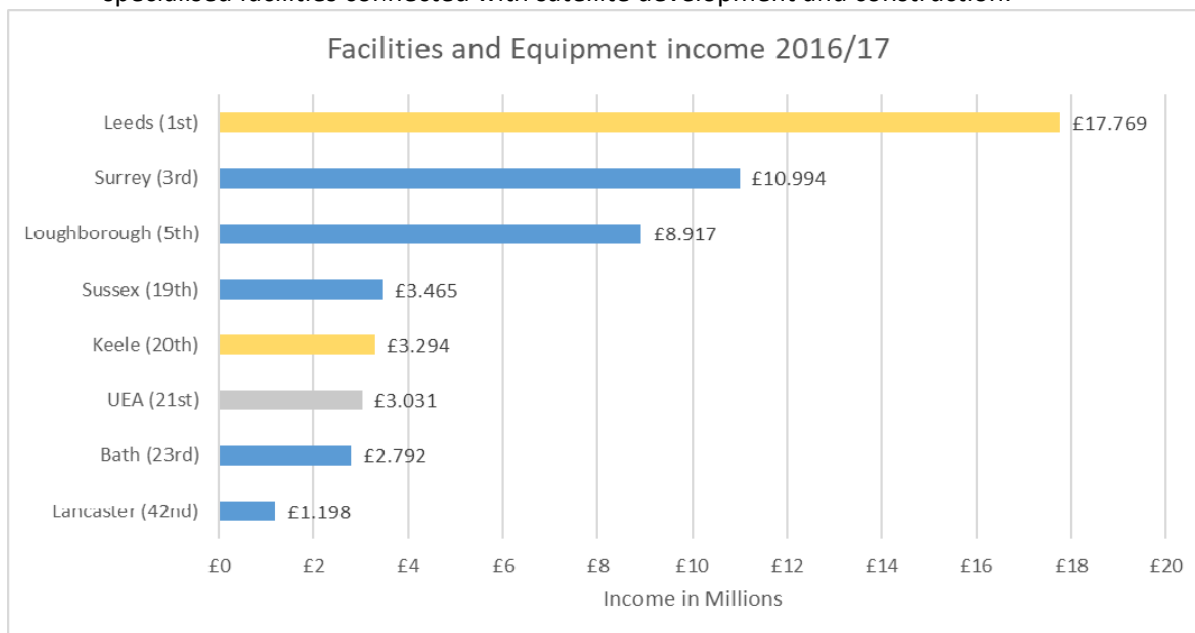
The first place for the Institute of Cancer Research has been achieved by a small number of licencing deals for anti-cancer drugs.



2.3.3 Facilities and Equipment

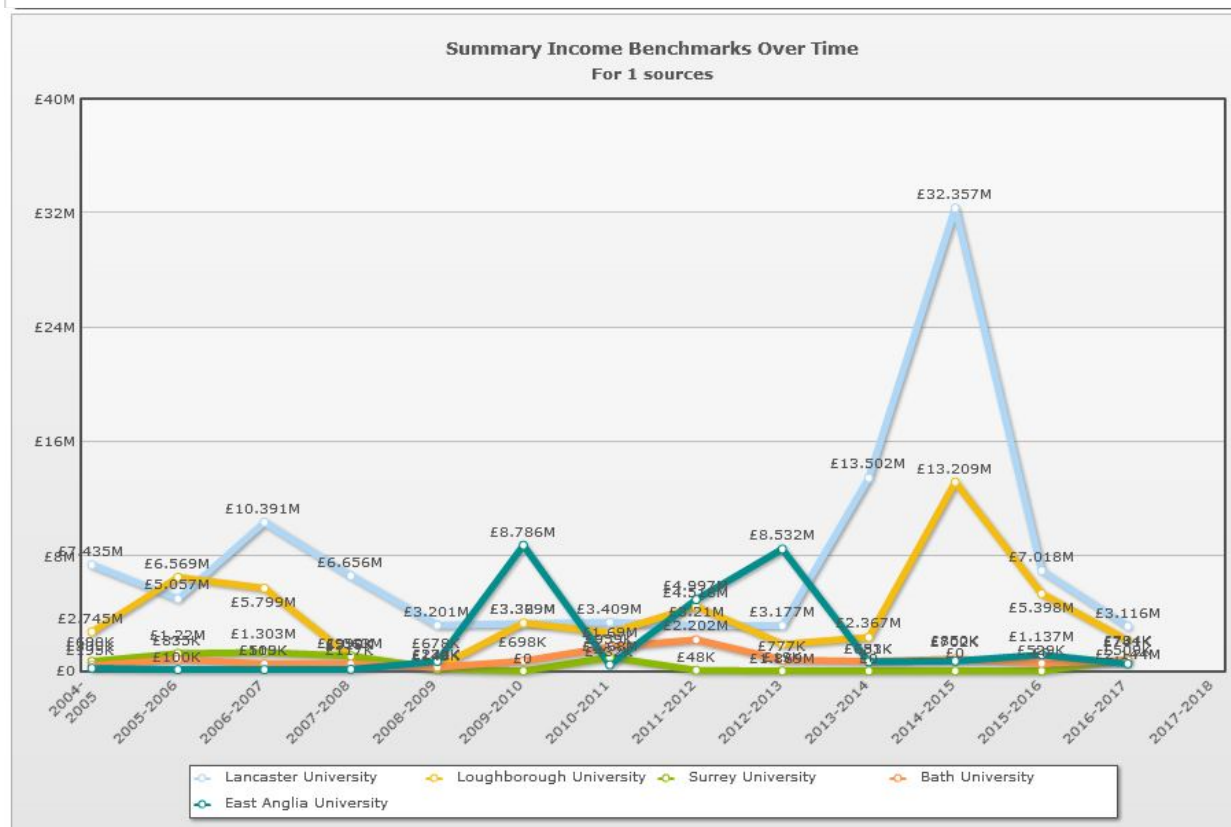
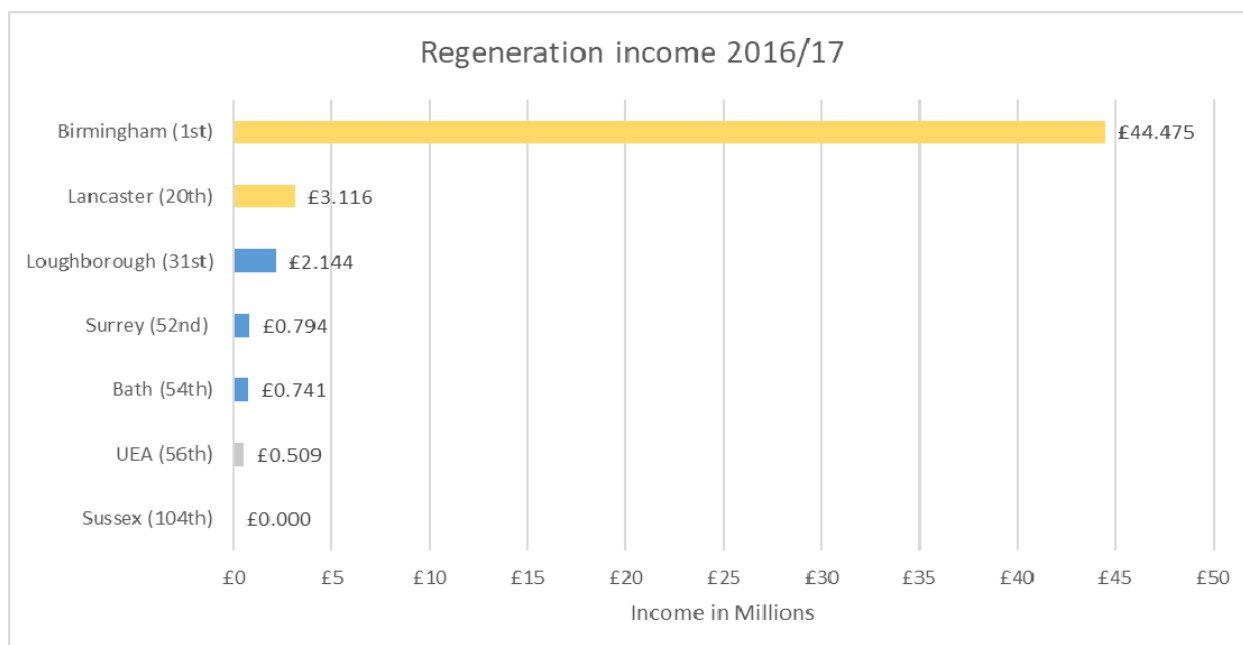
In 2016/17 UEA returned £3.03million in facilities and specialist equipment income. Facilities and equipment services are defined as use by an external party of the HEIs physical academic resources and aims to capture facilities that can be uniquely provided by the HEI. Use of facilities and/or equipment by another HEI and simple trading activities, such as the commercial hire of conference facilities cannot be returned.

The Strong performance of the University of Leeds may reflect its £40m investment in the Nexus Centre, designed to improve industry and university links and provide access to facilities. The University of Surrey has historically always performed well in this category, perhaps reflecting its ownership of the adjacent Science Park. This park contains some highly specialised facilities connected with satellite development and construction.



2.3.4 Regeneration and Development

In 2016/17 UEA returned £1.6 million in Regeneration and Development income. The majority of income collected in this area of the return is from the ERDF and European Social Fund (ESF). Data is also collected on UK government regeneration funds and those from local and regional bodies such as Skills Pathfinder, Local Enterprise Partnerships and the collaborative element of Catalyst funding but these are usually much lower in value.



2.3.5 Contract Research

In 2016/17 UEA returned £3.18million in contract research income. HEBICIS states that contract research is identifiable as the HEI meeting the specific research needs of external partners who are contracting the research for their own purposes.

Much of the University of Oxford's income in the category is generated from medical research, including clinical trials activity.

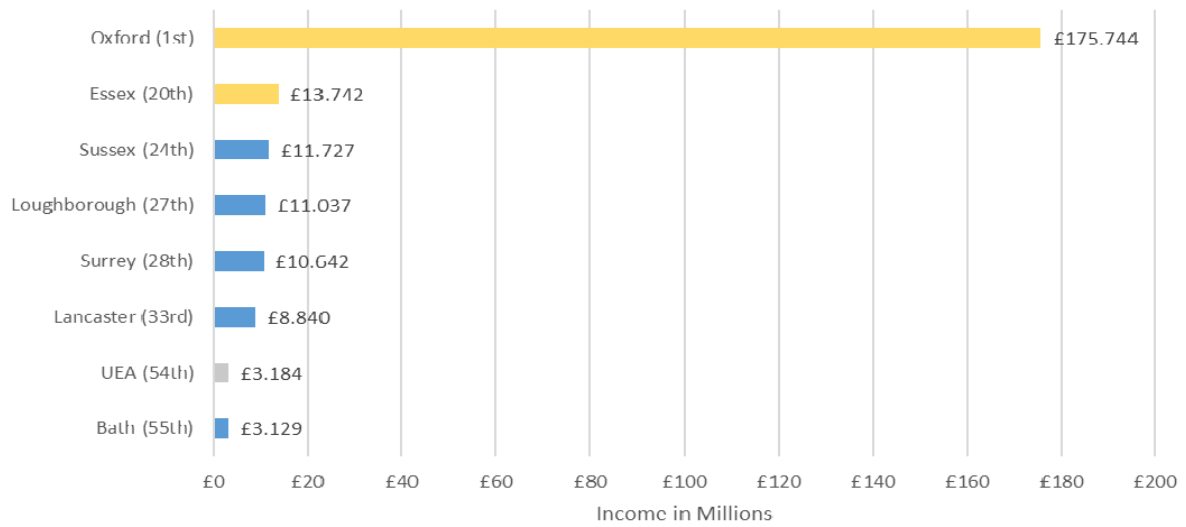
Contract research remains an area of considerable weakness for UEA. There are anecdotal reports that UEA has institutional barriers around academics undertaking contract research. In particular promotions committees have been reported as not valuing industry funded research as highly as research council funded activity. There may also be an inclination to undertake research as collaborative research. Poor performance for contract research may prove to be a major weakness as funding to support the Industrial Strategy will be made available to companies via Innovate UK.

The drop in income reported in 2014 may reflect government austerity measures. UEA undertakes a large proportion of its contract research for government departments and publically funded institutions, leaving it exposed to reductions in government funding.

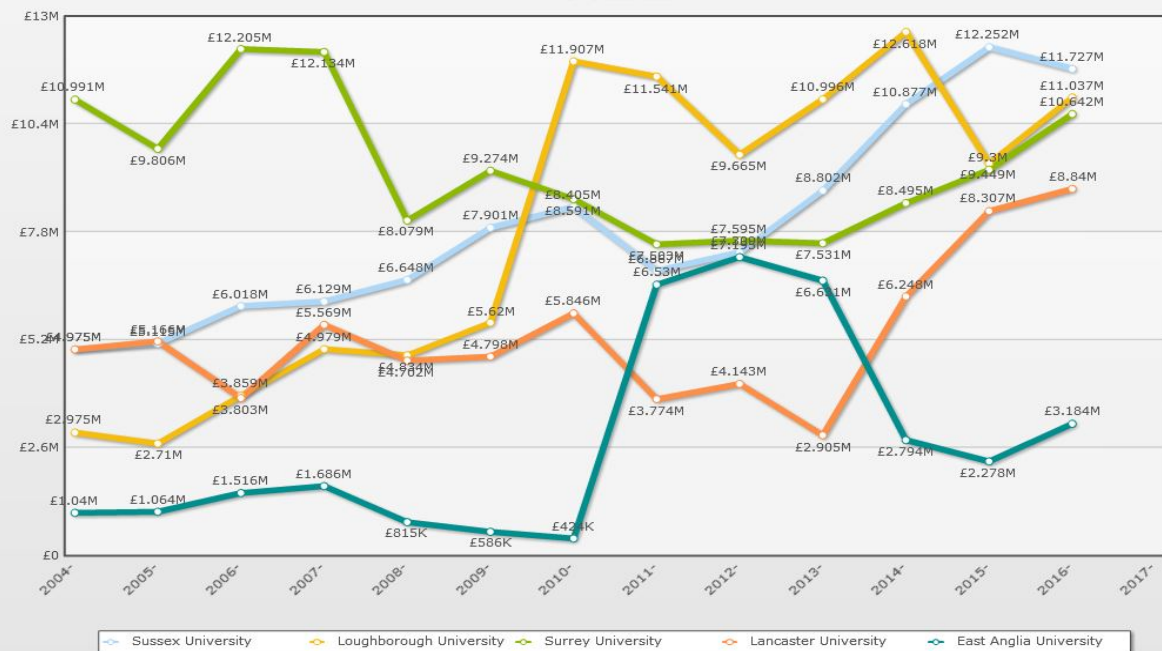
Recommendation: UEA should:

- 1) Ensure that any internal barriers to contract research are removed.
- 2) Diversify the funding base for contract research

Contract research income 2016/17



Summary Income Benchmarks Over Time For 1 sources



2.3.6 Continuing Professional Development (CPD) and Continuing Education (CE)

In 2016/17 UEA returned £4.66million in CPD income. CPD courses are defined as training programmes for learners already in work who are undertaking the course for purposes of professional development/up-skilling/workforce development. Undergraduate and pre-qualification courses should not be returned. This section is not directly weight bearing for HEIF funding as the data on non-credit bearing courses returned in the HESA financial return is used however data pertains to the same activities so this section of the return is still of importance and figures returned contribute to our overall ranking.

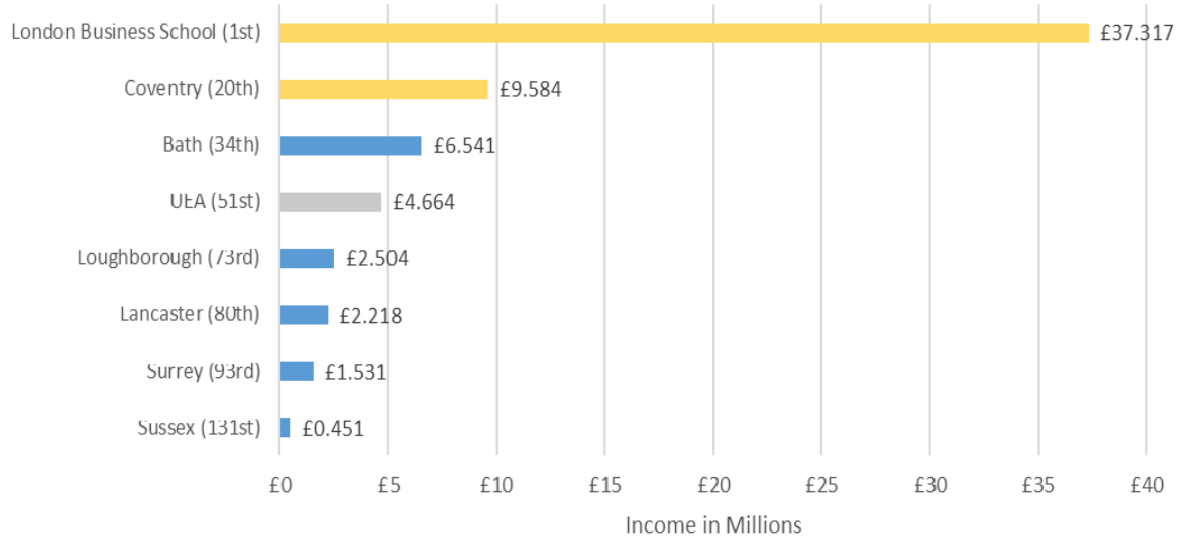
There has been some volatility in this category as many universities, including UEA, provided most of their CPD to NHS organisations. The abolition of Strategic Health Authorities has greatly fragmented this market, and further changes are likely to occur in the future with the development of degree level apprenticeship schemes.

It is perhaps unsurprising that the London Business School is a strong performer in this category given its location and speciality. As noted in earlier reporting on the Institute of Productivity the constraints on the provision of CPD at UEA have been recently reviewed. This has identified a number of key areas that will have to be addressed if UEA wishes to increase its CPD offering. These include:

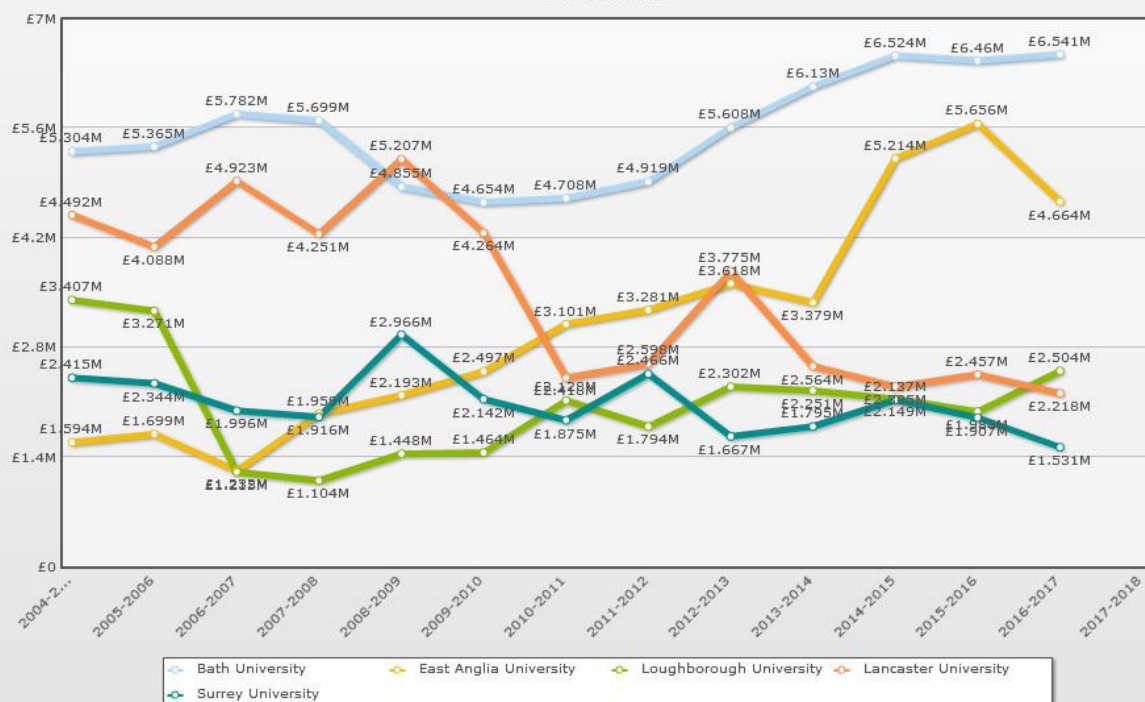
- 1) Visitor experience on attending events at UEA (including visitor parking)
- 2) Need for streamlined IT systems to allow for on-line booking and payment
- 3) Lack of administrative support for academics offering to provide CPD
- 4) Unclear mechanisms for rewarding academics for providing CPD
- 5) Lack of co-ordinated marketing to allow courses to be run repeatedly depending on demand.

Recommendation: If UEA is to undertake more CPD it must address the above five factors.

CPD and CE income 2016/17



Summary Income Benchmarks Over Time For 1 sources



3. Knowledge Exchange Framework (KEF)

In last year's report the proposed introduction of a Knowledge Exchange Framework (KEF) was noted. Details of a consultation exercise have just been announced (<https://re.ukri.org/documents/2019/kef-consultation/>). Current proposals centre around grouping universities into a number of different categories of similar institutions and then comparing performance against a number of criteria within each category.

Universities have been divided into five categories and three further groups of specialist institutions on the basis of an analysis undertaken by Research England. UEA has been placed in Category X, defined as:

Large, high research intensive and broad discipline universities undertaking a significant amount of world-leading research. Much of research funded by RCs and gov't bodies; 8.5% from industry. Discipline portfolio balanced across STEM and non-STEM with less or no clinical medicine activity. Large proportion of taught postgraduates in student population.

The institutions in this group are:

Bath
Birkbeck
Brunel
Durham
East Anglia
Essex
Exeter
Hull
Keele
Kent
Lancaster
Leicester
LSE
Loughborough
Reading
Royal Holloway
SOAS
Surrey
Sussex
York

It is interesting to note that the universities that UEA compared itself against in the HEBCIS analysis are also all included within this group.

It has been proposed that the areas to be assessed are:

- Research Partnerships
- Working with business
- Working with the public and third sector
- Skills enterprise and entrepreneurship
- Local growth and regeneration
- IP and commercialisation
- Public and community engagement

It is also proposed that the majority of the evidence required will be collated from the HECIS, although additional narratives will be required for Local growth and regeneration, and Public and community engagement. Data will also be directly submitted by Innovate UK covering their funding to universities. It is worth noting that while the data is derived from HECIS it is being analysed in a very different fashion than for the HEIF allocation. For example one of UEA's strengths, Consultancy, will be divided between business, and public and third sector. Currently UEA's portfolio of activities is skewed towards the public and third sector activities.

Once the data is collected and analysed it will be presented as a spider diagram showing the Category mean and an individual universities performance. It is not suggested that a university would be expected to be excellent at everything and each institution could choose to specialise in certain areas. The whole process is being designed to try and identify how a university might improve its performance without the creation of simplistic league tables.

While HEIF will continue to be allocated according to the HECIS formula it has not been ruled out that KEF could in the future have a role. One point raised is the desire to be able to reward universities that have supported the Industrial Strategy. There is a promise of a further consultancy exercise should the mechanisms behind HEIF allocation be changed.

UEA is currently determining its response to the consultation.

In conjunction with the KEF it has also been proposed by Trevor McMillan, chairman of the KEF's steering group, that a KEF concordat should be introduced. Similar to the existing concordat for early-stage researchers this would encourage universities to commit to, and critically review, their approach to knowledge exchange. It is anticipated that there will be another consultation exercise on this in the near future.

4 Conclusion

UEA's Innovation activity is contributing to the delivery of the University's strategic plan, there is however no room for complacency. The KEF proposals and associated consultation will require a considered response to ensure that UEA's strengths, in particular provision of services to the public sector, are recognised.

UEA continues to perform well in consultancy and has seen marked improvements in IP and facilities income. There are however a couple of areas, contract research and CPD, where the University will have to improve if it wishes to improve its overall performance. The promotion of contract research will not require significant direct financial investment but will require greater institutional commitment and recognition. Increasing CPD will require some targeted investment to allow for the recommendations made to be implemented. A costed business plan has already been produced as part of the work associated with the Institute of Productivity.

SEN18D024

Title: *University Disciplinary and Investigative Procedures and Powers*
Author: Caroline Sauverin, Head of Learning and Teaching (Systems) and Secretary to Senate Student Discipline Appeals Committee (SSDAC) and Polly Morgan, SSDC Panel Chair.
Circulation: Senate – 27 February 2019
Agenda: SEN18A002
Version: Final
Status: Open

Issue

Revised University Disciplinary and Investigative Procedures and Powers and General Regulations for Students were approved by the Learning and Teaching Committee on 9 May 2018. Subsequently the Chair and Deputy Chair of the SSDAC sought clarification regarding the arrangements for the SSDC Appeals committee, including inconsistencies with SSDC and the newly-included ability to refer the appeal to a full hearing. These have now been addressed. We have also taken the opportunity to correct some typographical errors and update the job title of the Student Service Coordinator, and added in key contact information to the first page.

Recommendation

To endorse the recommendation made by the Learning and Teaching Committee at its meeting on 28 November that the amendments proposed below be approved:

1. Updated front page index, and inserted a Key Contact Information box;
2. Added Part headers and page numbers;
3. Inserted missing 'not' in SSDAC 26.2;
4. Inserted new 26.3 in the SSDAC section, using wording from SSDC section re videoconferencing if abroad;
5. Removing the paragraph (27.14) that permits the SSDAC Panel to make an alternative finding of fact and immediately proceed to hear the substantive allegations;
6. Replacing 27.14 with a new paragraph 27.17, permitting the SSDAC Panel to arrange for the case to be heard afresh by a panel of SSDC, rather than the SSDAC Panel hearing it;
7. As a result, deleted old SSDAC 28, which was findings of dishonesty, because the SSDAC will no longer be hearing the 'substantive allegations' – any further hearing would be referred back to the SSDC.
8. Reordered the rest of the SSDAC procedure more logically;
9. Update the job title of Student Services Coordinator to Student Life Manager throughout the document.
10. In section 27.17 of the University's SSDAC procedure, reference to 'the panel can acquit' would be changed to 'the panel can determine that no breach has been committed'.

Resource Implications

None

Risk Implications

None- there are risks associated with not updating the procedures, in terms of clarity and consistency.

Equality and Diversity

n/a

Timing of decisions

When approved, the changes will come into immediate effect. There have been no appeals yet following a SSDC panel held under the new regulations and procedures brought in for 2018-9.

Further Information

Caroline Sauverin, c.sauverin@uea.ac.uk, Telephone ext 7371

University Disciplinary and Investigative Procedures and Powers

Part	Title	Pages
A	General Definitions, oversight, confidentiality, students who leave, interrelationship with criminal proceedings	2–6
B	Non-academic discipline procedure Breaches of accommodation licence, low and medium level incidents, disciplinary officer (high level), informal resolution	7–11
C	Academic discipline procedure Regulation 20 (examination misconduct), Regulation 23 (conferment of qualifications), guidance on related policies	12–15
D	Procedure for dealing with allegations of professional misconduct or unsuitability Fitness to practise at School level and referrals on	16–20
E	Suspension and exclusion powers All powers to suspend a student or exclude them from areas of campus, effect of this, return from suspension	21–28
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	29–49
G	Penalties Academic and non-academic penalties exercisable at different levels and guidance on them	50–58
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	59–77

Key Contacts:**Academic Services Office:**

Telephone: +44 (0) 1603 592025

Email: its.ssd@uea.ac.uk**Student Union Advice
Centre:**Telephone: +44 (0) 1603
593463Email: 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](#).

- 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 (attendance, engagement, and progress), please refer to the [Procedures relating to Attendance, Engagement and Progress \(General Regulation 13\) for Students on Taught Programmes](#) or, in the case of postgraduate research students, the [PGR Procedure on Attendance, Engagement, and Progress](#).

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	<p>Your experience as a student, which relates to the expectation that you should be aware of the seriousness of your actions:</p>

<p>level offence</p>	<ul style="list-style-type: none"> • <i>You are not in your first semester of a higher education course in the UK and you are considered to be an experienced student.</i> • <i>You may have a previous disciplinary record of cheating in an examination or course test</i> <p><i>Type of breach:</i></p> <ul style="list-style-type: none"> • <i>Breach is more than technical. This may be evidenced by possession of, or access to substantial unauthorised 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> • <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.

<i>Guidance: Participants should contact Its.ssdsc@uea.ac.uk.</i>
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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 (attendance, engagement, and progress)

- 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.

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.ssdsc@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.ssdsc@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.

That can be imposed by the University Disciplinary Officer for high level 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:

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

- 1.17. Require you to engage in reparative or community service activities commensurate with the nature of your breach.
- 1.18. Require you to write an essay or reflective account on a topic determined by the Disciplinary Officer
- 1.19. Impose a fine not to exceed £500
- 1.20. Terminate any licence to occupy University Residences.
- 1.21. 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:

- 1.22. Place a restriction on your privilege to have guests visiting in University Residences;
- 1.23. Require you to undertake formative relevant training such as the online module on sexual consent, Consent Matters, or fire safety training;
- 1.24. Require you to write a formal letter of apology to a specified person or persons;
- 1.25. Prohibit you from contacting a specified person or persons either at all or save in respect of specified matters;
- 1.26. Require you to attend and/or engage with specified internal or external agencies.
- 1.27. Require you to move to an alternative University Residence (not available where you hold an assured shorthold tenancy);
- 1.28. 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;
- 1.29. Require you to engage in reparative or community service activities commensurate with the nature of your breach;
- 1.30. Require you to write an essay or reflective account on a topic determined by the Panel;
- 1.31. Impose a fine not to exceed £1,000;
- 1.32. Terminate any licence to occupy University Residences;
- 1.33. 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);
- 1.34. Temporarily suspend you from Study and University Property (SSEP) or less commonly from Study only (SS);

- 1.35. Temporarily or permanently exclude you from specified University activities or from certain areas of campus;
- 1.36. Expel you from the University;
- 1.37. 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>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>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 expulsion from the University is appropriate.</i></p>	
<p><i>For a second offence under Regulation 18 (but not involving the purchase of assessed work)</i></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><i>Mitigating:</i></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>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>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 <u>or</u> where the offence involves the purchase or commission of assessed work</p> <p>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.</p> <p>Where there are mitigating factors and the Panel considers that the starting point is too severe, the Panel may 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.</p>	<p>Mitigating:</p> <ul style="list-style-type: none"> • There is no evidence that other Regulations have been breached by you • You accepted your guilt early and have shown remorse • You are suffering from an illness or other medical condition affecting your judgment or exacerbating the effect of any penalty imposed • You were experiencing family or relationship problems affecting your judgment • You have felt under duress • 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). <p>Aggravating:</p> <ul style="list-style-type: none"> • You intended to cheat • You are not in your first semester of a higher education course in the UK • You have not accepted guilt or shown remorse, or such acceptance/remorse came late in the process • There is evidence that you have breached other Regulations
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5. Penalty guidelines: Breaches of Regulation 20 (misconduct in examinations and course tests)

Penalties to be considered once starting point determined:	Mitigating and aggravating factors that affect the starting point can include:
<p>For a medium level offence under Regulations 20</p> <p>The normal starting point penalty will be a mark of zero in the relevant assessment component.</p>	<p>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.</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>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> <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</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>

<p><i>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>	<ul style="list-style-type: none"> <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>
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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 at <https://portal.uea.ac.uk/learning-and-teaching/students/forms>

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.

<i>Guidance: Forms are available at https://portal.uea.ac.uk/learning-and-teaching/students/forms</i>

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;
 - 13.3.2. That there was procedural irregularity in the conduct of any SSDC hearing or meeting with the SSDC Chair that was sufficient 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, 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.

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. 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 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.

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.ssdsc@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, 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.

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 lts.ssdsc@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 lts.ssdsc@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 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.

SEN18D025

Title: Regulations for the Foundation Degree Award in Health Studies (Higher Apprenticeship Nursing Associate)

Author: Caroline Sauverin, Head of Learning and Teaching (Systems)

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Issue

The Foundation Degree in Health Studies (Nursing Associate Apprenticeship) was approved in principle at the LTC meeting on 20 June 2018 and fully approved by Chair's Action following the meeting, as reported to the LTC meeting of 17 October 2018. These award regulations for the Foundation Degree side of the apprenticeship follow on from that approval.

The Award Regulations are based on the University's Bachelor and Integrated Masters regulations in terms of assessment, progression and award and the Foundation Degree regulations that our validated partner institutions use in terms of classification rules.

The set of regulations govern the assessment, progression and award of Foundation Degree Health Studies delivered under subcontract by City College Norwich. They cover the academic award of Foundation Degree only; the award of the Apprenticeship by End Point Assessment is not covered by these regulations.

The students studying for the Nursing Associate Apprenticeship are registered UEA students and as such are bound by UEA Regulations. The detail will be delivered jointly by City College and the University.

Recommendation

To endorse the decision of the Learning and Teaching Committee at its meeting on 28 November to approve the regulations, subject to confirmation by Senate.

Resource Implications

None

Risk Implications

None.

Equality and Diversity

n/a

Timing of decisions

When approved, the changes will come into immediate effect. Students are already studying on the programme.

Further Information

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Regulations for the Foundation Degree Award in Health Studies (Higher Apprenticeship Nursing Associate)

Delivered under subcontract by City College Norwich

1 SCOPE OF THESE REGULATIONS

- 1.1** These Regulations govern the assessment, progression and award for the Foundation Degree Health Studies (Higher Apprenticeship Nursing Associate) (FdSc)
- 1.2** These Regulations govern students studying for Foundation Degrees as part of their study for the Higher Apprenticeship Nursing Associate.
- 1.3** These Regulations cover the academic award of Foundation Degree only; the award of the Apprenticeship is by a non-integrated End Point Assessment, which is documented separately.
- 1.4** These Regulations govern students from the academic year 2018/19 onwards.
- 1.5** Alterations to or concessions against these Regulations may be made only with the approval of the Learning and Teaching Committee of Senate, or by named persons with delegated powers to operate on behalf of the Committee.
- 1.6** The University will share appropriate information with employers sponsoring the Apprenticeship and with City College Norwich; for the purpose of facilitating learning and delivery of the Apprenticeship Programme.

2 GENERAL PRECONDITIONS TO AN AWARD

In order to qualify for an award of the University the student must:

- (a) satisfy the general entrance requirements of the University and any entrance requirements relevant to the course and Higher Apprenticeship; and
- (b) satisfactorily complete a programme of study and assessment in accordance with these Regulations and any specific criteria set out by the relevant Professional, Statutory or Regulatory Body (PSRB), the Nursing and Midwifery Council (NMC).

3 COURSE REQUIREMENTS

3.1 The University, in consultation with City College Norwich, shall:

- (a) publish any course-specific requirements for assessment and progression;
- (b) publish Course Profiles specifying the modules to be taken, and any elective modules available, for each course;
- (c) publish Module Outlines specifying the content and assessment for each module.

3.2 Students may be awarded specific credit via Accredited Prior Learning, in accordance with the University's approved policy.

3.3 Table of Awards

QUALIFICATION	LEVEL	OVERALL CREDITS TO BE STUDIED	RANGE OF CREDITS REQUIRED	NORMAL LENGTH OF PROGRAMME (Part-time unless stated)
Foundation Degree	5	240	<ul style="list-style-type: none">• Stage 1: 120 credits at FHEQ level 4• Stage 2: 120 credits at FHEQ level 5	2 years

4 DURATION OF COURSE

4.1 Students must enrol for and complete the course within the timescales summarised in the table in Regulation 3.3.

4.2 Extension to a period of study

4.2.1 The Learning and Teaching Committee of Senate may vary or amend the requirements of these Regulations in respect of a particular student, in agreement with their employer. This may include the extension, by interruption or repetition of, a student's period of study to a maximum of two years beyond the specified length of the course. In such instances, it may also impose alternative conditions and requirements.

5 MODULE ENROLMENT

5.1 Students shall be required to enrol for and complete modules according to the requirements set out in the Course Profile and Module Outlines, by the deadline published by the University, in consultation with City College Norwich.

5.2 A student may be suspended from a module including a practice element placement where a Professional Code of Conduct applies, pending formal investigation of the circumstances in accordance with published procedures, where the Head of School decides that there

is *prima facie* evidence that a student's behaviour has jeopardised the welfare of a subject (whether patient, pupil or client), and/or has contravened the relevant professional code of conduct and/or the behaviour is incompatible with behaviour required by the relevant profession.

6 ASSESSMENT

- 6.1** The course shall have an assessment strategy linked to the learning outcomes of the course.
- 6.2** The Foundation Degree award shall be classified using a Pass/Merit/Distinction scale.
- 6.3** The method and timings of each assessment shall be published in advance to the students.
- 6.4** The assessment of each module shall generate a single mark between 0% and 100%, calculated from contributing individual component marks, weighted appropriately.
- 6.5** Each module will be displayed with a single mark and grade (the grade, based on higher degree classification system).
- 6.6** The pass mark for modules shall be 40% except where PSRB requirements stipulate a higher pass mark.
- 6.7** All marks will be recorded and displayed to two decimal places. For the purposes of progression and classification, module, stage average and classification marks will be treated as if rounded to the nearest integer:
 - 6.7.1** Module marks within 0.5% of a pass mark will be awarded a pass;
 - 6.7.2** Stage average marks within 0.5% of a progression boundary will be considered to have achieved the threshold;
 - 6.7.3** Classification marks within 0.5% of a higher classification will be awarded the higher classification.
 - 6.7.4** Classification marks within 0.5% of a borderline will be considered as being borderline.
- 6.8** Each individual component of the module is required to be passed in order to pass the module; such modules are identified with a 'pass all components' marks scheme.
- 6.9** Where appropriate, individual modules or components may be assessed on a Pass/Fail basis.

7 THE BOARD OF EXAMINERS

7.1 Membership of Boards of Examiners

- 7.1.1 The Board of Examiners shall comprise a Chair (who shall be an appropriate member of University academic staff from the students' School of Study), external examiner(s) and at least two additional internal examiners, one of whom is a member of academic staff from the University, the other(s) being academic staff from the City College Norwich having a major responsibility for teaching and/or assessment of the modules or the course under consideration. The membership of Boards of Examiners and their sub-groups must be approved by the Learning and Teaching Committee of Senate.
- 7.1.2 With the exception of the Board of Examiners for the Final Assessment, a Board may delegate its functions to a sub-group of examiners which shall include the Chair (or Deputy Chair, who must also be a member of University academic staff from the appropriate School of Study) of the Board and at least two other internal examiners (University or City College Norwich).
- 7.1.3 There shall be an Extenuating Circumstances Panel, which shall comprise of a Chair (who shall be an appropriate member of University academic staff from the students' School of Study), and at least two members, one of whom must be from City College Norwich. The Extenuating Circumstances Panel will act as an advisory group to the Board of Examiners to consider students' extenuating circumstances and the related evidence.
- 7.1.4 All members of a Board of Examiners (or one of its sub-groups) are required to attend unless the Learning and Teaching Committee of Senate has approved their absence. In the case of reassessment for the final award classification, the Learning and Teaching Committee of Senate may approve the absence of the external examiners, if there is evidence that they have been appropriately consulted.
- 7.1.5 In order to inform its decisions, a Board of Examiners may invite the attendance or comments of other internal staff who are not members. Such an invitation will not confer rights of membership.

7.2 The Chair

The Chair of the Board of Examiners, with appropriate support and regulatory advice from the Secretary to the Board (who shall be an appropriate member of staff of the Learning and Teaching Service at UEA), shall have responsibility for:

- (a) seeking approval of the membership of the Board and its sub-groups;
- (b) the production of examination papers;

- (c) marking and moderation processes and other quality assurance scrutiny, in liaison with the School Director of Learning and Teaching or the Institution Lead for Assessment where necessary;
- (d) the chairing of the meetings of the Board;
- (e) ensuring that any decisions on progression, classification or the award of academic qualifications are not influenced beyond the recorded marks by a student having plagiarised and/or colluded or otherwise been disciplined;
- (f) making and recording all arrangements with external examiners, including the size and nature of the sample for moderation in accordance with University guidelines, arrangements for consultation at Reassessment Boards where required and ensuring that the views of external examiners are given due weight in any decisions made by the Board of Examiners which are not determined by formal vote;
- (g) considering any recommendations of the Extenuating Circumstances Panel;
- (h) the recording of decisions made by the Board of Examiners and ensuring that all members of the Board of Examiners or appointed sub-group thereof have signed the appropriate results and pass lists;
- (i) ensuring compliance with the relevant Regulations; and
- (j) undertaking such other tasks as the Senate shall require.

7.3 The External Examiner

7.3.1 The role of the external examiner is to ensure that:

- (a) internal marking is consistent, fairly applied and of an appropriate standard;
- (b) assessment has enabled learning outcomes to be achieved and demonstrated;
- (c) academic standards are appropriate for the level of the award;
- (d) recommendations for awards and for classification of awards are consistent, fair, fairly applied and of an appropriate standard.

7.3.2 The external examiner shall undertake duties as described in the Senate's Code of Practice for the External Examiner System for Awards (Taught Programmes):

<https://portal.uea.ac.uk/learning-and-teaching/staff/external-examiners>

Including consultation with the Chair of the Board of Examiners with regards to all arrangements, e.g. size and nature of the

sample for moderation.

7.3.3 The external examiner shall normally attend the Final Assessment Board(s) and, where appropriate, participate in the Final Reassessment Board(s) where recommendations for awards are made and sign the appropriate signature sheet.

7.3.4 The external examiner shall monitor module marks and confirm whether marking standards are acceptable. The external examiner should review the marks awarded and report to the Board of Examiners as follows:

- (a) where the marking standards are judged to be acceptable, that no further action is required;
- (b) where the marking standards are judged to be unacceptable, and the external examiner has drawn this to the attention of the Board before module marks have been confirmed, request that the Board shall review and amend as appropriate the marks of all the students who have taken the module or item in question. If the overall marking standards are acceptable but an individual mark appears to be inappropriate, the mark shall stand but it will be drawn to the attention of the Final Assessment Board;
- (c) where the marking standards are judged to be unacceptable, and the external examiner has drawn this to the attention of the Board after module marks have been confirmed, request that the Board shall not amend confirmed marks but shall take appropriate action to ensure that the classification of students is not compromised. This will normally involve considering the position of all borderline candidates who have taken the module or item in question and might also involve a review of further samples of work to ascertain an appropriate allowance to be made in the consideration of such borderline students.

7.4 Voting

The Board of Examiners may determine its decisions by formal vote. Where a vote is taken the decision shall go with the overall majority. The Chair shall have the casting vote.

7.5 Meetings of the Boards of Examiners

The individual meetings of the Boards of Examiners shall be scheduled at the beginning of the academic year by Learning and Teaching Service, in consultation with the Chair of the Board of Examiners and City College Norwich. The dates of Boards of Examiners shall be published to students.

7.6 Provision of Assessment Information

7.6.1 Boards of Examiners shall receive the following:

- (i) Module marks and any contributing component marks achieved by each student taking the module;
- (ii) Stage aggregate mark for each student, expressed as a percentage and taking weightings into account, for the Stage in question;
- (iii) Where relevant, the confirmed marks for the preceding Stage(s).

7.6.2 Results will be presented as follows:

- (i) Marks shall be displayed to two decimal places for all marks, including module and component marks, stage aggregate and final award marks;
- (ii) Where appropriate, modules and individual components assessed without the award of a mark shall be presented as Pass/Fail.

8 STUDENT PROGRESS

8.1 Students' attendance, engagement and progress will be monitored throughout the year under General Regulation 13.

9 CONFIRMATION OF MARKS

9.1 All marks are provisional until these have been confirmed by the Board of Examiners which shall receive the marks presented for each module, and contributing components being assessed and for which it is responsible.

9.2 It is the role of the Board of Examiners to confirm that internal and external moderation has been completed and that the marking standards for the module are appropriate.

9.3 ADJUSTMENT OF MARKS

In exceptional circumstances, the Board of Examiners may determine that marks obtained in a component of the module should be amended by scaling. Scaling may only be undertaken with the approval of the Learning and Teaching Committee of Senate, which must be given for each assessment item for which the Board of Examiners believes that scaling is necessary. A recommendation that scaling should occur must be informed by factors other than the standard deviation and average marks for the module relative to other modules and should seek to address factors not previously addressed by internal and external moderation. Only upward scaling will be approved and the method for scaling shall be piecewise linear scaling. Any such adjustment must be

made for all students who have taken the assessment in question.

- 9.4** In some circumstances it may be appropriate for the assessment item to be remarked.
- 9.5** Marks may not be adjusted for individual students. Special factors relating to an individual student's examination and coursework marks may only be taken into account at the relevant Stage or Final Assessment Board meeting.
- 9.6** After completing the above process, the Board shall confirm all marks.
- 9.7** Where modules are assessed without the award of a mark the Board of Examiners shall resolve whether the student has achieved a Pass or not.
- 9.8** Marks thus confirmed by the Board of Examiners shall not normally be subject to further amendment except in the following instances:
 - (a) to correct an error in recording or transcription;
 - (b) following a decision to change a mark as a result of an Academic Appeal by a student. In such cases and after completion of the Academic Appeal process the final mark shall be determined by the Board of Examiners, if necessary at a later date.

10 EXTENUATING CIRCUMSTANCES

- 10.1** The Extenuating Circumstances Panel advising the Board of Examiners shall consider extenuating circumstances formally reported to it, and make recommendations to the Board, in accordance with the University's approved Extenuating Circumstances Regulations.
- 10.2** The Board of Examiners shall formally approve the recommendation made by the Extenuating Circumstances Panel. Any alternative arrangement shall only be approved by the Board if it is in the student's best interest.
- 10.3** The Extenuating Circumstances Panel advising the Board shall treat all statements of extenuating circumstances as confidential, not to be disclosed outside the meeting of the Panel. Where circumstances are particularly sensitive, students may ask that the disclosure of the information be limited.

11 DELAYED ASSESSMENT

- 11.1** A student may be granted a Delayed Assessment (including a Delayed Reassessment) in accordance with the University's Extenuating Circumstances Regulations.
- 11.2** Students for whom a Delayed Assessment has been approved shall normally be required to take the Delayed Assessment at the earliest possible opportunity.

- 11.3** In the case where a Delayed Assessment is approved even though the initial assessment has been attempted, the original mark for the initial assessment will be voided. The mark for the Delayed Assessment will be used to calculate progression and final classification.

12 STAGE ASSESSMENT BOARD FOR NON-FINAL YEAR STUDENTS

- 12.1** There will be a Stage Assessment Board once students have attempted the assessment for all modules with a credit total that equates to a Stage. At this meeting, the Board of Examiners will consider if students have successfully completed the relevant Stage of Study by reviewing all module results for the Stage.

- 12.2** The Stage Assessment Board shall:

- (a) receive and confirm module marks and grades completed during the relevant Stage and an aggregate mark for the Stage for each student expressed as a percentage and taking into account weightings of modules for the Stage in question;
- (b) receive from the Extenuating Circumstances Panel its recommendations regarding extenuating circumstances.

- 12.3** The Board of Examiners shall confirm that a student has satisfactorily completed the Stage where the student has achieved the following in the Stage in question:

- (a) at least the pass mark for all numerically-marked modules including individual components of modules and/or individual sections within examinations where required;
- (b) a Pass, in modules assessed as Pass/Fail including individual components of modules and/or individual sections within examinations where required;
- (c) any additional progression requirement/s for the Stage as specified by the Nursing and Midwifery Council

12.4 Failure to complete the Stage satisfactorily

- 12.4.1** For a student who has failed to complete the Stage satisfactorily, the Board of Examiners shall refer the student to reassessment, except in the following circumstances:

Where a student studying at Stage 2 has achieved a module mark of below 20% in a Core module, the Board of Examiners shall:

- i. For a student whose marks of below 20% are as a result of an application of a penalty for late submission or plagiarism and collusion, offer a reassessment opportunity in the affected module(s).
- ii. For any other student, consider the overall performance of the student, taking into account factors including the number

of failed modules, the student's attendance and progress to date, the level of study, any recommendations of the Extenuating Circumstances Panel, and any PSRB requirements, and take one of the following actions:

1. Offer a reassessment opportunity in the affected module(s);
2. On the recommendation of the Extenuating Circumstances Panel, and following discussion with and agreement by the Employer, permit the student to repeat the year of study, either with or without a period of interruption;
3. Recommend to the Head of School, following discussion with and agreement by the Employer, that the student should not be offered a reassessment attempt. Any such student would not be permitted to be reassessed in any failed module, and would be withdrawn from the Institution and receive an exit award where appropriate (in accordance with Regulation 17).

12.4.2 A student may not be referred to reassessment in a module until they have completed any delayed assessments in that module.

12.4.3 Where a student has delayed assessment for a module and has failed another module for which delayed assessment has not been granted, they may be referred to reassessment in the failed module.

13 REASSESSMENT

13.1 Students eligible for reassessment will be offered a reassessment opportunity in all failed components of the failed module normally in the form of the original assessment. Any exceptions to this may be made only with the approval of the Learning and Teaching Committee of Senate.

13.2 Reassessment will normally be offered on one occasion only.

13.3 Reassessment for each module shall be completed in accordance with the timetable specified by the University.

13.4 Module marks following reassessment are calculated as follows:

- (i) All marks achieved at reassessment are stored on the Student Record System;
- (ii) For 'Pass all Components' mark scheme modules, component marks at or above the pass mark achieved at reassessment will be capped at the pass mark.

- 13.5** Where the failed module or component is a clinical/practical placement, the Board may:
- (i) Modify the form and duration of the reassessment on an individual basis, to take account of any special circumstances, the needs of the student and the needs of the placement provider;
 - (ii) Opt not to offer a reassessment opportunity to a student who has demonstrated failure that, in the view of the Board, indicates that the student is unlikely to achieve a pass mark or reach appropriate standards for professional practice within the reassessment period (i.e. where there is evidence of continued and persistent failure to demonstrate professional competence within the placement with no significant trajectory towards competence). In the event that reassessment is not offered, the student shall be required to withdraw from the course of study. This would be considered in consultation with the student's Employer.

14 STAGE REASSESSMENT BOARD

There shall be a Stage Reassessment Board at which the Board of Examiners shall consider the confirmed module marks achieved for each student following their reassessment. It may act as a Stage Assessment Board or Final Assessment Board for students who have sat delayed assessments.

- 14.1** Confirmed marks will be presented as follows:
- (a) the original mark achieved in each module or component that was reassessed;
 - (b) the actual mark achieved at Reassessment;
 - (c) the overall module mark calculated following Reassessment; the capped mark will be recorded against the component for use in progression and degree classification purposes.
- 14.2** The Board of Examiners shall receive recommendations from the Extenuating Circumstances Panel in accordance with Regulation 10
- 14.3** The Board of Examiners shall confirm that a student has satisfactorily completed the Stage where the student has achieved the following in the Stage in question:
- (a) at least the pass mark for all numerically-marked modules, including individual components of modules and/or individual sections within examinations where required;
 - (b) a Pass, in modules assessed as Pass/Fail;
 - (c) any additional progression requirement/s for the Stage as specified by the Nursing and Midwifery Council.

14.4 Consideration of extenuating circumstances at the Reassessment Board

14.4.1 Where a student has been granted a delayed assessment, in

accordance with the Extenuating Circumstances Regulations, the Board of Examiners shall:

- (a) for a student who has met the required conditions, confirm provisional progression, pending passing the outstanding delayed assessment or reassessment by the deadline published by the University;
- (b) for any other student, require the student to interrupt their studies and return to undergo the delayed assessment at the next available opportunity.

14.4.2 For all other students with extenuating circumstances the Board of Examiners shall formally approve the recommendation made by the Extenuating Circumstances Panel. Any alternative arrangement shall only be approved by the Board if it is in the student's best interest.

14.5 Failure to complete the Stage satisfactorily

Where a student has not completed the Stage satisfactorily as specified above, and there are no recommendations from the Extenuating Circumstances Panel, and following prior consultation with the student's Employer, the Board of Examiners require the student to withdraw from the course and recommend an award where appropriate.

15 FINAL ASSESSMENT BOARD

There shall be a Final Assessment Board at which the Board of Examiners, including the External Examiner(s), shall consider the results of all students after their final stage of study.

15.1 Final Stage Assessment Board

The Board of Examiners shall confirm that a student has satisfactorily completed the Final Stage where the student has achieved the following:

- (a) at least the pass mark for numerically-marked modules including individual components of modules and/or individual sections within examinations where required;
- (b) a Pass, in modules assessed as Pass/Fail;
- (c) any additional requirement/s for the Stage as specified by the Nursing and Midwifery Council.

15.2 Consideration of the Award

The Board shall consider the award of Foundation degrees according to regulation 15.3.

15.3 Degree Classification

15.3.1 The Board shall receive for each student:

- (a) the final Module Marks contributing to the degree, together with the component marks achieved at the original attempt and any reassessment attempt.
- (b) a final award mark calculated from the Stage aggregate mark for each contributing year according to the following percentage weighting:

Degree	Level 4 %	Level 5 %
Foundation degree	0	100

- (c) The recommendations of the Extenuating Circumstances Panel.

15.3.2 The Board will assign a classification of Pass, Merit or Distinction on the basis of the students' final award marks as follows:

Classification	Final Award mark
Distinction	70% - 100%
Merit	60% - 69%
Pass	40% - 59%

15.3.3 Consideration of students within 2 per cent of a higher class¹

The Board of Examiners shall recommend the higher classification for a student whose final award mark falls within 2% of the boundary for the higher classification where the following conditions are met (note the convention of rounding up in Regulation 6.7):

¹ Regulation 15.3.4 is under review and may be amended for students starting their course in 2019/20

Final award mark within the 2% borderline of the higher class (noting the convention of rounding up stipulated in Regulation 6.7)	<i>PLUS</i>	Credits across the counting year	Outcome
68% - 69%		At least 60 credits at Distinction	Distinction
58% - 59%		At least 60 credits at Merit or above	Merit

15.3.4 With respect to Final Classification, the Board of Examiners shall consider the recommendations of the Extenuating Circumstances Panel.

15.3.5 Students who have not met the criteria to be awarded a degree may be eligible to be awarded an exit award in accordance with Regulation 17; they would not be eligible to continue on their apprenticeship.

16 FINAL REASSESSMENT BOARD

16.1 The Board of Examiners shall consider for a degree (as set out under Regulation 15) those Final Stage students who were referred to reassessment, once the students' module marks have been confirmed and after the Stage Reassessment Board has confirmed that they have successfully passed the final Stage. At least one External Examiner shall be part of the consideration of awards.

17 EXIT AWARDS

17.1 Students who are not eligible to be awarded a degree shall be considered by the Board of Examiners, including the External Examiner(s), for the appropriate exit awards.

17.2 In addition to the consideration of any named exit award available to students as set out in the Course Handbook, the Board of Examiners shall consider the following exit award:

Certificate of Higher Education

The Board of Examiners shall recommend the award of Certificate of Higher Education to students who have satisfactorily completed level 4. At least 60 credits must have been completed on UEA validated programmes delivered by the Institution.

- 17.3** Students awarded an exit award from a professional course are not eligible to apply for professional registration or to continue on their apprenticeship.

18 DISCLOSURE OF RESULTS

- 18.1** The deliberations of Boards of Examiners are confidential except where a student requests information about their own award via an Academic Appeal or Academic Complaint (see 18.4 below).
- 18.2** Examiners are required to make academic decisions about students' performance, and marks are a guide to examiners in making those decisions. However, other factors may be taken into account in accordance with these Regulations and students should be aware that a particular number or pattern of marks does not necessarily lead to a given result.
- 18.3** Students will be formally advised of the outcome of the consideration of their academic performance by a Board of Examiners in accordance with procedures approved by the Learning and Teaching Committee.
- 18.4** As part of an informal or formal Academic Appeal or Academic Complaint the Head of the School in consultation with City College Norwich, Chair of Examiners or Secretary to the Board of Examiners, may advise an individual student of the discussions of the Board of Examiners as they relate solely to the individual student's academic performance. In this context, minutes of the relevant Board of Examiners with appropriate redactions can be released by the Institution to the student who has submitted an Academic Appeal or Academic Complaint, without recourse to the General Data Protection Regulations.

These regulations apply to UEA subcontracted Foundation Degree Award, delivered as part of the Higher Apprenticeship Nursing Associates course at City College Norwich.

SEN18D027

Title: Report and Review of Statistics on Stage 1 and 2 Academic and Non-Academic Appeals and Complaints and OIA Cases (Academic Year 2017/18)
Author: Laura Thompson, Head of Learning and Teaching (Quality),
Date: 15 November 2018
Circulation: Senate – 27 February 2019
Agenda: SEN18A002
Version: Final
Status: Open
Prev. ref: LTC18D049

Issue

This report considers the Academic and Non-Academic Appeals and Complaints and OIA cases for the Academic Year 2017/18.

Recommendations

Committee members are asked to receive this report.

Resource Implications

There are no resource implications for this report. Significant University and Student Union resource supports the Appeals and Complaints processes and the University pays subscription and case fees to the OIA annually.

Risk Implications

There are no risks specific to this report but it is important that the University manages Appeals and Complaints appropriately and learns from the cases which arise.

Equality and Diversity

There are no equality and diversity issues associated with this report.

Timing of decisions

N/A

Further Information

Please direct any enquiries to Laura Thompson (laura.thompson@uea.ac.uk, x7374).

1. Background

This is an annual report produced for the Learning and Teaching Committee looking at the volume of Appeals, Complaints and OIA cases arising and advise on any trends emerging and any changes which have been introduced as a result of learning from cases.

2. Discussion

2.1. Academic Appeals

The number of Undergraduate Academic Appeals received in the academic year 2017/18 was 250 which is similar to the volume received the previous year. Of these 34% were rejected and 66% upheld or partially upheld compared to 47% rejected and 53% upheld the previous year. This increase in upheld Academic Appeals is likely to be attributable to improved advice to students about the process from both the University and the Student Union Advice Centre as opposed to an increase in valid issues. The breakdown of these Appeals by Faculty and School can be seen in Figure 1.

Around 10% of Stage One Appeals progress to Stage Two which is again in line with the previous year. Of these, the number rejected and upheld are broadly in line with the previous year. Where Stage Two Appeals are upheld or partially upheld this is generally because the student has submitted new evidence which was not available to them at the time of the original Appeal or because the outcome needed to be clarified or detailed further.

There were 23 Postgraduate Taught Academic Appeals received in 2017/18 compared to 33 the previous year. Of these 17 were upheld and 6 were rejected. Proportionally the volume of Appeals upheld has increased and again this is likely to be attributable to improved advice for students and hence more appropriate Appeals being raised. Only 2 of these progressed to Stage Two with 1 rejected and 1 upheld. The breakdown of these Appeals by Faculty and School can be seen in Figure 2.

There were 3 Postgraduate Research Academic Appeals in 2017/18 of which 2 progressed to Stage Two. These small volumes are similar to the previous year.

2.2. Academic Complaints

Figures 3 and 4 shows the numbers of Undergraduate and Postgraduate Taught Academic Complaints received for 2017/18 which as has been seen previously are very low. Complaints are usually made about course organisation and lack of or style of teaching and learning support. Similarly there were only 3 Postgraduate Research Academic Complaints made neither of which progressed to Stage Two.

2.3. Non-Academic Appeals and Complaints

Non-Academic Appeals and Complaints cover concerns raised with areas of the University outside of a students academic studies such as Accommodation, Student Support, the Library and Disciplinary procedures.

For 2017/18 there were 14 Non-Academic Appeals and Complaints received from Undergraduate students of which 1 was rejected, 7 were resolved informally, 1 is pending an outcome and 5 were upheld. Of these 2 progressed to Stage Two with 1 being resolved informally and 1 upheld. In addition there was 1 Non-Academic Appeal at Postgraduate Taught level and 1 at Postgraduate Research level.

2.4. OIA Cases

For 2017/18 there were 13 cases which progressed to the Office of the Independent Adjudicator (OIA). Of these 5 relate to Academic Appeals, 2 to Academic Complaints, 3 to Non-Academic Complaints and 2 to SSDC Discipline cases. Of these 3 have been settled informally which demonstrates the University's commitment to working with the OIA to ensure our procedures are fair and appropriate. The remaining 10 are still awaiting an OIA outcome which is unfortunate for the students involved as the timescales for an OIA response have increased significantly this year. In all cases the students will be aware that the University has completed the investigation required to the prescribed deadlines and that the delays are with the OIA.

In addition 1 Postgraduate Research case received an OIA outcome but this case had been ongoing since 2015/16 and was determined to be Not Justified.

2.5. Learning from Appeals and Complaints

Many Academic Appeals and Complaints result in actions being taken for individuals but some lead to more general changes. As a result of 2017/18 cases learning has been fed into process reviews to ensure that the same issues do not arise again, these include:

- Changes to the Return to Study process to make this clearer and more appropriate
- Review and clarification of specific assessment details where they have been unclear or could be improved
- Additional staff training in signposting students to specific advice relating to their courses
- Clarification within the Extenuating Circumstances procedure of how the ADTP considers the acceptance of late ECs
- More detailed reasoning for outcomes of Appeals or Complaints to ensure that students know their concerns have been considered and understand why they have received the outcome they have.

Similarly with Non-Academic Appeals and Complaints remedies are usually at an individual level but this year they also fed into the review of Disciplinary processes and changes to processes in Accommodation and Student Support specifically relating to the way in which some information is communicated to students.

Fig.1.**ACADEMIC APPEALS -
UNDERGRADUATE****October 2017-September 2018**

Faculty and School	STAGE ONE				STAGE TWO					
	Stage One Appeals received	Not pursued by complainant	FACP Reject	FACP Upheld	Stage Two Appeals received	Carried Forward	Not pursued by complainant	Reject	Upheld	Pending
HUM	38		19	19	6			3	0	3
AMA	4		1	3	1			1	0	0
HIS	6		3	3	2			1	0	1
HUM	2		0	2	0			0	0	0
LDC	8		6	2	1			1	0	0
PPL	18		9	9	2			0	0	2
FMH	79		24	55	9			6	2	1
HSC	62		18	44	8			6	2	0
MED	17		6	11	1			0	0	1
SCI	75		17	58	6			3	2	1
BIO	13		4	9	2			0	2	0
CHE	3		0	3	0			0	0	0
CMP	13		2	11	3			0	2	1
ENV	12		2	10	0			0	0	0
MTH	9		6	3	0			0	0	0
NAT	0		0	0	0			0	0	0
PHA	25		3	22	1			1	0	0
SSF	58		25	33	3			1	2	0
DEV	2		1	1	0			0	0	0
ECO	18		8	10	1			0	1	0
EDU	2		2	0	0			0	0	0
LAW	19		6	13	1			0	1	0
NBS	11		5	6	1			1	0	0
PSY	6		3	3	0			0	0	0
SWK	0		0	0	0			0	0	0
TOTAL	250	0	85	165	24	0	0	13	6	5
2016 / 17 total	245	0	116	129	22	0	2	11	7	2

Fig. 2.
ACADEMIC APPEALS -
POSTGRADUATE
October 2017-September 2018

STAGE ONE					STAGE TWO					
Faculty and School	Stage One Appeals received	Not pursued by complainant	FACP Reject	FACP Upheld	Stage Two Appeals received	Carried Forward	Not pursued by complainant	Reject	Upheld	Pending
HUM	8		0	8						
AMA	3		0	3						
HIS	0		0	0						
HUM	0		0	0						
LDC	1		0	1						
PPL	4		0	4						
FMH	9		4	5	2			1	1	
HSC	6		3	3						
MED	3		1	2	2			1	1	
SCI	3		1	2						
BIO	0		0	0						
CHE	0		0	0						
CMP	0		0	0						
ENV	2		1	1						
MTH	0		0	0						
NAT	0		0	0						
PHA	1		0	1						
SSF	3		1	2						
DEV	0		0	0						
ECO	2		1	1						
EDU	0		0	0						
LAW	1		0	1						
NBS	0		0	0						
PSY	0		0	0						
SWK	0		0	0						
TOTAL	23		6	17						

2016/17 Totals	33	0	14	19	2	0	0	1	1	0
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Fig. 3.
ACADEMIC COMPLAINTS -
UNDERGRADUATE
October 2017-September 2018

Faculty and School	STAGE ONE				STAGE TWO					
	Stage One Complaints received	Not pursued by complainant	FACP Reject	FACP Upheld	Stage Two Complaints received	Carried Forward	Not pursued by complainant	Reject	Upheld	Pending
HUM	7		6	1	2					
AMA	1		1	0						
HIS	2		2	0	2			1	1	
HUM	0		0	0						
LDC	1		1	0						
PPL	2		2	1						
FMH	1		0	1						
HSC	1		0	1						
MED	0		0	0						
SCI	2		1	1						
BIO	1		1	0						
CHE	1		0	1						
CMP	0		0	0						
ENV	0		0	0						
MTH	0		0	0						
NAT	0		0	0						
PHA	0		0	0						
SSF	3		1	2						
DEV	0		0	0						
ECO	0		0	0						
EDU	0		0	0						
LAW	1		1	0						
NBS	1		0	1						
PSY	1		0	1						
SWK	0		0	0						
TOTAL	13		8	5	2	0	0	1	1	0

Fig.4.**ACADEMIC COMPLAINTS - POSTGRADUATE****October 2017-September 2018**

STAGE ONE					STAGE TWO					
Faculty and School	Stage One Complaints received	Not pursued by complainant	FACP Reject	FACP Upheld	Stage Two Complaints received	Carried Forward	Not pursued by complainant	Reject	Upheld	Pending
HUM										
AMA	1		0	1						
HIS										
HUM										
LDC										
PPL										
FMH					2			0	2	
HSC										
MED	2		0	2	2			0	2	
SCI										
BIO										
CHE										
CMP	1		1	0						
ENV										
MTH										
NAT										
PHA										
SSF					1			1	0	
DEV										
ECO	1		1	0	1			1	0	
EDU	2		2	0						
LAW										
NBS										
PSY										
SWK										
TOTAL	7	0	4	3	3	0	0	1	2	0

SEN18D028

Title: Report from the Learning and Teaching Committee
Author: Michele Pavey
Circulation: Senate 27 February 2019
Agenda: SEN18A002
Version: Final
Status: Open

Issue

This is a round up report to members of Senate for information on activities of the Learning and Teaching Committee meeting held on 28 November 2018

Recommendations

None

Resource Implications

None

Risk Implications

None

Equality and Diversity

None

Further Information

Michele Pavey (M.Pavey@uea.ac.uk)

Background

N/A

Discussion

The report is for information only and no discussion is anticipated.

Attachments

Summary report is below.

Report of the Meeting of the Learning and Teaching Committees of Senate on 28 November 2018

The following items were considered by the Learning and Teaching Committee of Senate on 28 November 2018 and are presented here for the Senate's information.

For all documents referred within this report, please refer to LTC agenda at:

<https://portal.uea.ac.uk/committee-office/uea-committees-and-boards/learning-and-teaching-committee>

CONFIRMATION OF CHAIR'S ACTION

1. The Committee noted that since the last meeting Chair's action had been taken to confirm institutional approval for new academic partnerships with West Suffolk College and Colchester Institute.

2. **POSTGRADUATE TAUGHT EXPERIENCE SURVEY 2018**

LTC noted positive outcomes from the survey and that survey outcomes are being discussed at Faculty and School committees so that student representatives were involved. A university working group was looking at all aspects of the taught postgraduate dissertation experience.

3. **FACULTY NSS RESPONSES**

Members considered Faculty action plans produced in response to the 2018 National Student Survey findings. These Plans would be discussed in greater depth at School level committees and LTQCs so there would be student input.

4. **INCLUSIVE EDUCATION POLICY: PART 1 CURRICULUM & PART 2 ASSESSMENT & FEEDBACK**

LTC approved the Curriculum element of the proposed policy. Members made a number of suggestions for enhancement to the Assessment and Feedback element and it was agreed that, subject to the inclusion of the suggestions, this was approved.

5. **LECTURE CAPTURE POLICY**

The Committee agreed the proposed lecture capture policy in principle subject to a number of amendments. It was agreed that the Chair would take chair's action to formally approve it once a number of proposed amendments had been made.

6. **READING LISTS: PROGRESS TOWARDS FULL ADOPTION UPDATE**

The Committee noted the success of targeted academic 1-1 training and a new WP dimension. It also noted the improved rate of adoption of electronic reading lists and supported a request to switch from a semester based pattern of reporting to LTC to an annual pattern of reporting. Members resolved that in future, requests for updates to electronic reading lists would go out with a reminder guide on how to use TALIS.

7. **DO SOMETHING DIFFERENT**

LTC resolved that Academic staff should consider contributing to the Do Something Different programme by running an event themselves or in collaboration with their students. It also agreed that Academic staff should consider any mechanisms they might be able to put in place to encourage students to participate in Do Something Different activities throughout the year and specifically in the Festival week.

8. **CENTRE FOR EDUCATION AND STAFF DEVELOPMENT ANNUAL REPORT 2017/18**

The Committee considered the 2017/18 CSED Annual Report and agreed that the Chair would meet with the Head of CSED or a representative and the Academic Directors to consider proposals for how CSED meets the demand from staff for courses and training, in terms of content, timing and method of delivery. Proposals would then be considered by LTC at a future meeting. The Chair

undertook to ask the Director of Human Resources how UEA staff might be able to obtain reports on training and courses they have undertaken via CSED.

9. NEW AWARDS AND COURSE PROPOSALS

The Committee approved the introduction of a BSc Computational Psychology, an MA in Interdisciplinary Japanese Studies, subject to a Memorandum of Cooperation between the Sainsbury Institute for the Study of Japanese Arts and Cultures (SISJAC) and IIH being in place prior to its commencement, and an MA in Comics Studies. A Masters Double Degree in International Relations with Ritsumeikan University, Japan required more work before it could be fully approved.

10. REGULATIONS FOR THE FOUNDATION DEGREE AWARD IN HEALTH STUDIES (HIGHER APPRENTICESHIP NURSING ASSOCIATES)

Regulations for the Foundation Degree award in Health Studies (Higher Apprenticeship Nursing Associates) were approved.

11. REVISIONS TO THE UNIVERSITY'S DISCIPLINARY AND INVESTIGATIVE PROCEDURES

Members considered a number of amendments to the SSDAC procedures and resolved to recommend to Senate the approval of the amendments as summarised above, with the addition of the change that, in section 27.17 of the University's SSDAC procedure, reference to 'the panel can acquit' would be changed to 'the panel can determine that no breach has been committed.

12. REPORT AND REVIEW OF STATISTICS ON STAGE 1/2 ACADEMIC APPEALS AND COMPLAINTS AND OIA CASES (ACADEMIC YEAR 2017/18)

The Committee received a review of academic appeals, complaints, OIA, Senate Student Disciplinary Committee cases in 2017/18.