
Assessment Regulations and Procedures

2019-20 Edition

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Links to Key Documents

The following Christie's Education documents can be found on Canvas, the Christie's Education VLE:

Academic Appeals Procedures

Assessment Feedback Policy

Assessment Grade Criteria – Level 7

Assessment Submission and Declaration of Originality form

Extenuating Circumstances Application Form

Fitness to Study Policy and Procedure

Governance Handbook

HE Regulation at Christie's Education Ltd. – An introduction for staff, student representatives, and Board members

Quality Handbook

Recruitment and Admissions Policy

Admissions Appeals Procedure

Admissions Complaint Procedure

Student Attendance Policy

Student Complaint Procedures

Student Disciplinary Procedures

UK Quality Code Mapping Exercise 2019

External documents:

Open University:

Guide for External Examiners of OU Validated Awards:

<http://www.open.ac.uk/cicp/main/sites/www.open.ac.uk.cicp.main/files/files/ecms/web-content/032-ai-external-examiners-guide.pdf>

Handbook for Validated Awards:

<http://www.open.ac.uk/cicp/main/validation/about-ou-validation/handbook-validated-awards>

Regulations for Validated Awards:

<http://www.open.ac.uk/cicp/main/validation/about-ou-validation/regulations-validated-awards>

QAA:

Frameworks for Higher Education Qualifications for UK Degree-Awarding Bodies (FHEQ) (2014)

<https://www.qaa.ac.uk/quality-code/qualifications-and-credit-frameworks>

Higher Education Credit Framework for England (2008)

<https://www.qaa.ac.uk/quality-code/qualifications-and-credit-frameworks>

UK Quality Code (2018)

<https://www.qaa.ac.uk/quality-code>

UKVI:

UK Visas and Immigration (UKVI) - <https://www.gov.uk/government/organisations/uk-visas-and-immigration>

Other:

AMBeR Tariff

https://www.plagiarism.org/assets/Tennant_referencetariff-1506356085.pdf

Glossary

The following glossary is also published in the Quality Handbook and HE Regulation at Christie's Education Ltd. – An introduction for staff, student representatives, and Board members. It is subject to annual review and updating each July.

Assessment component	An individual piece of work or a collection of pieces of work that forms a summative assessment.
Assessment element	An assessment element is a piece of work that contributes to an assessment component.
Award	Open University qualification conferred to a student following the successful completion of an approved programme of study.
Compensation	A means of allowing marginal failure in a limited number of modules on the basis of an overall performance which is sufficient to merit the award of the qualification concerned. Compensation can be applied to the results of a student who has failed to attain the required pass mark at undergraduate level.
Condition	A condition shall be set by a validation or revalidation panel when the panel has identified an issue or area of concern where the University's academic standards, and/or the quality of education provided to enable students to achieve those standards, may be at risk unless the condition is set and satisfied by the specified deadline. Conditions of validation and revalidation must be met before a programme can be formally approved by the University.
Co-requisite module	A co-requisite module must be studied simultaneously with, or before, another designated module within a programme of study.
Credit	A means of quantifying and recognising learning, expressed as 'numbers of credits' at a specific credit level. Within this document it is assumed that one credit represents 10 notional hours of learning (including individual study).
Credit level	An indicator of the relative complexity, depth and autonomy of learning associated with a particular module (used in credit frameworks). See also 'Qualification level'
Exit award	A lower award than one for which the student is registered. Such an award may be conferred if a student completes part of, but not all, of the requirements of the programme for which he or she is registered.
Institutional Approval	The process through which an institution is judged to be a satisfactory environment for the presentation of programmes leading to The Open University validated awards. Approval is conferred for a period of up to five years.
Institutional Review	The process through which an institution is critically reviewed for the purposes of confirming that it continues to meet The Open University's requirements. Approval is conferred for a further period of up to five years.

Learning outcome	What a learner is expected to know, understand and be able to demonstrate after completing a defined element of study. Learning outcomes features within the programme specification must align with module specifications.
Module	A self-contained, formally structured, credit-bearing unit of study with explicit learning outcomes. "Modules" may also be referred to as "courses"; for example, on Canvas (the Christie's Education VLE) and in higher education in the USA.
Module specification	A document that defines key characteristics of a module, and includes learning outcomes, models of teaching and learning, and assessment schemes.
Monitoring	Monitoring is the regular internal process by which an institution critically appraises the operation of each validated programme of study and ensures that appropriate standards are maintained. The University requires annual programme evaluation reports from partner institutions and a separate institutional annual report that evaluates the effectiveness of monitoring and other quality assurance arrangements.
Partner institution	An institution approved by The Open University for the delivery of validated programmes of study that lead to Open University awards. Christie's Education is a partner institution of The Open University.
Pre-requisite module	A pre-requisite module is one that must be successfully completed before progressing to another designated module or stage within a programme of study.
Prevent Duty	The Prevent Duty came into force for higher education providers in September 2015 as part of the Counter-Terrorism and Security Act 2015. It places legal requirements on providers to minimise the risk of individuals being drawn into terrorism and to ensure vulnerable individuals receive timely and appropriate support. In common with all registered HE providers, CE is required by law to comply with the Prevent Duty and is monitored in this regard by the OfS.
Programme	A schedule of academic study and assessment which leads to an Open University award
Programme specification	A document that defines key characteristics of an award, including learning outcomes, models of teaching and learning, assessment schemes, and how individual modules relate to qualification levels and contribute to the classification of awards.
Progression	The advancement (or progress) by a student from one stage of a programme to an adjacent higher stage. Such progression is the subject of regulations of the University and must be confirmed at a meeting of the Christie's Education Examinations Board.
Qualification level	One of a series of defined points in the QAA Framework for Higher Education Qualifications (FHEQ). They are numbered in ascending order. Qualifications at the same qualification level share characteristics and require similar achievement. Taught Master's programmes at Christie's Education (London) are at Level 7 of the FHEQ. See also 'Credit level'

Quality Assurance Agency (QAA)	The UK government-appointed agency that safeguards the quality and standard of the higher education awards offered by UK universities. The Open University and Christie's Education comply with the codes of practice defined by the QAA and are subject to its scrutiny.
Recognition of Prior Learning (RPL)	Assessment of prior learning that has occurred in any of a range of contexts including school, college and university, and/or through life and work experiences. Once recognised through this process, prior learning can be used to gain credit or exemption for qualifications and/or personal and career development. RPL includes Accreditation of Prior Certificated Learning (APCL), Accreditation of Prior Experiential Learning (APEL) and Accreditation of Prior Learning (APL).
Recommendation	A recommendation shall be set by a validation or revalidation panel when the panel believes that the quality of education provided to enable students to achieve the academic standards set for a pathway or course would be enhanced if the recommended action is taken. It is a requirement that all Recommendations are considered by Christie's Education and reported through the annual monitoring procedures.
Resit	To take again part or all failed assessment components in order to pass a module. Resit of the failed component does not require the student to participate in classes.
Retake	To take again all assessment components of a module, having failed a resit attempt. Retake of the failed components may require the student to participate in classes to prepare them for the second attempt.
Revalidation	See also Validation
Stage	See also 'Qualification level' In common with many UK higher education providers, the "intermediate" or "pre-Master's" stages of taught postgraduate programmes at Christie's Education (London) are: <ul style="list-style-type: none"> • Postgraduate Certificate (PG Cert) – 60 Level 7 credits • Postgraduate Diploma (PG Dip) – 120 Level 7 credits, including those for the PG Cert stage.
UKVI	UK Visas and Immigration (UKVI) is part of the Home Office. It runs the UK's visa service, managing around 3 million applications a year from overseas nationals who wish to come to the UK to visit, study or work.
Validation and Revalidation	The formal process whereby a new programme of study is critically appraised by The Open University, in order to establish that it meets the requirements for approval. Approval of a programme of study is for a period of up to five years before a further validation (re-validation) is required. Within this document references to the validation process also include the programme revalidation process. Programme revalidation is the process whereby a validated programme of study is critically appraised at intervals of not more than five years, and through which plans for change are considered.

1. Introduction

- 1.1** Christie's Education Ltd. (CE) offers degree programmes and other qualifications which are validated by The Open University ("the University"). Accordingly, all CE programmes are subject to The Open University's Regulations for Validated Awards of The Open University and each sub-section of the CE Assessment Regulations should be read alongside the relevant section of the University regulations.
- 1.2** As outlined in the CE Quality Handbook (Part B: Programme Design, Development, Validation and Revalidation), CE programmes are developed and delivered with reference to relevant guidance from the above University documents and also the UK Quality Code. CE's assessment regulations align with the expectations of the Framework for Higher Education Qualifications of England, Wales, and Northern Ireland (FHEQ), which sets out the different qualification levels and national expectations of standards of academic achievement at each level of study.

2. Framework for Awards and Credit

- 2.1** The Open University uses a UK credit-based system for its validated awards, and it defines these awards primarily in terms of the qualification level and volume of credit required for each.
- 2.2** The main determinant for the volume of UK credit is notional learning time. This is defined as the reasonable measure of time it would take a student to achieve the learning outcomes of the activities. Total notional student learning time includes all activities required to achieve the learning outcomes of a programme, including formal study, assessment and independent learning.
- 2.3** Notional learning time for a 'standard' full-time CE Master's programme is 1800 hours. This is intended as a benchmark only, and the actual hours students require to achieve the required learning outcomes may be less or more than 1800, depending on the knowledge and skills of students at entry and on their rate of progression through the programme, and the impact of any reasonable adjustments made for students with impairments.
- 2.4** A UK credit value is twice its European Credit Transfer (ECT) equivalent (e.g. a 20 UK credit module equates to 10 ECT credits).
- 2.5** Each module of a programme will be assigned a single designated credit level (module assessment is unique to a given credit level). The volume and level of credit assigned to any one module is determined and approved by The Open University at the point of validation.
- 2.6** The assignment of credit to learning should be understood in the following terms:
 - a.** Credit is allocated to a learning activity on the basis of its stated learning outcomes.
 - b.** A student will only be assigned credit after demonstration through assessment of the achievement of the stated learning outcomes. Credit cannot be assigned if no assessment has taken place or if the assessment has not been appropriately conducted.
 - c.** The number of credit points assigned is independent of the standards (grades awarded). Students achieving higher standards will not be allocated more credit points. The higher standard will be reflected in the grade and classification of the pass.

- 2.7** CE offers programmes leading to the Open University awards listed in Table 1. These are shown in descending levels of award because the Postgraduate Diploma and Certificate are normally offered as exit awards only. (Note: The Graduate Diploma and Certificate are not yet offered but are under consideration within CE's development of validated continuing education programmes.) Students must meet all requirements set out in the programme specification approved by The Open University before a qualification is awarded.

Table 1

	Award	Level in FHEQ	Credit requirements	Notional learning hours
1	Master's degree (MSc, MA)	7	180 at Level 7	1800
2	Postgraduate Diploma (PgDip) <i>[offered as an exit award only]</i>	7	120 at Level 7	1200
3	Postgraduate Certificate (PgCert) <i>[offered as an exit award only]</i>	7	60 at Level 7	600
4	Graduate Diploma (Grad Dip)	6	120 at Level 6	1200
5	Graduate Certificate (Grad Cert)	6	60 at Level 6	600

See also: Titles and characteristics of Programmes, Regulations for Validated Awards of The Open University, June 2017, p11-12.

3. Student Admissions and Registration

- 3.1** Students registering for programmes leading to awards of The Open University must have satisfied the admissions criteria approved by The Open University at validation. CE student recruitment and admissions are addressed in the following:
- CE Recruitment and Admissions Policy
 - CE Admissions Appeals Procedure
 - CE Admissions Complaints Procedure
- 3.2** The CE Admissions Policy and Procedures should also be read in conjunction with guidance contained in sub-section 5 below, covering the Recognition of Prior Learning.
- 3.3** Appeals against a decision not to admit an applicant to a CE programme of study are restricted as follows:
- a. Where the applicant has reason to believe that Christie's Education has not followed its admissions procedures

- b. Where the applicant has further pertinent information that was not provided during the original application process and has valid reasons for not previously supplying such information.

3.4 Registration - general

- 3.4.1 A student who is admitted for study on a programme leading to an Open University-validated award must be registered for that programme with CE.
- 3.4.2 CE will submit student name and contact details to The Open University solely for the purposes of recording student details and progression information. By registering with CE for a programme leading to an Open University validated award the student agrees to the sharing of their information with The Open University for this purpose. The Open University will not make any contact with students unless there is a specific need in relation to their studies towards an OU-validated award. It is the student's responsibility to keep their personal information up to date with CE and to notify them of any changes or errors.

3.5 Period of registration for Open University awards

- 3.5.1 The period of registration will commence on the date the student registers on a programme.
- 3.5.2 The minimum and maximum periods within which a student will be expected to complete the programme of study and associated assessment, including the time period for any resit assessments, are stated in Table 2:

Table 2

Award	Minimum length of registration	Maximum length of registration
Master's degree	15 months	30 months

- 3.5.3 Subject to 3.5.5 below, a student will remain registered for the maximum period of the award or until they have achieved the award or the registration has been terminated, whichever comes first.
- 3.5.4 The period of registration may be extended if:
 - a. the student has had to resit or retake parts of their programme of study - see sub-sections 4.10-4.12 below;
 - b. the student has been unable to study or complete a year of study due to extenuating circumstances - see sub-section 8 below;
 - c. the student has been given permission to take a study break as described in sub-section 3.6 below.
- 3.5.5 A student's registration may be terminated if the student has:
 - a. committed a serious disciplinary offence or be deemed as unfit to study – see sub-section 7 below, the CE Student Disciplinary Procedures and the CE Fitness to Study Policy and Procedure;

- b. formally notified the institution that they wish to discontinue their studies and so discontinue their programme;
- c. failed to comply with their financial commitment to the partner institution;
- d. exhausted all opportunities to remedy failure or has made insufficient progress through their programme of study at the required stage - see sub-sections 4.10-4.12 below.

3.5.6 The date of termination recognised by The Open University will be taken as the date on which CE records the student's registration as terminated.

3.6 Interruption of studies

3.6.1 A student may apply, or be required, to take a study break for a maximum period of twelve consecutive months under the agreed procedure for reasons of ill health or other extenuating circumstances (see sub-section 8 below). This may be extended in exceptional circumstances as agreed between The Open University and the partner institution.

3.7 Attendance requirements

3.7.1 Please refer to the CE Student Attendance Policy.

4. Assessment, Progression and Award of Credit

4.1 The forms of assessment and its weighting and timing, and the ways in which the learning outcomes are to be demonstrated through assessment, are set out in the validated programme and module specifications. These are published to students via the student portal. Additional information about assessment can be found within the relevant module information on Canvas (CE's virtual learning environment).

4.2 To obtain an Open University award, students are required to complete all parts of the programme's approved assessment schedule and comply with all regulations relating to their programme of study. The minimum aggregate pass mark for postgraduate programmes is 50%. This minimum applies to assessments, modules, stages and qualifications.

4.3 The rights and responsibilities of External Examiners include the monitoring and approval of the form and content of coursework assignments and examination papers for those programmes/modules under their responsibility (CE Ltd. Quality Handbook, Part D, Externality, para. 31.2). These will be submitted by the Director of Registry and Student Services for External Examiners' approval prior to the start of each academic year.

4.4 Submission of work for assessment

4.4.1 All work for assessment must be submitted by the published deadline date and time and in accordance with the published submission requirements. It must be accompanied by the approved Assessment Submission and Declaration of Originality form. The date and time of submission is automatically recorded for work that is submitted electronically. CE Ltd. subscribes to the plagiarism detection software, Turnitin, and students are briefed on arrival about its use. Students must check their work through Turnitin prior to final electronic submission and should only submit it if they believe that there is no evidence of academic misconduct in the Turnitin

report. All written work submitted electronically for assessment automatically goes through Turnitin and academic staff will review Turnitin reports following submission dates.

- 4.4.2** Student requests for extensions to assessment deadlines will not be approved unless made in accordance with the extenuating circumstances procedures (see sub-section 8 below). Where an assessment is submitted late and there are no accepted extenuating circumstances, it will be penalised in line with the following tariff:
- a.** Submission within 6 working days: a 10% reduction, deducted from the overall mark for each working day late, down to the 50% pass mark.
 - b.** Submission that is late by 7 or more working days: submission refused, mark of 0.
- 4.4.3** In the context of submission of work for assessment, “working days” include student vacation periods, but not weekends or public holidays. Penalties for late submission will start accruing as soon as the time of the submission deadline has passed. For example, following a submission date of 17:00 on a Friday, the penalty for late submission will start accruing immediately and one working day will elapse at 17:00 on the following Monday, irrespective of whether or not this falls in term time or student vacation time.
- 4.4.4** Work submitted for a summative assessment component cannot be amended after submission or re-submitted.
- 4.4.5** Students who fail to submit work for assessments or attend examinations shall be deemed to have failed the assessment components concerned and will be marked as 0.
- 4.4.6** Postgraduate assessments are marked on a percentage scale of 0-100:

Table 3

% Scale Mark	Performance Standard
70+	Distinction
60-69	Merit
50-59	Pass
0-49	Fail

- 4.4.7** The final marks and grades for individual assessment components, modules, and final awards, will be determined after completion of the relevant CE quality assurance processes, i.e. moderation and external examination, as detailed below and in the CE Quality Handbook (Part D, Externality).
- 4.4.8** Where the result of the overall module assessment calculation creates a mark with a single decimal place of 0.5% or greater, this will be rounded up to the next full percentage point (e.g. 69.5% is rounded to 70; 59.5% to 60%; and so on). Where the calculation creates a mark with a single decimal place below 0.5%, this will be rounded down to the next full

percentage point (e.g. 69.4% is rounded to 69%; 59.4% to 59%; and so on). For the purposes of rounding up or down, only the first decimal place is used. Please see also sub-section 4.13 below.

4.5 Marking and moderation

4.5.1 CE's principles for student assessment have been aligned to address relevant external reference points including the UK Quality Code for Higher Education.

4.5.2 Marking is a key element of the assessment process underpinning the maintenance of academic standards. Markers exercise their academic judgement in accordance with internal and external reference points. Key internal reference points include the relevant module and programme specifications (including the approved learning outcomes), these Assessment Regulations and Procedures, the Assessment Grade Criteria for postgraduate (level 7) assessments at CE, and CE's UK Quality Code Mapping Exercise 2019.

4.5.3 Specific roles in marking and moderation are fulfilled by the Academic Director and External Examiners. As the senior academic member of staff, the Academic Director has oversight of academic standards and quality. The Academic Director may sample assessments from any stage of a programme to ensure that standards are secure and that marking and moderation are consistent. The External Examiner's remit is to verify that standards are appropriate and secure. In order to do this, External Examiners sample and moderate assessments from all stages of programmes. Following discussion with the Academic Director and programme team, External Examiners may propose adjustments to cohort marks (see below, 4.5.6 Sampling, moderation and adjustment of cohort marks by External Examiners). However, it is not the role of the External Examiner to act as an additional marker.

4.5.4 Marking and moderation - intermediate stages

4.5.4.1 All assessments for modules which contribute to the intermediate (i.e. pre-Master's) stages are marked by a primary marker. Following this, the full mark sheet plus a sample of work submitted for each assessment are reviewed by a second member of academic staff (the reviewer) to verify that the assessment grade criteria and the grade scale have been applied fairly and consistently. Each assessment sample will comprise up to 50% of the total work submitted, and will include:

- a. All assessments with fail grades;
- b. A sample of other classifications.

4.5.4.2 Where marks for any piece of work cannot be agreed by the primary marker and the reviewer, the Academic Director will also review the mark sheet and sample.

4.5.4.3 Once agreed, marks are submitted by the module tutor to the student records system by the published deadline.

4.5.4.4 It is important that there is clear evidence that the review of the primary marker's marks has taken place (and the review by the Academic Director where this has been deemed necessary). The tutors reviewing the mark sheet and sample must complete and

sign a record of the sample reviewed. These records are made available to External Examiners. External Examiners sample assessments from all modules from the intermediate stages, to verify that assessment procedures have been followed and that standards are secure. External Examiners have the right to moderate the marks awarded by internal examiners where this is within the CE assessment regulations and does not bias the overall assessment or cause unfairness to individual candidates. Please refer to the CE Quality Handbook (Part D, Externality).

4.5.5 Marking and moderation – Master’s stage (all programmes)

4.5.5.1 At the Master's stage of programmes, blind double or triple marking is undertaken. For blind double or triple marking, each student’s work is marked independently by two or three markers as relevant, without the markers first seeing the other marker’s/markers’ proposed mark or comments. One marker may be external to CE. Programme team members meet as a group to review both/all the marks, agree on final marks, and to verify that the assessment grade criteria and the grade scale have been applied fairly and consistently. A record is kept of both/all marks, the agreed marks, and the rationale for any agreed moderation of marks. Once agreed, marks are submitted by Programme Directors to the student records system by the published deadline.

4.5.5.2 External Examiners are given access to all assessments for Master’s stage modules and verify that assessment procedures have been followed and that standards are secure. External Examiners are provided with the comments and proposed marks of both/all markers, together with the mark agreed in the internal moderation process and the rationale for any agreed moderation of marks. External Examiners have the right to moderate the marks awarded by internal examiners where this is within the CE assessment regulations and does not bias the overall assessment or cause unfairness to individual candidates. Please refer to the CE Quality Handbook (Part D, Externality).

4.5.6 Sampling, moderation and adjustment of cohort marks by External Examiners

4.5.6.1 External Examiners’ sampling of assessments may be undertaken remotely or on-site. External Examiners are required to attend CE at agreed times, normally twice per year, to discuss the outcomes of sampling with the Academic Director, Programme Director and staff, meet with a selection of students, and participate in meetings of the Examinations Board (including pre-Board meetings). For more information on the role of External Examiners, please refer to the Quality Handbook, Part D, Externality.

4.5.6.2 As described in 4.5.4.4 and 4.5.5.2 above, External Examiners sample assessments from all modules to verify that assessment procedures have been followed and that standards are secure. If the marks of a sample cannot initially be verified, External Examiners will consider the work of a wider sample.

4.5.6.3 As part of the moderation process, External Examiners may propose the adjustment of cohort marks where they consider the marks to be too high, too low, or where they consider the range of marks to not be appropriate. Adjustment of cohort marks must be proposed and ratified at a meeting of the Examinations Board, and only when the initial sample of marks has been extended to cover those of the whole cohort.

4.6 Assessment results and feedback

4.6.1 At all stages of a programme, marks for assessments and modules are notified to students via the student portal. This includes the final (Master's) stage, at the end of which module and programme results and qualification outcomes are determined. It is important to note that, at all stages, marks for all assessments and modules remain provisional until they have been ratified by the Examinations Board, with External Examiners and a representative of The Open University in attendance.

4.6.2 Summative assessment feedback and marks must be provided by academic staff to the Director of Registry and Student Services no later than 10 working days following the submission date for the assessment. The Director of Registry and Student Services ensures that feedback and marks are provided to students via the student portal no later than 12 working days following the submission date. The only exceptions to this are as follows:

- a. When, subject to the approval of the Academic Director, field trips or other activities or events are scheduled;
- b. When students are subject to the processes relating to academic misconduct or poor academic practice, set out in sub-section 7 of these regulations;
- c. Assessments submitted in the final week of a term, when feedback and marks must be provided to the Director of Registry and Student Services no less than two working days before the first day of the subsequent term, and the feedback and marks returned to students via the student portal no later than the end of the first day of the term.

4.6.3 "Working days" is here defined as term-time days only and does not include weekends or public holidays. Dates by which students can expect to receive assessment feedback are provided in the Module Assessment Catalogue for the programme, which is available on Canvas. All assessment feedback must meet the requirements of the CE Assessment Feedback Policy.

4.7 Determining module outcomes

4.7.1 The overall module mark and grade shall be determined according to the weightings of the summative assessments as set out in the assessment strategy detailed in the module specification and published in the relevant programme section of Canvas.

4.7.2 To pass a module a student must achieve the requirements of the module as set out in the module specification and published in the relevant programme section of Canvas.

4.7.3 A student who passes a module shall be awarded the credit for that module. Partial credit cannot be awarded. The amount of credit for each

module shall be set out in the module and programme specifications and published in the relevant programme section of Canvas.

4.8 Provision for viva voce examination

4.8.1 Exceptionally, viva voce examinations may be required by an Examinations Board (with the approval of External Examiners):

- a. to confirm the progression/result status of a student;
- b. to determine the result status of unusual or borderline cases;
- c. when there is conflicting evidence from the various assessment components;
- d. as an alternative or additional assessment in cases where poor performance in assessment is the result of exceptional circumstances verified through due processes.

4.9 Determining progression and qualification outcomes

4.9.1 The requirements for progression through the programme, and the elements identified as compulsory or optional, are set out in the programme specification and approved in the programme validation process. Programmes may require students to complete prerequisite or co-requisite modules.

4.9.2 In order to complete and pass a stage of a postgraduate programme (i.e. the intermediate stages and/or the final Master's stage), a student must normally achieve the total number of credits set out in the programme specification, or must have been exempted through one of the following:

- a. Compensation for marginal failure (see sub-section 4.11 below)
- b. Recognition of Prior Learning (see sub-section 5 below)
- c. Extenuating circumstances (see sub-section 8 below)

4.9.3 The credit value of each module which contributes to a stage of study determines its weighting in the aggregation of credit for that stage.

4.9.4 Where a student fails a module, the following may apply in the first instance:

- a. Resit (see sub-section 4.10 below) – a second attempt of an assessment component within a module, following failure at first attempt
- b. Compensation for marginal failure (see sub-section 4.11 below) – the award of credit by the Examinations Board for a failed module(s) on account of good performance in other modules at the same credit level where the learning outcomes have been met.
- c. Retake of study (see sub-section 4.12 below) – a second attempt of all assessment components within a module following failure at the first or resit attempt. Retake of the failed component(s) may require the student to participate in classes to prepare them for the second attempt. This will be confirmed by the Examinations Board.

4.10 Resit provision

4.10.1 "Resit" is the mechanism by which a student may be granted one further opportunity to be assessed in a module following initial failure. It is

normally offered to students only when conditions a-e below are met; however, please refer also to 4.10.2 - 4.10.3. Resit is available for modules at all stages including Master's stage:

- a. A student may resit the failed assessment component of a module only once. Where there are extenuating circumstances (sub-section 8 below), the Examinations Board has discretion to decide whether a further assessment opportunity shall be permitted, unless explicitly prohibited in the approved rules for the programme, as approved in the validation process and programme specification.
- b. A student who does not complete the resit by the date specified shall not progress on the programme, except in cases where the process for allowing extenuating circumstances has been followed.
- c. Resits can only take place after the meeting of the Examinations Board or following agreement by the Chair of the Examinations Board and the relevant External Examiner.
- d. A student who successfully completes any required resits within a module shall be awarded the credit for the module and the result for the individual assessment component shall be capped at the minimum pass mark for the module.
- e. A student shall not be permitted to be reassessed by resit in any module that has received a pass mark, or in a component that has received a mark of 50% or above.
- f. The resit will normally be carried out by the same combination of written examination, coursework etc. as in the first attempt.

4.10.2 The Examinations Board may, at its discretion, make such special arrangements as it deems appropriate in cases where it is not practicable for students to be reassessed in the same elements and by the same methods as at the first attempt. However, where a validated programme is discontinued, provision has to be made to ensure fair assessment opportunities for all students who have been enrolled.

4.10.3 It may not be possible for students to resit certain types of assessment. A non-exhaustive list of such assessments includes: object status acquisition or curatorial reports; cataloguing assessments; certain written examinations including those in which objects used in the original examination are no longer available; and assessments of group work. In such circumstances, an alternative assessment will be devised which enables the student to demonstrate fulfilment of the relevant learning outcomes. Alternative assessments must be approved by the relevant External Examiner.

4.11 Compensation for marginal failure

4.11.1 "Compensation" refers to the award of credit, at the relevant level of study, for a failed module(s), on account of good performance in other modules. Compensation may only be applied by an Examinations Board. Unless otherwise stated in the approved programme specification, compensation may only be applied in taught postgraduate programmes when the following conditions are met:

- a. Compensation is not permitted for modules within awards of less than 120 credits in total; for the avoidance of doubt, this means that

it is not permitted for modules contributing to the exit award of Postgraduate Certificate.

- b.** Compensation is not permitted for any core project/dissertation module, as defined in the programme specification; for the avoidance of doubt, this means that it is not permitted for any Master's stage module, as defined in the programme specification.
- c.** Compensation is not permitted for non-submissions.
- d.** No more than 20 credits, or one sixth of the total credits, whichever is the greater, can be compensated from the 120 credits which comprise the Postgraduate Diploma stage of a programme.
- e.** Where compensation is under consideration by the Examinations Board, it must be confirmed that the learning outcomes of the qualification level, as defined in the programme specification, have been satisfied.
- f.** It must also be confirmed that, taking account of the marks for other assessment requirements for the module, a minimum mark of 45% has been achieved in the module to be compensated.
- g.** In the calculation of the final aggregated mark for the award, a minimum aggregate mark of 50% must be achieved after the compensated module mark has been taken into account, in order to qualify the student for compensation.

4.11.2 A student who receives a compensated pass in a module shall be awarded the credit for the module. The original assessment component mark(s) (i.e. below the pass mark) shall be retained in the record of marks and used in the calculation of the aggregate mark for the stage or qualification.

4.12 Options for the retake of study

If, having exhausted all permitted compensation, resit and retake opportunities, a student is still unable to pass, the Examinations Board may, at its discretion, permit one of the following retake options. Retake is available for modules at all stages including Master's stage.

4.12.1 Partial retake as a fully registered student:

- a.** The student is not permitted to progress to the next stage of the programme but must retake the failed module(s) and/or component(s) in full during the following academic year;
- b.** The student has full access to all facilities and support for the modules and/or components being retaken;
- c.** The marks that can be achieved for the modules and/or components being retaken will be capped at the module and/or component pass marks;
- d.** The student retains the marks for the modules and/or components already passed;
- e.** No further resit opportunities are permitted.

4.12.2 Partial retake for assessment only:

- a. As in 4.12.2 except that access to facilities and support will be limited to certain learning resources for the module(s) and/or component(s) being retaken. Participation will only be allowed for relevant revision sessions and assessments.
- b. Where a student is required to complete a partial retake for assessment only, but faces visa or other issues which may militate against the satisfactory completion of such a retake, it may be feasible for the student to undertake the partial retake through remote directed study with tutorial support via telephone, email, Skype etc. This will depend on the amount of the module(s) and/or component(s) which need to be retaken, and it is only permissible where the student is able to demonstrate that they have access to sufficient resources to enable satisfactory completion of the outstanding assessment(s). The Examinations Board will exercise its discretion in determining whether a partial retake of study may be completed via remote directed study. In determining whether a partial retake of study may be completed in this way, the decision of the Examinations Board will be final.

4.12.3 Full retake:

- a. This is only permitted where the student has extenuating circumstances (sub-section 8 below);
- b. The student does not progress to the next stage of the programme but instead repeats all the modules in the current stage during the following academic year;
- c. The student has full access to all facilities and support;
- d. The marks that can be achieved are not capped, and the student is normally entitled to the resit opportunities available. However, a student is not able to carry forward any credit from previous attempts at the stage.

4.12.4 Where compensation, resit and retake opportunities have been exhausted, the Examinations Board may recommend a student for an exit award as defined in sub-section 4.14 below.

4.12.5 With the approval of the Examinations Board, students may be eligible to progress to a higher stage of a programme without having completed the requisite 120 points of the lower stage. Students may exceptionally be allowed to do so if any of the following conditions are met:

- a. A minimum of 80 points at the lower level have been successfully completed including passes in all designated core modules;
- b. All requirements for academic prerequisites for the higher level modules are met;
- c. The Examinations Board have approved progression following a successful application for extenuating circumstances, and results are still pending in the student's profile.

4.13 Grading and Classification of Postgraduate Awards

- 4.13.1** Validated taught awards consisting of at least 120 credits at FHEQ level 4 or above (including Masters' degrees and Postgraduate Diplomas, but not Postgraduate Certificates) may be awarded with Merit or Distinction.
- For the award of Master's or Postgraduate Diploma with Distinction, the overall aggregate mark will be 70% or above.
 - For the award of Master's or Postgraduate Diploma with Merit, the overall aggregate mark will be 60% - 69%.
 - For the award of Master's or Postgraduate Diploma - Pass, the overall aggregate mark will be 50-59%.
- 4.13.2** Unless the requirements of a Professional, Statutory and Regulatory Body (PSRB) state otherwise, the calculation of the final mark which determines Masters' and Postgraduate Diploma awards is based on the aggregation of the marks for each module within the programme, weighted according to the number of credits for each module as set out in the programme specification.
- 4.13.3** Where the final result of the award classification calculation creates a mark with a single decimal place of 0.5% or greater, this will be rounded up to the next full percentage point (e.g. 63.6% is rounded to 64%; 57.8% to 58%; and so on). Where the calculation creates a mark with a single decimal place below 0.5%, this will be rounded down to the next full percentage point (e.g. 69.4% is rounded to 69%; 57.4% to 57%; and so on). For the purposes of rounding up or down, only the first decimal place is used.
- 4.13.4** Final aggregate marks between 59.5% and 59.9% or 69.5% and 69.9% are defined as being on the borderline between final grade classifications. When a final aggregate mark is between either 59.5% and 59.9%, or 69.5% and 69.9%, it will be automatically rounded up to the next full percentage place, as shown in Table 4 below. For the avoidance of doubt, there is no automatic rounding up from 49.5% to the Pass mark of 50%.

Table 4

Aggregate mark	Mark when rounded
59.5% - 59.9%	60% - Merit
69.5% - 69.9%	70% - Distinction

4.14 Exit awards

- 4.14.1** CE programmes make provision for exit awards at intermediate stages, for which clear learning outcomes are stated and laid out in the validated programme specifications. Exit awards are awarded with a Pass grade; they are not awarded with Merit or Distinction grades.
- 4.14.2** Where a student leaves CE with an exit award they may reapply at a later date to upgrade to a higher award on the same programme, if it is still offered by CE.

4.14.3 A student who has withdrawn from a programme or has exhausted all assessment attempts (as outlined in sub-sections 4.10, 4.11 and 4.12 above) will automatically be considered for an exit award where sufficient credit has been accrued.

4.15 Posthumous and Aegrotat awards

4.15.1 Should a student be prevented by illness, or other circumstances, from completing the final assessed component of the programme, the Examinations Board, having considered the relevant evidence (including medical certification) may make a recommendation that an Aegrotat award be made. Such exceptions are limited to students who are permanently unable to continue their studies and are registered for the final module that would complete a qualification, and have been assessed on at least part of the module. The Board must be satisfied that the student's prior performance shows beyond reasonable doubt that they would have passed but for the illness, or other circumstances.

4.15.2 Posthumous awards are permitted for all programmes. The classification for such awards is based on past performance and aligned to the closest exit award (which may include a classification). Posthumous awards must be recommended to The Open University's Module Results Approval and Qualifications Classification Panel (MRAQCP) for approval.

5. Recognition of Prior Learning (RPL)

5.1 CE's approach to RPL is guided by section 22 of the University Regulations and with reference to the UK Quality Code for Higher Education.

5.2 Admission with RPL

5.2.1 Students who do not have the normal stated entry requirements may be admitted to a programme on the basis of prior certificated learning and/or prior experiential learning.

5.2.2 Admission via prior certificated learning (RPCL)

A candidate may be admitted to a programme where they can demonstrate that their previous formal learning is broadly equivalent (in terms of content, volume and level) to that achieved at the level(s) normally required for entry to the programme. In order for RPL to be accepted for admission to a programme of study through certificated study it must have been subject to valid and reliable assessment.

5.2.3 Admission via prior experiential learning (RPEL)

A candidate may be admitted to a programme where prior experiential learning is broadly equivalent to the quantity and level of learning that would otherwise have been assessed for normal entry requirements. Any judgement on RPL will refer to the aims and learning outcomes of the programme or its component modules or the normal admission requirements. The experience for which recognition is being sought must be demonstrably relevant to skills normally required for admission as well as being of an appropriate quantity and level.

5.2.4 A student admitted on the basis of uncertificated learning and experience or through prior certified learning is otherwise subject to standard principles of admission.

5.3 Admission part way through a programme through RPL

5.3.1 Students who are able to demonstrate that they have already fulfilled some of the learning outcomes of the programme (for example, via prior certificated learning and/or prior experiential learning), and will be able, by completing the remaining requirements, to fulfil the learning outcomes of the programme, may be admitted with advanced standing, thus exempting them from some modules or stages of the programme. Students granted entry by advanced standing (direct entry) are not granted OU credit for their prior learning.

5.3.2 Prior certificated learning

Candidates who can provide evidence that they have previously undertaken prior and relevant certificated learning may apply for RPL to gain admission part way through a programme. To be eligible for consideration for the award of credit, candidates must submit certification, which demonstrates success in a final assessment for all or part of the programme, as well as information on the previous programme's content and learning.

5.3.3 Prior learning through experiential learning

A candidate may be admitted part way through a degree programme where claimed prior experiential learning is broadly equivalent to the quantity and level of learning of the relevant part of the degree programme. Any judgement on RPL will refer to the aims and learning outcomes of the degree programme or its component modules, or the normal admission requirements. The experience for which recognition is being sought must be demonstrably relevant to some or all of the skills normally required for admission as well as being of an appropriate quantity and level. The minimum number of years of experience that an applicant must be able to demonstrate for entry through RPEL will be determined on a case-by-case basis by the Academic Director and the relevant Programme Director, taking account of the quantity and level of learning of the part of the programme for which RPEL is being claimed.

5.4 Gaining exemption through RPL

5.4.1 RPL can be used to gain exemption from module(s) if a student has already had experience similar to that of any of the modules from the relevant programme. Evidence must be supplied to demonstrate that the previous learning correlates with the learning outcomes of the module(s).

5.4.2 Prior learning through certificated study

Candidates must provide evidence that they have undertaken prior certificated learning completed through an earlier programme of study. To be eligible for consideration for the award of credit, candidates must submit certification which demonstrates success in a final assessment for that programme or part thereof, as well as information on the content of the previous programme.

5.4.3 Prior learning through experiential learning

Academic credit cannot be awarded for experience alone, but for relevant learning which can be demonstrated to have been achieved through that experience. Candidates are required to provide a portfolio of evidence relevant to the area of study, demonstrating the equivalent learning and mapped against the relevant module learning outcomes.

5.5 RPL and award of credit

5.5.1 On full Master's degrees, a student may be awarded up to two thirds of the total credit requirements for the award (i.e. 120 credits) through the processes for RPL (certified, experiential or uncertified). The normal maximum for sub-awards or exit awards is 50% (i.e. 30 credits for a Postgraduate Certificate or 60 credits for a Postgraduate Diploma). See Table 5 below. The minimum RPL credit claim that will be considered is 10 credits.

Table 5: Maximum RPL credit for award

Award title	Total credit for the award	Maximum RPL credit for award
Postgraduate Certificate <i>[offered as an exit award only]</i>	60	30
Postgraduate Diploma <i>[offered as an exit award only]</i>	120	60
Master's degree – MA, MSc	180	120

5.5.2 Recognition for prior learning (certified, experiential or uncertified) is not permitted for the thesis/dissertation module on a PG programme. For the avoidance of doubt, this means that it is not permitted for any Master's-stage module, as defined in the programme specification.

5.5.3 In order for an applicant to be admitted to a programme on the basis of prior certificated learning and/or prior experiential learning, CE must be satisfied that the applicant:

- a. has fulfilled some of the progression and assessment requirements of the programme by means other than attendance on the planned programme, and;
- b. will be able by completing the remaining requirements to fulfil the learning outcomes of the programme and attain the standard required for the award.

5.5.4 The following will apply for applications for RPL credit for prior study that includes credit for RPCL or RPEL that has been awarded by an external institution:

- a. RPCL: Evidence of the previous learning for which the credit had been awarded must be provided (certificate and transcript) in order for CE to make an assessment of this.
- b. RPEL: If credit has already been awarded by a recognised HEI, CE would consider this part of the applicant's claim for RPL.

- 5.5.5** All RPL credit granted will be reported through and confirmed by the relevant Examination Boards.
- 5.5.6** Marks associated with credit acquired through RPL will not be used in the calculation of classification of the final award.
- 5.5.7** Credit will be eligible for transfer for a maximum of 5 years.
- 5.5.8** Decision-making responsibility for RPL rests with the Academic Director as chair of the CE Examinations Board. Appeals and complaints regarding RPL claims and decisions follow the CE procedures for Admissions Appeals and Admissions Complaints.

6. Study Abroad

- 6.1** The provisions in this sub-section apply where CE has established a formal written agreement with an overseas institution to facilitate international learning experiences for its students.
- 6.2** As part of their CE programme, students on full-time postgraduate degrees may undertake up to 60 credits of study abroad, at approved institutions and on approved equivalent programmes of study. The modules or components of study to be followed on a Study Abroad opportunity, including the number and level of credits, must be clearly articulated in a Learning Agreement between the student and CE.
- 6.3** Acceptance on a Study Abroad programme depends on the successful prior completion of 60 credits of the CE programme. If the student has pending resit or retake requirements before the Study Abroad opportunity, they may not be eligible to participate in the Study Abroad programme.
- 6.4** The modules or components set out in the Learning Agreement must be passed by the student. The Examinations Board will consider failure in line with the requirements set out in sub-section 4 above (Assessment, Progression and Award of Credit) and sub-section 8 below (Extenuating Circumstances).
- 6.5** Credit will only be recognised for modules or components that have been passed and for which a transcript of results provided by the partner institution. These credits form part of the credit requirement for an award. The grades achieved for these modules will not be converted into CE equivalents and will not be used in the determination of the final degree classification. The degree classification will be awarded only on the basis of work completed whilst at CE.

7. Academic Misconduct

- 7.1** Section E of The Open University Regulations describes The Open University's policy on academic misconduct, which it defines as "any improper activity or behaviour by a student which may give that student, or another student, an unpermitted academic advantage in a summative assessment." Any penalties arising from academic misconduct will be levied in line with the AMBeR Tariff. The following policy and procedures distinguish between poor academic practice, which may result from a student's inexperience or lack of knowledge of academic conventions, and forms of academic misconduct, including plagiarism. Poor academic practice is not subject to the AMBeR Tariff.
- 7.2** Academic staff should discuss all instances of suspected academic misconduct with the relevant Programme Director.

7.3 As stated in sub-section 4.4 (Submission of work for assessment), para. 4.4.1, all work for assessment must be submitted by the published deadline date and time and in accordance with the published submission requirements. It must be accompanied by the approved Assessment Submission and Declaration of Originality form. The date and time of submission is automatically recorded for work that is submitted electronically. CE subscribes to the plagiarism detection software, Turnitin, and students are briefed on arrival about its use. Students must check their work through Turnitin prior to final electronic submission and should only submit it if they believe that there is no evidence of academic misconduct in the Turnitin report. All written work submitted electronically for assessment automatically goes through Turnitin and academic staff will review Turnitin reports following submission dates.

7.4 Where a piece of work is suspected of containing material which has been plagiarised or is the result of another form of academic misconduct, a number of different procedures will apply. The procedure to be followed will depend on whether, following their initial assessment of the case, the member of academic staff, Programme Director and/or Director of Registry and Student Services consider the work to have been plagiarised (or to be the result of another form of academic misconduct) or whether it simply reflects poor academic practice on the part of the student. Also, the extent of the plagiarism or other form of academic misconduct, and whether it is a first or second offence by the student, will determine whether the Stage 1 or Stage 2 procedures are implemented.

7.5 Categories of academic misconduct

The following comprises a non-exhaustive list of examples of academic misconduct which will be considered under these Regulations.

7.5.1 Plagiarism

For example:

- a. Representing another person's work or ideas as one's own (including text, data, images, sound and performance), for example by failing to follow convention in acknowledging sources, use of quotation marks, etc. This includes the unauthorised use of one student's work by another student and the commissioning, purchase and submission of a piece of work, in part or whole, as the student's own.
- b. Reproduction of published or unpublished (e.g. work of another student or the student's own work submitted for a previous module) material without acknowledgement of the author or source.
- c. Paraphrasing by, for instance, substituting a few words or phrases or altering the order of presentation of another person's work, or linking unacknowledged sentences or phrases with words of one's own.
- d. Copying directly from a text (book, magazine, internet or printed source) without reference to its author.
- e. Direct facsimile of an image, a sound or performance without due acknowledgement of its source.
- f. Use of student's own work which has previously been submitted for assessment.

- g.** Where a student has an acknowledged learning disability, they may engage a proof-reader to advise on spelling and grammar and to ensure that the written work communicates effectively. Proof-readers must not correct inaccuracies in academic content or change the structure of the piece of work.

7.5.2 Collusion

7.5.2.1 This includes co-operation in order to gain an unpermitted advantage. This may occur where students have consciously colluded on a piece of work, in part or whole, and passed it off as their own individual efforts, or where one student has authorized another to use their work, in part or whole, and to submit it as their own.

7.5.2.2 Legitimate input from tutors or approved readers or scribes is not considered to be collusion.

7.5.3 Misconduct in examinations

For example:

- a.** Copying from another candidate's notes during an examination;
- b.** The placing of unauthorised items on the examination desk (including pencil cases, mobile phones);
- c.** Communication during an examination with any person other than an authorised member of staff;
- d.** Accessing or copying from any source of information during an examination except as authorised;
- e.** Gaining access to unauthorised material prior to an assessment (e.g. an examination paper).

7.5.4 Falsification

For example:

- a.** Claiming to have carried out any form of research which the student has not undertaken;
- b.** Falsification of results or other data.

7.5.5 Ghosting

For example, submission of work presented as the student's own which has been purchased, commissioned or otherwise acquired from another person (including internet sellers).

7.5.6 Personation

For example:

- a.** Assuming the identity of another student (of this or any other institution) with the intention of gaining an unfair advantage for that student.
- b.** A student allowing another person to impersonate him/her to gain an unfair advantage.

7.6 Procedures – Summary

The following is a summary of key aspects of the procedures – staff and students should refer also to the details which are provided in the paragraphs highlighted in *italics*:

- 7.6.1** If a member of academic staff and Programme Director consider that a piece of work reflects poor academic practice rather than plagiarism, the student is not subject to disciplinary procedures. The student should be given an accordingly low mark, appropriate advice, and a warning in respect of future academic conduct. *Please refer to para. 7.8.*
- 7.6.2** If a member of academic staff and Programme Director consider a piece of work to have been plagiarised, or to be the result of another form of academic misconduct, rather than to reflect poor academic practice, any further assessment of that piece of work shall be held in abeyance until the Stage 1 or 2 procedures have been completed. A provisional mark may be identified for the student's assessment, but a final mark will not be agreed until the case has been investigated and resolved. The provisional mark will also be allocated an appropriate code in the database of assessment results. *Please refer to paras. 7.9.1 to 7.9.3.*
- 7.6.3** If the Programme Director and Director of Registry and Student Services confirm that there has been plagiarism, or another form of academic misconduct, cases that are first offences and not considered to be severe shall be dealt with by the Programme Director under the Stage 1 procedures. *Please refer to paras. 7.9.3 and 7.9.4.* For all suspected second offences and cases of severe plagiarism or other form of academic misconduct, the Director of Registry and Student Services shall invoke the Stage 2 procedures. *Please refer to paras. 7.9.3 and 7.9.5.*

- 7.7** It is the responsibility of the Director of Registry and Student Services to oversee consistency of approach and due attention to precedent. Throughout all stages of the procedures, copies of all correspondence between CE and the student will be retained in the student's file. Outcomes of academic misconduct investigations are reported to the CE Examinations Board and Academic Board.

7.8 Full procedure – Poor academic practice

Where a member of academic staff and Programme Director consider a piece of work to be excessively derivative and/or poorly referenced, arising from lack of understanding of academic protocols or a misunderstanding of expected academic conventions, but not to be plagiarism or the result of another form of academic misconduct (within the terms of the definitions above), the work should be treated as an instance of poor academic practice and not academic misconduct. The student is not subject to disciplinary procedures. The student should be given an accordingly low mark, appropriate advice, and a warning in respect of future academic conduct. This should be communicated via a face-to-face meeting with the student at the earliest opportunity, in writing via the normal Assessment Feedback form, and in keeping with para. 3.3 of the CE Assessment Feedback Policy. Ideally this communication to the student should be provided no later than 12 working days following the submission date, although it is recognised that this might be extended due to time spent considering a case of suspected academic misconduct. A note that such advice and a warning have been given shall be entered on the student's record by the Director of Registry and Student Services. Any repeat incidences of poor academic practice may result in the student being considered under the procedures for academic misconduct.

7.9 Full procedure – Academic misconduct

7.9.1 Where a member of academic staff and Programme Director consider a piece of work to have been plagiarised, or to be the result of another form of academic misconduct, any further assessment of that piece of work shall be held in abeyance until the procedures set out below have been completed. A provisional mark may be identified for the student's assessment, but a final mark will not be agreed until the case has been investigated and resolved. The provisional mark will also be allocated an appropriate code in the database of assessment results. The student shall be informed of this at the earliest practical opportunity via a face-to-face meeting with the member of staff. It will also be confirmed to the student in writing that assessment of the work has been suspended pending an investigation of suspected academic misconduct.

7.9.2 The Programme Director shall notify the Director of Registry and Student Services of the suspected plagiarism or other form of academic misconduct, providing a full report which includes notes of any meetings or discussions with the student, and all appropriate documentary evidence (including the piece of work in question duly marked up, a copy of the original source material, information on the contribution of the piece of work to the overall assessment, etc.).

7.9.3 The Programme Director and Director of Registry and Student Services shall assess the extent of the suspected plagiarism or other form of academic misconduct. Cases that are first offences and not considered to be severe shall be dealt with by the Programme Director under the Stage 1 procedures below. For all suspected second offences and cases of severe plagiarism, or other form of academic misconduct, the Director of Registry and Student Services shall invoke the formal disciplinary procedures (Stage 2) as set out below.

7.9.4 Academic misconduct - Stage 1 procedures

7.9.4.1 In respect of cases that are first offences and not considered to be severe, the Programme Director shall interview the student concerned. Within 5 working days of receiving notification from the Programme Director, the Director of Registry and Student Services will inform the student in writing of the alleged offence and of the requirement to attend for interview. The student will also be provided with a copy of any documentation in advance of the interview and notified of a deadline by which any written submission (should the student choose to make one instead of or in addition to personal attendance), must be received by the Programme Director ahead of the interview.

7.9.4.2 Where a student does not attend the interview, the investigation under Stage 1 procedures may still proceed in the student's absence.

7.9.4.3 At the interview, the student shall have the right to be accompanied by a fellow student. A member of CE staff will be present to keep a record of the meeting.

7.9.4.4 The student will be given the opportunity to make a statement about the work in question and will be asked to answer questions.

- 7.9.4.5** If it is judged that there is no case for the student to answer, the Director of Registry and Student Services will inform the student in writing of the outcome within 5 working days of the meeting. The piece of work in question will be assessed following the normal procedures, without penalty.
- 7.9.4.6** If the Programme Director and Director of Registry and Student Services judge that an offence has occurred but consider that the student has engaged in poor academic practice then the student will be given a warning, and instruction about academic misconduct – see also para. 7.8. This shall be communicated via a face-to-face meeting between the Programme Director and the student within 5 working days of the meeting and confirmed in writing by the Director of Registry and Student Services. A note that such advice and a warning have been given shall be entered on the student's record by the Director of Registry and Student Services. Any repeat incidences of poor academic practice may result in the student being considered under the procedures for academic misconduct.
- 7.9.4.7** If it is judged that the student has committed an offence, the Programme Director and Director of Registry and Student Services will be responsible for determining the penalty in accordance with sub-section 7.10 below. The Director of Registry and Student Services will inform the student in writing of the outcome within 5 working days of the meeting and will send a copy of this letter to The Open University. The student will also be given a warning, and instruction about academic misconduct, communicated via a face-to-face meeting between the Programme Director and the student within 5 working days of the meeting. The Director of Registry and Student Services will ensure that all outcomes are reported at the relevant Examinations Board and the next meeting of the Academic Board.

7.9.5 Academic misconduct - Stage 2 procedures

- 7.9.5.1** In respect of suspected second offences and cases of severe plagiarism or other forms of academic misconduct, the Stage 2 procedures should be invoked. Within 5 working days of receiving notification from the Programme Director, the Director of Registry and Student Services will inform the student in writing of the alleged offence and that a formal investigation will be undertaken by an Academic Misconduct Panel (AMP) in accordance with these procedures. At Stage 2, Academic Misconduct Panels are responsible for hearing suspected cases of academic misconduct, determining outcomes and, where relevant, penalties and other consequences for assessment, progression and award.
- 7.9.5.2** The Director of Registry and Student Services will convene a meeting of the AMP to take place within 5 working days of the above notification to the student. The membership and terms of reference of the AMP are outlined in the Governance Handbook. The Director of Registry and Student Services will notify the members of the AMP and the student of the date, time and place of the meeting of the AMP, giving the student and the panel members at least 5 working days' notice of the meeting.

- 7.9.5.3** The student will be provided by the Director of Registry and Student Services with full details of the alleged academic misconduct and informed of the right to appear before the Panel. The student will have the right to make a statement and will also be expected to answer questions as part of the investigation.
- 7.9.5.4** Where a student does not attend the meeting of the AMP, the Stage 2 procedures may still proceed in the student's absence.
- 7.9.5.5** The student may be accompanied at the meeting of the AMP by a fellow student or other friend; an elected Student Representative; a member of CE staff; or any other appointed representative. The student will be asked to confirm who will be accompanying them in advance of the meeting.
- 7.9.5.6** The student and the AMP may call witnesses, as appropriate, as part of the investigation. The AMP will interview the student, staff, and witnesses as appropriate, consider the student's written statement, and come to a decision based on the student's statement and the supporting evidence. The student and any witnesses called will withdraw from the proceedings to allow the AMP to consider the evidence and reach its decision.
- 7.9.5.7** The AMP may require additional time to consider the case and thus may reserve the right to defer its decision. However, the following will apply in all cases: (a) at the conclusion of the meeting the student will be notified of the likely timeframe for the panel's decision; and (b) the AMP will reach its decision, determine the outcome, and notify this to the student within 5 working days of the meeting.
- 7.9.5.8** Where an investigation finds no or insufficient evidence of the alleged misconduct the case will be dismissed, and the student's work will be assessed on its merits. The Director of Registry and Student Services will inform the student in writing of the AMP's decision and the outcome within 5 working days of the meeting.
- 7.9.5.9** Where an allegation is upheld, the AMP will determine a penalty in accordance with sub-section 7.10 below. The Director of Registry and Student Services will inform the student in writing of the AMP's decision and the outcome within 5 working days of the meeting and will send a copy of this letter to The Open University. The Director of Registry and Student Services will ensure that all outcomes are reported at the relevant Examinations Board and the next meeting of the Academic Board.

7.10 Penalties

- 7.10.1** The action taken where academic misconduct has been proven, and the severity of the penalty applied, will depend on the individual circumstances prevailing.
- 7.10.2** CE employs penalties based on the AMBeR Tariff system for penalties awarded. Penalties which affect assignments, modules, progression or award, may include:
 - a.** The award of 0% for an assignment; resubmission required, with no penalty on mark;

- b. The award of 0% for an assignment; resubmission required, but mark capped or reduced;
- c. The award of 0% for an assignment; no opportunity to resubmit;
- d. Module awarded 0%; resubmission required, but mark capped or reduced;
- e. Module awarded 0%; no opportunity to resubmit, but credit still awarded;
- f. Module awarded 0%; resubmit required, but mark capped or reduced;
- g. Module awarded 0%; no opportunity to resubmit, but credit still awarded
- h. Module awarded 0%; no opportunity to resubmit, and credit lost
- i. Award classification reduced;
- j. Qualification reduced; (e.g. Master's to Dip HE);
- k. Expulsion from CE but credits retained;
- l. Expulsion from CE with credits withdrawn.

7.10.3 Any serious academic misconduct offence may lead to suspension pending a disciplinary hearing and possible termination of the student's studies.

7.10.4 In the event of an allegation(s) of academic misconduct being proved after a student has been awarded credit or graduated, any credit or award that is held by the student may be revoked by CE and The Open University.

8. Extenuating Circumstances

- 8.1** In line with The Open University's policy, CE recognises that students may suffer from a sudden illness, or other serious and unforeseen event or set of circumstances, which adversely affects their ability to complete an assessment, or the results they obtain for an assessment. In such cases the CE's extenuating circumstances procedures will be applied.
- 8.2** A student who is prevented from attending or completing a formal assessment component or who feels that their performance would be (or has been) seriously impaired by extenuating circumstances, may submit an application for those circumstances to be taken into account in the assessment process.
- 8.3** Students are responsible for ensuring that CE is notified of any extenuating circumstances at the time they occur and for supplying supporting documentation by the published deadline.
- 8.4** If a student is unable to attend an examination or submit an assessment because of extenuating circumstances, they must inform CE as soon as possible and provide supporting evidence before published deadlines or within 5 working days, whichever is sooner. If a student cannot submit evidence by published deadlines, they must submit details of the extenuating circumstances with an indication that evidence will be submitted within 5 working days.
- 8.5** The following is a non-exhaustive list of circumstances, which may be accepted as extenuating circumstances:
 - a. Bereavement in the family;

- b. Serious short term illness, accident or hospitalisation;
 - c. Worsening of a long-term health condition;
 - d. A family emergency: significant adverse personal/family circumstances;
 - e. Significant factors for which there is evidence of stress caused.
- 8.6** The following are examples of circumstances which will not be accepted as extenuating circumstances:
- a. A medical circumstance which does not relate to the study period or assessment period and is deemed to have had no impact on the student's overall performance;
 - b. Transport problems caused by, for example, traffic jams or strikes;
 - c. Inadequate planning and poor time management;
 - d. Holidays or family events;
 - e. Missing assessment deadlines due to misreading of information;
 - f. IT difficulties;
 - g. Impact of paid employment;
 - h. Appointments which could be rearranged;
 - i. Sporting or recreational commitments.
- 8.7** Students wishing to make an application should complete the Extenuating Circumstances Application Form and submit this, with supporting evidence, to the Director of Registry and Student Services. When completing the form, students should refer to the list of acceptable and unacceptable circumstances in sub-section 8.5 - 8.6.
- 8.8** The form should be submitted to the Director of Registry and Student Services prior to the assessment deadline or within 5 working days, whichever is sooner. The Director of Registry and Student Services is responsible for maintaining a full record of all applications.
- 8.9** Supporting evidence
- 8.9.1** The evidence submitted by the student must include details of:
- a. The exact duration of the circumstance;
 - b. The impact of the circumstance on the student and their academic performance.
- 8.9.2** All evidence must be:
- a. Provided by an independent professional; for example, a qualified counsellor, qualified medical practitioner, etc;
 - b. Printed on headed notepaper, signed and dated by an appropriate professional;
 - c. An original document (not a photocopy);
 - d. Provided in English. If the original document is not in English, then this must be accompanied by an official certified translation.
- 8.9.3** CE will verify the authenticity of any evidence submitted. Examples of evidence are provided in Table 6 below.

Table 6

Circumstance	Mark when rounded
Serious short term illness, accident, hospitalization	A medical certificate signed by a registered medical practitioner or signed letter confirming requirement to attend medical appointment
Illness of close relative	A medical report from a registered practitioner
Long term absence owing to bereavement	A letter from a registered medical practitioner, a copy of a death certificate or other related evidence
Victim of crime	Police or crime report
Severe personal or psychological problems	Signed statement from a registered medical practitioner/counsellor
Court attendance/Jury service	Official correspondence from the relevant official confirming attendance

8.10 Extenuating Circumstances Panel

8.10.1 All extenuating circumstances applications will be anonymously considered by an Extenuating Circumstances Panel (ECP), which will make recommendations to the final Examinations Board. The Board will consider no other extenuating circumstances and no member of the Board is permitted to make additional representations on behalf of students.

8.10.2 The membership and terms of reference of the ECP are outlined in the Governance Handbook.

8.10.3 If the extenuating circumstances application is considered to be justified, the ECP can make the following recommendations to the final Examinations Board:

- a. That the student should be given the opportunity to take the affected assessment(s) as if for the first time, allowing them to be given the full marks achieved for the examination or assessment, rather than a capped mark(s);
- b. That late submission penalties should be waived;
- c. That there is sufficient evidence of the achievement of the intended learning outcomes from other assessment components in the module(s) for an overall mark to be derived;
- d. That the application for extenuating circumstances to be taken into account has been accepted for the module(s), and that the ECP recommends that this is considered at the point of award and classification.

8.10.4 As noted in 4.10.3, it may not be possible for students to resit certain types of assessment. A non-exhaustive list of such assessments includes: object status acquisition or curatorial reports; cataloguing assessments;

certain written examinations including those in which objects used in the original examination are no longer available; and assessments of group work. In such circumstances, an alternative assessment will be devised which enables the student to demonstrate fulfilment of the relevant learning outcomes. Alternative assessments must be approved by the relevant External Examiner.

- 8.10.5** The Examinations Board, depending on the circumstances, may exercise discretion in deciding on the particular form any reassessment should take. Options are a viva voce examination (see sub-section 4.8), additional assessment tasks designed to demonstrate whether the student has satisfied the programme learning outcomes, review of previous work, or normal assessment at the next available opportunity. The student will not be put in a position of unfair advantage or disadvantage: the aim will be to enable the student to be assessed on equal terms with their cohort.
- 8.10.6** The module marks released to The Open University's Module Results Approval and Qualifications Classification Panel (MRAQCP) following the meeting of the Examinations Board should clearly identify results where extenuation has been considered and applied. Following ratification by MRAQCP this should also be detailed on the Diploma Supplement.
- 8.10.7** If a student fails, without good cause, to provide the responsible body with information about extenuating circumstances within the timescales specified in the CE policy, the responsible body has authority to reject the request on those grounds.

9. CE Examinations Board

9.1 Appointment of CE Examinations Board

The CE Examinations Board is a sub-committee of the Academic Board and meets to determine module results for intermediate stages of CE Master's programmes, and module results and final awards at the Master's stage. A calendar of meetings is agreed each year with The Open University. The membership and terms of reference of the CE Examinations Board have been approved by the University as part of the institutional approval process.

9.2 Membership of the CE Examinations Board

- 9.2.1** The Academic Board is required to agree the membership of the CE Examinations Board at the start of each academic year. The membership and terms of reference of the CE Examinations Board are outlined in the Governance Handbook.
- 9.2.2** All External Examiner(s) for CE programme(s) and/or subject areas are members of the CE Examinations Board. External Examiners are appointed by, and report to The Open University. The terms under which they engage with CE and the programmes to which they are appointed are those determined by The Open University.
- 9.2.3** Under no circumstances may a student of CE or student studying for an award of The Open University be a member of, or attend, a meeting of the CE Examinations Board. A person who is otherwise qualified to be an internal examiner for a programme, for example as a member of academic staff or as an approved External Examiner and is coincidentally registered as a student on another programme either at the same institution or

elsewhere, will not be disqualified from carrying out normal examining commitments.

- 9.2.4** The Chair of the CE Examinations Board will be a senior member of CE staff who is not directly involved in the delivery of the programme/subject area or the assessment of students in the programme or subject area considered by the CE Examinations Board.
- 9.2.5** The Director of Registry and Student Services, acting with the authority of the Academic Board, is the designated Clerk to the CE Examinations Board. The Executive Assistant to the International Managing Director is the Minute Secretary for the CE Examinations Board.
- 9.2.6** A member of The Open University staff must be present at any meeting of the CE Examinations Board where decisions about progression and final recommendations for an Open University award are made. Although not normal practice The Open University reserves the right to chair the CE Examinations Board or any subsidiary boards.

9.3 Authority of the CE Examinations Board

- 9.3.1** The CE Examinations Board is authorised to determine the progression of students in accordance with these academic regulations and to recommend progression or the conferment of validated awards of The Open University.
- 9.3.2** All progression and award recommendations are made to The Open University's Module Results Approval and Qualifications Classification Panel (MRAQCP) for ratification. The Panel is responsible for approving recommendations for module results and the award and classification of qualifications (including those for partner institutions).
- 9.3.3** All decisions related to a student's progression, final results, and awards, will be considered by the properly constituted CE Examinations Board.
- 9.3.4** No other body has authority to recommend conferment of an award or progression, nor to amend the decision of the approved and properly constituted CE Examinations Board acting within its terms of reference and in accordance with the regulations for the programme of study. The CE Examinations Board may, however, be required to review a decision, or may have that decision annulled under the Appeals procedure.

9.4 Conditions of conferment by The Open University

The OU may approve conferment of a validated award when the following conditions are satisfied:

- a.** The student has been a registered student at CE at the time of the assessment for an award and the appropriate fee to The Open University has been paid by CE.
- b.** Details of the student's full name, full postal address, email address, telephone numbers, date of birth, gender, programme of study, award and all required information have been forwarded to The Open University.
- c.** CE, the institution at which the student has been registered, has confirmed that the student has completed a programme of study approved by The Open University as leading to the award being recommended.

- d. The award has been recommended by a meeting of the CE Examinations Board, convened, constituted and acting under regulations approved by The Open University and including all members appointed by The Open University as External Examiners for the programme.
- e. The recommendation of the award has been signed by the Chair of the CE Examinations Board, the External Examiners and The Open University's representative at the meeting of the CE Examinations Board, confirming that the assessments have been carried out in accordance with the requirements of The Open University and that the recommendations have received the written approval of the External Examiners.

10. Transcripts, Diploma Supplements and Certificates

10.1 Transcripts

- 10.1.1** Individual transcripts are produced by CE and provide a comprehensible verifiable record of each student's learning. The standard content of the transcript is listed in Appendix 1, reproduced from The Open University's Regulations for Validated Awards of The Open University (June 2017).
- 10.1.2** The transcript is issued to the student after each stage of their programme is completed.
- 10.1.3** If a student has completed only a part of a programme of study, without fulfilling the full requirements for an award, a transcript is issued.

10.2 Diploma Supplement

- 10.2.1** The Diploma Supplement is issued to a student solely on the successful completion of a qualification.
- 10.2.2** The diploma supplement is produced by CE and provides students who have completed an Open University validated award with a formal, verifiable and comprehensive record of learning and achievement. The standard content of the Diploma Supplement is set out in Appendix 2, reproduced from The Open University's Regulations for Validated Awards of The Open University (June 2017).

10.3 Certificates

- 10.3.1** The Open University issues a certificate for each conferred award. The standard content of a certificate for a validated award is set out in Appendix 3, reproduced from The Open University's Regulations for Validated Awards of The Open University (June 2017).
- 10.3.2** Students awarded any qualification of The Open University, will be issued with a certificate in respect of that qualification in the name held in formal records at the point when the qualification is conferred. A certificate will not be amended or reissued in a different name if a change of name is notified after the date the qualification is conferred, except in the case of an error by The Open University in recording personal details, or if a valid request is made under the Gender Recognition Act 2004. A duplicate certificate will be issued in the same name as the original certificate (unless amended as above), even if a change of name may subsequently have been notified.

Appendix 1: Content of transcripts

Partner institutions will present the information in the format that they consider to be most appropriate. The minimum requirements for the content of transcripts of The Open University validated awards are:

- a. Student details
- b. Details of the qualification, including any professional, statutory or regulatory body accreditation or recognition
- c. Up-to-date details of learning and achievement, i.e. modules or units studied, credits awarded, marks or grades achieved and the date and year in which credits were awarded
- d. Up-to-date details of non-completion, including the number of attempts taken to complete a module
- e. Other types of learning, e.g. study abroad, work placement and work experience, accreditation of prior certificated and experiential learning, or accreditation of key skills.

Appendix 2: Outline structure for the Diploma Supplement

The following information will be given in the diploma supplement:

1. Information identifying the holder of the qualification
 - 1.1 Family name(s)
 - 1.2 Given name(s)
 - 1.3 Date of birth (day/month/year)
 - 1.4 Student identification number or code (if available)
2. Information identifying the qualification
 - 2.1 Name of qualification and (if applicable) title conferred (in original language)
 - 2.2 Main field(s) of study for the qualification
 - 2.3 Name and status of awarding institution (in original language)
 - 2.4 Name, address and status of institution (if different from 2.3) delivering studies
 - 2.4a Principal location of study (if different from 2.4 above)
 - 2.5 Language(s) of instruction/examination
3. Information on the level of the qualification
 - 3.1 Level of qualification
 - 3.2 Official length of programme
 - 3.3 Access requirements(s)
4. Information on the contents and results gained
 - 4.1 Mode of study
 - 4.2 Programme requirements
 - 4.3 Programme details (e.g. modules or units studied) and the individual grades/marks/credits obtained
 - 4.4 Grading scheme and, if available, grade distribution guidance

- 4.5 Overall classification of the qualification (in original language)
- 5. Information on the function of the qualification
 - 5.1 Access to further study
 - 5.2 Professional status (if applicable)
- 6. Additional information
 - 6.1 Additional information
 - 6.2 Further information sources
- 7. Certification of the supplement
 - 7.1 Date
 - 7.2 Signature of official certifying the diploma supplement
 - 7.3 Capacity
 - 7.4 Official stamp or seal of partner institution
- 8. Information on the higher education system

For this field, partner institutions will adopt the standard description adopted by the rest of The Open University.

Appendix 3: Content of certificates

A validated award certificate conferred under the Charter of The Open University records:

- a. The name of the partner institution at which the student has been registered, together with the name of any other institution sharing responsibility for the student's programme of study
- b. The student's full name as given on the list of recommendations submitted to The Open University by the institution at which the student was registered. For gender reassignment, The Open University will require proof of the new identity before a new certificate is issued
- c. The award
- d. The title of the programme, as approved by The Open University
- e. The language of instruction and assessment, where this is not English
- f. An approved endorsement, where appropriate, that the programme of study was in sandwich mode
- g. The date the award was conferred.

The Open University validated award certificates conform with specific design requirements of The Open University.