



Calendar 2006-07

UNIVERSITY  
of  
GLASGOW

## UNIVERSITY FEES AND GENERAL INFORMATION FOR STUDENTS

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General enquiries and correspondence should be addressed to:

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The information contained in this Calendar, particularly that relating to regulations, programmes and fees, was correct at the time of going to press in August 2006 but it is subject to alteration without notice. Most programmes will be available but if you wish to confirm information, you should contact the Secretary/Clerk of the relevant Faculty.

## I REGISTRATION

1.1 In this context, 'registration' is exactly synonymous with the term 'matriculation' which is to be found in previous editions of the University *Calendar* and other authoritative sources. Similarly, 'register' and 'registered' equate to 'matriculate' and 'matriculated'.

1.2 Every student of the University must register each year and pay the fees appropriate to his or her course of study or research in the University, or in an Institution recognised by the University Court on the recommendation of the Senate, or in a College associated with the University. A registered student shall be entitled to the use of the Library and to the exercise of a vote in the election of a Rector.

1.3 In completing the registration process the student undertakes to observe the *Sponsio Academica* and the Copyright and Personal Data regulations, printed below.

1.4 A person elected to any student office in respect of which the Senate agrees that the incumbent may interrupt his or her course of study or research is deemed to be a registered student.

### Students in Continuing Education and Preparatory Courses

1.5 Students in continuing education enrolled on non-credit bearing courses and those on preparatory courses are not normally eligible for registration as students of the University. The Senate does, however, recognise for the purpose of registration, credit-bearing departmental courses which, though not of a qualifying standard for any degree or equivalent award of the University, are offered for students preparing for subsequent admission to qualifying courses of the University.

### Timetables of Teaching and Assessment

1.6 Teaching and formal assessment will normally, and as far as possible, be conducted between the hours of 8.30 a.m. and 6.00 p.m. Mondays to Fridays. It may sometimes be necessary, however, to timetable examinations and other class meetings outwith these normal limits, especially but not exclusively in the context of field trips and study abroad.

### Limitation of Admission to Qualifying Courses

1.7 The Senate reserves the right to refuse admission to any particular qualifying course because of restricted facilities either of accommodation or of teaching or for such other reason as in the opinion of the Senate requires it to do so.

## II SPONSIO ACADEMICA – UNIVERSITY OATH

2.1 *Ego in Universitate Glasguensi discipulus sancte polliceor me Senatui Academico par iturum ita ut quae ab eo secundum leges academiae praescribuntur praestem et animadversioni eius reverenter me subiciam; ipsius academiae dignitatem atque salutem quantum in me fuerit per reliquam vitam procuraturum.*

Translation:

2.2 I a student in the University of Glasgow solemnly promise that I will fulfil the requirements made by the *Senatus Academicus* in accordance with the regulations of the University and will conform to its discipline and that for the rest of my life, so far as in me lies, I will maintain the honour and welfare of the University.

## III PERSONAL DATA

3.1 The University collects and processes information, including images, about its students, applicants and potential applicants, for academic, administrative, management, pastoral, and health and safety reasons. Some of this information is considered as sensitive personal data in the terms of the Data Protection Act 1998. The information is provided by a student, applicant or potential applicant or on his/her behalf. It is not possible to become, nor remain, a registered student, nor to process an application without agreement to provide this information. The information is processed in accordance with the University's Notification with the Information Commissioner under the Data Protection Act 1998, and is disclosed to third parties only with student's consent, or to meet a statutory obligation, or in accordance with the University's Notification with the Information Commissioner, or in accordance with the terms of the Act.

3.2 On this basis, limited information is provided to authorised Officers of the Students' Representative Council (SRC) for the purpose of verifying the registration status of proposed SRC Officer Bearers. Limited information is also provided to authorised Officers of the Glasgow University Union and the Queen Margaret Union for the purpose of managing their membership. The University also discloses information to current or potential employers, or providers of education, of students, former students or graduates. Sensitive personal data about a student may be provided to appropriate authorised members of University staff and its agents and contractors who will only process this information in accordance with the Data Protection Act 1998 and University regulations and contracts.

3.3 The information collected by the University may be passed to a partner institution where the course is collaborative or joint between the University and the partner institution. The partner institution may be in a country that does not have comparable data protection legislation. An academic transcript for each international student,

attending the University of Glasgow through the Study Abroad programme, will be sent to the student's home institution.

3.4 The information provided by students will be used for the purpose of alumni operations and, in the case of graduates, for publication of the General Council Register (under legal statute) when a student leaves the University.

3.5 The University reserves the right to release appropriate and relevant information to a parent or guardian or sponsor of a student to ensure payment of any fees due to the University.

3.6 Departments and Faculties of the University may display personal data relating to their students, including name and registration number, on notice boards and the intranet to provide information about seminar and tutorial groups, class test and examination results, and other essential information that has to be communicated to students. If an individual student objects to personal data being displayed in this manner, it is his or her responsibility to contact each department.

3.7 All registered students will be allocated an email address and this email address, with other identifying information about students, will be displayed on the University's Intranet. Students may request that this information is not displayed in this way by contacting the Computing Service Help Desk. All registered students will also be issued with a student ID card that will be used by students to gain access to appropriate University facilities.

3.8 A student is able to check that the information recorded about him or her in the University's central Student Records System is correct and where appropriate update this, using the University's online registration system, WebSURF. Further details about WebSURF can be found at [www.websurf.gla.ac.uk](http://www.websurf.gla.ac.uk).

3.9 The University operates CCTV and similar equipment to monitor safety and security, and may monitor telecommunications, data communications, and other communications as permitted by the relevant legislation and University regulations.

3.10 The University's IT regulations expressly prohibit the use of the University's IT equipment & infrastructure to access, to attempt to access, or to distribute material of a criminal, offensive or pornographic nature. Breaches will be subject to investigation and may result in disciplinary action and, in the event of contravention of legislation, referral to the police.

3.11 Graduands, guests and staff attending should be aware that graduation ceremonies are regarded as public events. Names and faculties of Graduands (including those graduating *in absentia*) are published in the graduation programme. Audio and visual images of the ceremony are publicly available via: the sale of videos of the ceremony; a live 'on-campus' video link-up; and a live 'worldwide' broadcast of the ceremony via the Internet.

3.12 Students' images are captured at registration and at Graduation Ceremonies in accordance with the conditions set out in 3.1 and 3.7 above. With these exceptions, the University may take photographs, and other images, of students for possible use in University publicity and promotional material. It is the responsibility of the student to specify to the photographer that he or she should not be included in such photograph(s), or other images, at the time that the photograph, or other image, is taken.

3.13 The University reserves the right to use the JISC Plagiarism Service in the interests of improving academic standards when assessing student work.

3.14 Information about student registration, attendance and progress at the University may be passed to the Immigration and Nationality Directorate of the Home Office for purposes connected with immigration.

3.15 The information provided by students will be used for the purpose of participation in approved research surveys into student attitudes and progress including the National Student Survey and, in the case of graduates, the DLHE graduate destinations longitudinal survey.

## IV STUDENTS WITH DISABILITIES

### Guide for Students with Disabilities

4.1 Guidelines for students with disabilities (including dyslexia, chronic medical or mental or mental health conditions, sensory impairments and access difficulties) can be found on the University website at [www.gla.ac.uk/studentdisability](http://www.gla.ac.uk/studentdisability). Details of special examination and other assessment arrangements for students with disabilities and special needs can be found in Section XXVI.

### Students with Dyslexia

4.2 If students know they have or believe they may have a specific learning difficulty such as dyslexia, either before or during their University career, they should make contact with the Student Disability Service, Ground Floor, John McIntyre Building, University of Glasgow, Glasgow G12 8QQ at the earliest opportunity. The Advisers can give advice on procedures and provision at the University for students with dyslexia. It will be necessary for students to obtain an up-to-date full assessment carried out by a Chartered Educational Psychologist accredited by the British Psychological Society. The Advisers can arrange for this to be carried out. There is a substantial fee for this, but it may be possible for the University to provide some interim financial assistance.

4.3 It is essential that the recommendations arising from the dyslexia assessment should be presented to your Adviser of Studies and Departmental Disability Coordinators<sup>1</sup> as soon as possible and before Registry's deadline for special exam arrangements

4.4 The Dyslexia Institute can offer information and advice, and can be contacted at: Napiershall Centre, 39 Napiershall Street, Glasgow G20 6EZ, tel.: 0141 334 4549.

### Statement on HIV Infection

4.5 A statement on HIV infection is available for consultation by students and others in the offices of the Faculty Secretaries/Clerks.

## V ANNUAL FEES

5.1 The fee stated below is payable for Session 2006-07. The fee is for registration, for tuition, for the use of laboratories and for one entry to the examinations appropriate to the course. It also includes, in the case of full-time students (but not for students of Associated Institutions), Students' Union fees and fees for recreational facilities.

### Payment

5.2 **All fees are payable on Registration.** Details of methods of payment are obtainable from the Registry. Students who do not meet their obligation to pay tuition fees at the commencement of their attendance may incur interest charges on the fees outstanding at a rate determined annually by the Head of the Registry.

5.3 **No student who has not registered and arranged payment of fees shall be permitted to continue in course after 31 October, except with the written permission of the Head of the Registry. Such permission may be withdrawn in the event of any breach in the written conditions laid down by the Head of the Registry. The Head of the Registry reserves the right to withhold publication of the examination results of students in breach of these written conditions.**

5.4 Students who register late are liable to pay a late fee of £10 and are not guaranteed a clash-free examination timetable.

5.5 Students who have obtained permission, or are required, to withdraw from the University during the course of a Session may apply to the Head of the Registry for a refund of tuition fees paid on a pro-rata basis.

### Definition of an International Student for Fee Purposes

5.6 In accordance with *The Education (Fees and Awards) Regulations, 1983* (as amended), higher (international) levels of fee are payable by students who do not have a 'relevant connection' with the United Kingdom.

5.7 Students who have a 'relevant connection' will be charged the home levels of fee. In order to establish this 'relevant connection', certain elements are required, as follows:

- a) the student has been ordinarily resident in the UK throughout the three year period preceding 1 September, 1 January or 1 April closest to the beginning of the first term of his or her course; **and**
- b) the student has not been resident therein, during any part of that three-year period, wholly or mainly for the purpose of receiving full-time education; **and**
- c) **any international applicant who satisfies the ordinarily resident criteria in (a) and (b) must also have settled status in the United Kingdom (i.e., there must be no restriction on the length of stay in the UK).**

Conditions (a), (b) and (c) must be satisfied in order that the student may establish the 'relevant connection', and be liable for the home level of fee.

5.8 Excepted Students. There are certain categories of 'excepted students' who, although they do not have a 'relevant connection' with the UK are liable to pay only the home rates of fee. These include:

- refugees recognised in the UK, their spouses and children
- persons granted exceptional leave to remain or enter as the result of an asylum application, their spouses and children
- nationals of the EU<sup>2</sup> meeting residence requirements in the EEA<sup>3</sup> and their children
- reciprocal exchange students
- EEA migrant workers in the UK, their spouses and children

<sup>1</sup> Most departments have appointed a Departmental Disability Coordinator (DDC), where there is not a designated DDC students should consult the Head of Department in the first instance.

<sup>2</sup> Currently: Austria, Belgium, Denmark (excluding the Faroe Islands), Finland, France (including the overseas departments of Guadeloupe, Martinique, French Guiana, Reunion, St Pierre and Miquelon), Andorra, Monaco, Germany, Gibraltar, Greece, the Republic of Ireland, Italy, San Marino, Luxembourg, the Netherlands, Portugal, Spain (excluding the Canary Islands), Sweden, and the United Kingdom.

<sup>3</sup> The EEA also includes Iceland, Norway (including Svalbard) and Leichtenstein.

Further details regarding the definition and exceptions can be provided by the International and Postgraduate Service on request, or reference made to the Regulations referred to above.

### Course Fees Payable, 2006-07

5.9 The following tables show the fees for all courses available in Session 2006-07:

#### Fees for Full-time Study

Home and EU undergraduate new entrants (exc. MB ChB)	£1700
Home and EU undergraduate new entrants MB ChB	£2700
Home and EU undergraduate continuing students	£1200
Home and EU postgraduates (but see exceptions listed)	£3168 (Research) £3500 (Taught)
New entrant International Undergraduates (but see exceptions listed)	
Arts / Divinity / Law, Business and Social Sciences / Education / Crichton College	£8800
Science / Engineering / Nursing and Midwifery	£11500
BVMS	£15750
MB ChB	£19600
MB ChB (Old Curriculum — Clinical) / BDS (Clinical)	£21000

#### Fees for Full-time Study

New entrant International Postgraduates (but see exceptions listed)	
Arts / Divinity / Law, Business and Social Sciences / Education / Crichton College	£8800
Science / Engineering / Nursing and Midwifery	£11500
Veterinary Medicine (Non-Clinical)	£11500
Medicine/Dentistry (Non-Clinical)	£12400
Medicine / Dentistry / Veterinary Medicine (Clinical)	£21000

#### Fees for Part-time Study

Home and EU undergraduates	Up to 10 credits	£100 <sup>4</sup>
	11—20 credits	£200
	21—30 credits	£300
	31—40 credits	£400
	41—50 credits	£500
	51—60 credits	£600
	61—70 credits	£700
	71—80 credits	£800
	81—90 credits	£900
	91—100 credits	£1000 <sup>5</sup>
Home and EU Postgraduates		£1584 (Research) <sup>6</sup>
		£1750 (Taught)

#### Exceptions to Standard Fees

	<i>Full-time Home &amp; EU</i>	<i>Full-time International</i>	<i>Part-time Home &amp; EU</i>
	£	£	£
<b>ARTS</b>			350 per 30 credit course
Accredited Course in Islamic Studies			
Decorative Arts & Design History CPD	-	-	400 per course
History of Collecting & Collections CPD	-	-	400 per course
Information Management & Preservation CPD	-	-	418 per course
MPhil in Philosophical Education	-	-	350/ course
MPhil in Language, Arts and Drama	-	-	350/ course

<sup>4</sup> Minimum part-time fee

<sup>5</sup> Maximum part-time fee payable

<sup>6</sup> These two figures were originally and inadvertently transposed. The correction was effected at 31 August 2006

	<i>Full-time Home &amp; EU</i>	<i>Full-time International</i>	<i>Part-time Home &amp; EU</i>
	£	£	£
MLitt in Scottish Literature (distance)	-	-	1167 (Home & EU) 2930 (International)
MSc Information Management and Preservation	3600	8800	1800
Master of Theology (Taught) (4 years part-time)	-	-	875
Nineteenth Century Arts, Architecture and Design	-	-	400 per 20 credit course
<b>BIOMEDICAL &amp; LIFE SCIENCES</b>			
Certificate in Molecular Parasitology	1167	3833	-
Diploma in Bioinformatics	2335	7665	-
Diploma in Biomedical Sciences	2335	7665	-
Diploma in Molecular Functions in Disease	2335	7665	-
Diploma in Ecology and Environmental Biology	2335	7665	-
Diploma in Evolutionary Biology and Systematics	2335	7665	-
Diploma in Marine Freshwater Ecology and Environmental Management	2335	7665	-
Diploma in Molecular Parasitology	2335	7665	-
Diploma in Plant Science	2335	7665	-
Diploma in Proteomics	2335	7665	-
Diploma in Systems Biology	2335	7665	-
<b>EDUCATION</b>			
Certificate in Support for Learning	-	-	220 per 15 credit course
Diploma in Support for Learning	-	-	220 per 15 credit course
Certificate in Support for Learning (Distance Education)	-	-	490 per 15 credit course
Diploma in Support for Learning (Distance Education)	-	-	490 per 15 credit course
SQH (Diploma in School Leadership and Management)	-	-	1250 per unit
PG Certificate in Middle Leadership & Management	-	-	220 per 15 credit course
PG Certificate in New Technology, Lifelong Learning & Professional Development	-	-	2500
Doctor of Education	-	-	1000 per 45 credit course 2100 per 45 credit course (International)
MEd in Professional Development & Enquiry	-	-	640 per course 440 for online courses OKZS and OKYS
MEd (Modular)	-	-	292 per course
Certificate in Religious Education (Distance Learning)	-	-	220 per course 440 if paying in full
Certificate in Religious Education with additional teaching qualification	-	-	285/ course
Diploma in Religious Education with additional teaching qualification	-	-	445/ course

	<i>Full-time Home &amp; EU</i>	<i>Full-time International</i>	<i>Part-time Home &amp; EU</i>
	£	£	£
Certificate in Adult Literacy and Numeracy	-	-	389 per course
Diploma in Adult Education	2334	8800	389 per course (6 courses)
Diploma in Teaching Adults	2334	8800	389 per course (6 courses)
MSc Adult Education	3500	8800	389 per course (9 courses)
MLitt in English, Educational & Cultural Studies (Oman)	-	5500	-
Chartered Teacher Programme	-	-	150 per 15 credit course
<b>ENGINEERING</b>			
MSc Electronics & Electrical Engineering (Modular)	-	-	389 per course (9 courses)
MSc Aerospace Engineering with Management	8000	11000	-
MSc Civil Engineering with Management	8000	11000	-
MSc Electronics & Electrical Engineering with Management	8000	11000	-
MSc Mechanical Engineering with Management	8000	11000	-
<b>LAW, BUSINESS AND SOCIAL SCIENCES</b>			
LLB (Graduate Entry)	5700	8800	-
Diploma/ Master in Medical Law	-	-	3500 (Home, EU) 4000 (International)
Master of Accountancy	9500	11000	4750
Master of Finance	9500	11000	4750
Certificate/ Diploma/ MPhil in Housing Studies	3579	-	1795
Certificate/ Diploma/ MPhil in Housing Studies (Modular)	-	-	680/ course >= 20 credits; 355/ course < 20 credits 680 dissertation/ project
Certificate/ Diploma/ MPhil in Housing Studies (Path)	-	-	1193
Executive PhD	-	-	4500
MPhil Urban Policy and Practice	3780	8975	1895
M.Sc. Urban Policy and Practice	3780	8975	1895
MSc Urban and Housing Practice	3780	8975	1895
MSc Urban Policy Analysis	3780	8975	1895
MSc Urban Regeneration	3780	8975	1895
MRes Urban Studies	3780	8975	1895
MPhil Urban Policy and Practice (Modular)	-	-	540 per course
MSc Urban and Housing Practice (Modular)	-	-	540 per course
MSc Urban Policy and Practice (Modular)	-	-	540 per course
MSc Urban Policy Analysis (Modular)	-	-	540 per course
MSc Urban Regeneration (Modular)	-	-	540 per course
MRes Urban Studies (Modular)	-	-	540 per course
MSc in City & Regional Planning	3605	-	1803
MSc in City Planning & Regeneration	3605	-	1803

	<i>Full-time Home &amp; EU</i>	<i>Full-time International</i>	<i>Part-time Home &amp; EU</i>
	£	£	£
MSc in Real Estate	5000	-	2500
MSc in City Planning & Real Estate Development	5000	-	2500
MSc in Real Estate & Regeneration	5000	-	2500
MSc in City & Regional Planning (Modular)	-	-	370 per 10 credit course
MSc in City Planning & Regeneration (Modular)	-	-	370 per 10 credit course
MSc in Real Estate (Modular)	-	-	370 per 10 credit course
MSc in City Planning & Real Estate Development (Modular)	-	-	370 per 10 credit course
MSc in Real Estate and Regeneration (Modular)	-	-	370 per 10 credit course
PG Certificate in Real Estate	-	-	370 per 10 credit course
PG Certificate in Spatial Planning	-	-	370 per 10 credit course
MSc (Public Policy)	3780	8975	1895
MSc (Public Policy) (Modular)	-	-	540 per course
MRes (Public Policy Research)	3780	8975	1895
MSc in Social Science Research	3500	8800	389 (20 credits) 778 (40 credits)
Diploma in Social Science Research (Modular)	-	-	389 (20 credits) 778 (40 credits)
Certificate in Social Science Research (Modular)	-	-	389 (20 credits) 778 (20 credits)
Master of Business Administration	13000	15000	5500
MSc Enterprise and Business Growth	8000	11000	-
MSc Management (all streams)	8000	11000	-
Diploma in Management (Development Policy)	8000	11000	
MSc International Banking and Finance	9500	11000	-
Diploma International Banking and Finance	9500	11000	
MSc in International Finance & Economic Policy	4750	9050	2500
MSc in Development Studies	4000	9050	2500
MSc in Economic Development	4000	9050	2500
MSc in Environment and Sustainable Development	4000	9050	2500
MSc in Economic Planning	4000	9050	2500
MSc in Finance and Economic Development	4000	9050	2500
MSc in Monetary Economics	4750	9050	2500
MSc in Project Planning and Development Policy Analysis	4000	9050	2500
Diploma in Environment & Sustainable Development	4000	9050	2500
Diploma in Finance & Economic Development	4000	9050	2500
Diploma in Economics, Banking & Finance	4750	9050	2500
MSc Economics, Banking and Finance	4750	9050	2500
MSc International Economics	4750	9050	2500
MSc Financial Economics	4750	9050	2500
MSc International Macroeconomics and Finance	4750	9050	2500



	<i>Full-time Home &amp; EU</i>	<i>Full-time International</i>	<i>Part-time Home &amp; EU</i>
	£	£	£
MSc (Leading Sustainable Change)	4500	-	-
Diploma in Local Economic Development	-	-	700 per course
MSc in Local Economic Development	-	-	700 per course
Diploma in Local Economic Development (Distance Education)	-	-	700 per course
MSc in Local Economic Development (Distance Education)			700 per course
<b>MEDICINE</b>			
Master of Primary Care	-	-	292 per 15 credit course
Scottish MSc in Primary Care			345 per course
Certificate in Primary Care (CPD)	-	-	600 per 15 credit course
Diploma in Primary Care (CPD)	-	-	600 per 15 credit course
MSc (Clinical Medicine with Specialisms)	19200	19200	-
MSc Clinical Neuropsychology (Modular)	-	-	400 per 10 credit course 600 per 15 credit course 800 per 15 credit course
Assessed Clinical Neuropsychology (CPD)	-	-	400 per 10 credit course 600 per 15 credit course 800 per 15 credit course
Master of Public Health	3500	12400	292 per 15 credit course
Master of Public Health (CPD)	-	-	600 per 15 credit course
Diploma in Human Nutrition	2625	9300	
Referred Medical Fee			239
<i>Diploma in Management of Chronic Oedema</i>			
Assessment and Management Principles	-	-	795
Developing Specialist Practice (OQEQ)	-	-	795
Managing Severe and Complicated Oedema	-	-	1035
Nursing CPD Health Care (pg)	-	-	475/ course
Nursing CPD Health Care (ug)	-	-	475/ course
Doctorate in Clinical Psychology	3168		600 per 15 credits
<b>VETERINARY MEDICINE</b>			
BVMS (Full Cost)	15750	15750	-
MSc Veterinary Public Health	TBC	TBC	TBC

### Notes

1. Special fee levels apply to students whose place of ordinary residence is the Channel Islands or the Isle of Man. Details may be obtained from the Registry.
2. Fees quoted are for new entrants. Lower fees may apply to some continuing students. Details may be obtained from the Registry.
3. International students may, in certain limited circumstances, be admitted to part-time study paying an appropriate percentage of the relevant full-time international fee.
4. Special fees apply to members of staff undertaking part-time study. Details may be obtained from the Registry or Human Resources or at:

[www.gla.ac.uk/services/humanresources/tuitionfeepolicy.htm](http://www.gla.ac.uk/services/humanresources/tuitionfeepolicy.htm)

5. Different fee levels apply to some courses in the Department of Adult and Continuing Education. Details may be obtained from that department.
6. A 3% administration charge is payable to students arranging to pay fees by instalment. This charge does not apply to home undergraduates with a tuition fee liability assessed by an ELB or LEA.
7. An additional 2% charge will be made for payment of fees by Credit Card.
8. A charge of £20 will be made in cases of returned cheques and unpaid direct debits.
9. Interest is charged at 1% per month for late payment of fees.
10. The exceptions to standard fees noted are correct at the time of going to press. However, a student should check the fee level applicable to his or her course at the time of admission.
11. If a student notifies withdrawal from the University to the Registry on or before 31st October (or equivalent if studies commenced during the session) a full refund of tuition fees will be provided. For undergraduates, *pro-rata* refunds will be made after this date according to the weeks of attendance. For postgraduate students, *pro-rata* refunds will be calculated based on the number of completed months of attendance. Students on taught programmes will receive no refund if they withdraw after 30 March (or after 6 months attendance if studies commenced during the session).

### **Additional Fees**

5.10 The following additional fees are applicable to postgraduate students:

1. The Annual Fees for Research Students cover registration, supervision of research or study and examination. An additional Fee of £342 is payable by students offering themselves as candidates on a second or subsequent occasion.
2. A Fee of £171 is payable by students for the re-assessment of a dissertation forming part of a postgraduate taught degree programme.
3. For the Higher Degrees of DLitt, DMus, LLD, DVM, DSc, DEng and PhD by published work, all candidates pay a fee of £701 (inclusive of a £70 precognition fee where preliminary application for the degree is required by the Regulations) on submission and, where re-submission is authorised, on re-submission of the thesis.
4. A fee of £75 is due when a thesis is submitted after the period allowed for submission has lapsed.
5. Those members of the University Staff in receipt of a Staff Research Scholarship pay a fee of £544 on submission or re-submission for the degree.
6. Research students whose full-time attendance and fee payment began after the first term of their first year, pay the full-time tuition fee due up to the end of the period of supervision recommended by their Supervisor.
7. Research students who are certified by the Head of Department as having completed practical work and as not requiring further supervision or departmental facilities may register for use of the Library as non-supervised students at a fee of £75.

## **VI AWARDS AND LOANS FOR UNDERGRADUATES**

6.1 Details of awards and loans for undergraduates may be obtained from the Student Awards Agency for Scotland (Gyleview House, 3 Redheughs Rigg, Edinburgh, EH12 9HH), Local Education Authorities or Northern Ireland Education and Library Boards.

## **VII HARDSHIP FUNDS**

7.1 The Government has made limited funds available to universities and other institutions of higher education to provide financial help to students who face financial hardship. Further information about these funds is available from the Registry (Financial Aid Section). [www.gla.ac.uk/studentfinance](http://www.gla.ac.uk/studentfinance).

## **VIII AWARDS FROM THE STUDENT HARDSHIP FUND**

8.1 Awards of varying value can be made to students of the University who, due to circumstances beyond their control, are experiencing real financial hardship. Funds are available to assist mature students and those with child care costs in particular. The applicant must be a registered student (undergraduate or postgraduate) of the University, except that students registered for a degree of the University but studying at an Associated Institution such as the Glasgow School of Art or the Scottish Agricultural College Auchincruive are not eligible to apply.

8.2 Application should be made on the relevant form which is available, with further details, from: The Registry (Financial Aid Section), University of Glasgow. See also [www.gla.ac.uk/studentfinance](http://www.gla.ac.uk/studentfinance).

## **IX THE CARNEGIE TRUST FOR THE UNIVERSITIES OF SCOTLAND**

### **Assistance with the Payment of Fees**

9.1 The scheme derives from the intention of the Trust founder, Andrew Carnegie, 'to render attendance at the Universities of Scotland and the enjoyment of their advantages more available to the deserving and qualified youth of Scotland to whom the payment of fees might act as a barrier'. Application can be made only in respect of study at one or other of the Scottish Universities and, in all cases, courses of study acceptable for Trust support must be directly connected with the acquisition of a *first* degree from a Scottish University.

9.2 Information concerning the conditions of award of assistance, and application forms, may be obtained from the Secretary and Treasurer, the Carnegie Trust for the Universities of Scotland, Cameron House, Abbey Park Place, Dunfermline, Fife KY12 7PZ.

## **X DEGREE EXAMINATION ENROLMENT – UNDERGRADUATE, DIPLOMA AND OTHER COURSES**

10.1 Students who have registered and enrolled in courses of the University are deemed to be entered once for the degree examinations appropriate to those courses. Students who have to resit an examination are required to enrol for this. No resit enrolment fee is charged.

10.2 Students who are eligible by virtue of previous attendances to sit degree examinations must enter for the examinations at the normal registration period at the beginning of the session and pay a fee of £39 in lieu of registration.

Late enrolment fee

£15

## **XI TRANSCRIPT CHARGES**

11.1 Students requiring a transcript of a complete or partially complete curriculum or the issue of special certificates of student status or performance pay a charge on a scale fixed annually by the Head of the Registry.

## **XII GRADUATION AND GENERAL COUNCIL MEMBERSHIP**

12.1 All candidates proceeding to graduation after examination who are not already members of the General Council are required to enrol as members of the Council and pay the fee of £51.

12.2 Graduands are required to enrol for Graduation within the enrolment period. Details may be obtained from the Registry or at

[www.gla.ac.uk/registry/students/graduations/index.html](http://www.gla.ac.uk/registry/students/graduations/index.html)

12.3 Once a student has graduated from the University he or she is deemed to have accepted the recommendation of the Board of Examiners and hence an appeal from that student in connection with the award of the Degree will not be entertained.

## **XIII PAYMENT OF MONIES DUE TO THE UNIVERSITY**

13.1 No person shall be permitted to register as a student of the University or to receive any degree, diploma or other qualification conferred by the University unless all arrears of fees for tuition and residence and any other sums due to the University have been paid.

## **XIV RECREATION FEE**

14.1 The Sport and Recreation Service (SRS) offers access to state-of-the-art facilities and a comprehensive range of services at two sites within Glasgow, the Stevenson Building (Gilmorehill) and Garscube Sports Complex (West of Scotland Science Park). There is a small annual fee for all students who wish to use the facilities of the SRS. All full time students for whom fees are paid to the University are entitled to use the Student Union and other related facilities provided by the University.

## **XV PRIZES, BURSARIES, FELLOWSHIPS AND SCHOLARSHIPS**

15.1 Details of the University's Prizes, Bursaries, Fellowships and Undergraduate Scholarships are available on the Senate Office website at <http://senate.gla.ac.uk/awards/prizes/index.html>.

## XVI CODE OF ASSESSMENT FOR UNDERGRADUATE AND TAUGHT POSTGRADUATE PROGRAMMES

The Code of Assessment is governed by a Resolution of the University Court which at the date of publication had not yet come into effect.

### General

16.1 Each approved course<sup>7</sup> contributing to an award of the University will incorporate a scheme of assessment which:

- a) assesses candidates' performance against the stated learning objectives<sup>8</sup> of the course;
- b) includes an appropriate combination of formative and summative elements;
- c) deploys forms of assessment appropriate to the learning objectives of the course, taking due account of its credit rating;
- d) where re-assessment is provided for in the degree regulations, makes provision for the re-assessment of candidates in accordance with the regulations;
- e) may be changed only through procedures approved by Senate;
- f) may be varied exceptionally in a given session in response to specific circumstances subject to the approval of the Clerk of Senate;
- g) is as far as practicable anonymous.

16.2 The scheme will be implemented in accordance with the following requirements:

- a) the scheme shall be fully described in the Departmental Instructions issued in writing to all students enrolled in the course (at the beginning of the academic year, or as soon as practicable thereafter), with particular regard to dates, deadlines and formats of required work, weights of components of the assessment scheme, the method of marking (e.g. single marking, blind double marking, etc.), procedures for informing students of results and the returning of work, requirements for progression in the relevant programme and provisions for appeal;
- b) due notice shall be given of dates, times and places of written and oral examinations and other assessment events;
- c) the Departmental Instructions shall specify what the student must do in order to qualify as a candidate for assessment and the consequences of failure to qualify;
- d) appropriate provision shall be made for candidates with designated or temporary special needs in conjunction with a Special Needs Adviser (see Section XXVI);
- e) the Code of Practice on Incomplete Assessment shall apply where appropriate (see Section XVII);
- f) candidates shall be supplied with relevant information on assessment criteria and on schemes for grading, classification and aggregation.

16.3 The scheme shall describe how candidates will receive feedback to guide their subsequent learning. That feedback may include the outcomes of summative assessment. Where these are provided they will be provisional until they are confirmed or amended by the appropriate Board of Examiners.

16.4 Where an examination at Honours level involves two or more subjects, the way in which the results of individual papers or units of assessment are to be aggregated, averaged or profiled to produce an overall classification of the degree should be agreed either when the degree is approved or by the time the written papers are set.

16.5 Exceptionally when on an occasion some provisions of this code have not been followed, the examination results shall remain valid provided that the Head of the Registry, in consultation with the Principal and the Clerk of Senate, is satisfied that the examination has been conducted substantially in accordance with the code.

### Standards

*This section is not mandatory for students undertaking postgraduate taught programmes*

#### General

16.6 The standard achieved by a candidate in all summative assessments required by an undergraduate programme leading to an award of the University shall be judged by the relevant Board of Examiners in terms of the candidate's attainment of the appropriate intended learning outcomes.

16.7 Judgement shall be expressed in terms of the primary grades, classes and secondary bands set out in Schedule A and Schedule B below.

16.8 Judgement shall be made through direct reference to the primary verbal descriptors for intended learning outcomes and the primary verbal descriptors for professional practical competence set out in Schedules A and B. Reference shall also be made to such subsidiary information as departments may prepare to amplify the primary

<sup>7</sup> The term 'course' refers to a unit of study on a particular topic with defined aims, intended learning outcomes, assessment scheme and credit value. Previously this was referred to as 'module'.

<sup>8</sup> Learning objectives are frequently called intended learning outcomes, for example by the Quality Assurance Agency.

verbal descriptors in terms specific to a particular field of study. Where the outcome of the chosen mode of assessment is a proper percentage score it shall be converted into a primary grade or class and secondary band by reference to a conversion scheme determined by the Board of Examiners as appropriate for the assessment in question and subordinate to the relevant grade or class descriptors.

16.9 If a candidate's assessment is incomplete then the sections of the Code relating to Incomplete Assessment shall apply. (See Section XVII).

### **Aggregation**

16.10 Where the assessment scheme of a specific course or programme requires aggregation across two or more components to obtain an overall outcome, the aggregation scores set out in Schedules A and B shall be employed.

16.11 Schedule B shall be employed only for the assessment of demonstration of professional competence. The aggregation scores therein shall not be combined with those of Schedule A in the process of aggregation.

### **Aggregation of Assessments across a Course**

16.12 Aggregation to establish a result for a course shall require the computation of the mean, rounded to an integer value, of the relevant aggregation scores of the component assessments or, where the component assessments yield proper percentage scores, the mean percentage score converted to an integer aggregation score (See 16.8). Where appropriate the computation shall employ weights as specified in the course documentation.

16.13 The primary grade or honours class to be reported as a result for the course shall be that in Schedule A or B, as appropriate, in which the mean score lies. The primary grade or, in the case of honours courses the mean score, shall be carried forward to subsequent aggregation required to determine the programme award (See 16.14 and 16.16).

### **Aggregation of Results of Courses across Programmes: Undergraduate non-honours**

16.14 The standards obtained by a candidate in each qualifying course of the award expressed in primary grades shall be converted into grade points, as the product of the grade points per credit set out in Schedule C and the credit rating of the course. The sum of the grade points relating to the qualifying courses comprising the programme shall be divided by the sum of their credit ratings to obtain the Grade Point Average (GPA).

16.15 The regulations of each award shall state

- i) the minimum GPA required for the award, distinguishing as necessary between GPAs derived from attainment of intended learning outcomes and those derived from demonstration of professional practical competence
- ii) the minimum GPA required for identified categories of the award such as with Merit, Distinction or Commendation or such sub-degree awards as may be made
- iii) limitations on the permitted extent of compensation of performance below the stated minimum for the award in individual components of the programme consequential on the computation of the GPA.

### **Aggregation of Results of Courses across Programmes: Honours degree programmes**

16.16 The mean scores corresponding to the required components of the honours programme shall be summed and an overall mean computed, where appropriate employing weights as specified in the programme documentation, and rounded to one decimal place.<sup>9</sup> Where appropriate, overall means shall be computed separately in respect of assessment relating to Schedules A and B.

16.17 In the case of Classified Awards

- a) There shall be four classes of honours: first, upper second, lower second and third. A candidate who is not placed in one of the four classes shall have failed the honours programme. (This shall not prevent the award of an unclassified honours degree within the terms of regulation 17.3 of Section XVII).
- b) Where Schedule A alone applies the honours class awarded shall be that shown in Schedule A as having the range of aggregation scores in which the overall mean lies, except that a Board of Examiners shall have discretion as defined in the Notes to the Schedules.
- c) Where Schedules A and B apply severally to components of an honours programme the honours class awarded shall be the lower of those in the two Schedules in which the corresponding means lie, except that a Board of Examiners shall have discretion as defined in the Notes to the Schedules.
- d) Where there is provision for assessment to be split between examination diets, a Board of Examiners shall determine and report the results for the individual components of the programme after each intermediate diet and the overall award after the final diet.

16.18 In the case of the awards of BDS, BVMS and MB ChB

- a) There shall be three categories of award: honours, commendation and pass. A candidate who is not placed in one of the three categories shall have failed the programme.
- b) The regulations of each award shall state the minimum results in terms of Schedules A and B required for the award and for the individual categories of award.

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<sup>9</sup> A mean score should be rounded in accordance with the following example: 15.65 should become 15.7 whilst 15.64 should become 15.6.

## SCHEDULE A

Non-Honours Courses		Secondary Bands & Aggregation Scores		Primary verbal descriptors for attainment of Intended Learning Outcomes	Honours Courses	BDS BVMS MBChB	Secondary Bands & Aggregation Scores	
Primary Grade	Gloss	Secondary Band*	Aggregation Score		Primary Honours Class		Secondary Band*	Aggregation Score
A	Excellent	1	22	Exemplary range and depth of attainment of intended learning outcomes, secured by discriminating command of a comprehensive range of relevant materials and analyses, and by deployment of considered judgement relating to key issues, concepts and procedures	First	Honours	1	22
		2	21				2	21
		3	20				3	20
		4	19				4	19
		5	18				5	18
B	Very Good	1	17	Conclusive attainment of virtually all intended learning outcomes, clearly grounded on a close familiarity with a wide range of supporting evidence, constructively utilised to reveal appreciable depth of understanding	Upper Second	Commendation	1	17
		2	16				2	16
		3	15				3	15
C	Good	1	14	Clear attainment of most of the intended learning outcomes, some more securely grasped than others, resting on a circumscribed range of evidence and displaying a variable depth of understanding	Lower Second	Pass	1	14
		2	13				2	13
		3	12				3	12
D	Satisfactory	1	11	Acceptable attainment of intended learning outcomes, displaying a qualified familiarity with a minimally sufficient range of relevant materials, and a grasp of the analytical issues and concepts which is generally reasonable, albeit insecure	Third		1	11
		2	10				2	10
		3	9				3	9
E	Weak	1	8	Attainment deficient in respect of specific intended learning outcomes, with mixed evidence as to the depth of knowledge and weak deployment of arguments or deficient manipulations	Weak	Fail	1	8
		2	7				2	7
		3	6				3	6
F	Poor	1	5	Attainment of intended learning outcomes appreciably deficient in critical respects, lacking secure basis in relevant factual and analytical dimensions	Poor		1	5
		2	4				2	4
		3	3				3	3
G	Very Poor	1	2	Attainment of intended learning outcomes markedly deficient in respect of nearly all intended learning outcomes, with irrelevant use of materials and incomplete and flawed explanation	Very Poor		1	2
		2	1				2	1
H			0	No convincing evidence of attainment of intended learning outcomes, such treatment of the subject as is in evidence being directionless and fragmentary				0
CR	CREDIT REFUSED	Failure to comply, in the absence of good cause, with the published requirements of the course or programme; and/or a serious breach of regulations						

\* The Secondary Band indicates the degree to which the work possesses the quality of the corresponding descriptor.

## SCHEDULE B

Non-honours Courses		Primary verbal descriptors in respect of Demonstration of Professional Practical Competencies and the Supporting Intellectual Knowledge	Honours Courses	BDS, BVMS, MBChB
Primary Grade	Aggregation Scores			
A	5	Exemplary and polished demonstration of the required practical competencies, with focussed sensitivity to the needs of the subject, the complexities of the operational context and the wider implications of the procedures or practices	First	Honours
B	4	Efficient and confident display of the required practical competencies, an evident appreciation of the possible practical complications demonstrating initiative and flexibility of approach	Upper Second	Commendation
C	3	Clear demonstration of attainment of the required practical competencies, with appropriate familiarity with relevant procedures in a range of contexts	Lower Second	Pass
D	2	Adequate independent performance of practical competencies suitable to routine operational contexts	Third	
E	1	Presently inadequate independent performance of the required practical competencies, but evidently aware of personal limitations and likely to attain sufficient practical competence through practice	Fail	Fail
F	0	Not presently capable of independent performance of the appropriate practical competencies, lacking in perception in the operational context and prone to errors of judgement and faulty practice		

CR	CREDIT REFUSED	Failure to comply, in the absence of good cause, with the published requirements of the course or programme; and/or a serious breach of regulations
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**SCHEDULE C**

GRADE/GRADE POINTS PER CREDIT	
GRADE	GRADE POINTS PER CREDIT
A	16
B	14
C	12
D	10
E	8
F	6
G	2
H	0

**Notes on Schedules***1 Verbal Descriptors*

Documentation relating to courses and programmes shall indicate where Schedule B verbal descriptors shall apply. The aggregation scores relating to Schedule B descriptors shall only be aggregated with others from the same Schedule.

*2 Combining 22-point and 20-point Aggregation Scores*

Aggregation scores of 19 and 20 derived from Schedule A prior to session 2005-06 require adjustment before being combined with scores from the 22-point scale.

Scores of 20 should be translated to 22, and scores of 19 translated to 20. Other scores should be combined without adjustment.

*3 Discretion of Boards of Examiners for Classified Honours Programmes*

a) Where the mean overall aggregation score (as determined in 16.16) falls within one of the following ranges, the Board of Examiners shall recommend the award stated:

18.0 to 22.0 first class honours

15.0 to 17.0 upper second class honours

12.0 to 14.0 lower second class honours

9.0 to 11.0 third class honours

0.0 to 8.0 fail

b) Where the mean overall aggregation score falls between two of the ranges defined in 3 a), the Board of Examiners shall have discretion to decide which of the alternative awards to recommend:

17.1 to 17.9 either first or upper second class honours

14.1 to 14.9 either upper or lower second class honours

11.1 to 11.9 either lower second or third class honours

8.1 to 8.9 either third class honours or fail

**Management of the Assessment Scheme**

16.19 Overall responsibility for management of the assessment scheme shall rest with the relevant Head of Department<sup>10</sup>

16.20 The Examiners for the scheme shall comprise Internal Examiners and External Examiners.

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<sup>10</sup> Head of Department means the Head or Heads of Department or Departments responsible for the course, or other equivalent officers.



- i) The Internal Examiners shall be:
  - a) all members of academic staff who teach the course;
  - b) other members of academic staff appointed by the Head of Department;
  - c) other individuals whose services are to be employed in the assessment process (e.g. Honorary Lecturers, Research Fellows Category A, Graduate Teaching Assistants, staff from Associated Institutions, etc.); such individuals must be nominated by the Head of Department through Faculty (or through Education Committee in the case of Associated Institutions) to the Clerk of Senate for approval on behalf of Senate.
- ii) At least one External Examiner shall be appointed by Court on the recommendation of the Head of Department and the appropriate Faculty and in accordance with the criteria and procedures agreed by the Senate (see 16.29(i) and (ii) below).

16.21 The Examiners, with the appropriate Assessment Officer(s) in attendance and under the chairmanship of the Head of Department (or his or her nominee), shall constitute a Board of Examiners for the purpose of determining the results of the assessment procedure.

16.22 The Head of Department shall ensure that:

- a) Internal Examiners who are not members of academic staff of the University receive appropriate training and other preparation relevant to their role in the assessment procedure;
- b) each External Examiner has access to the necessary information and assessment material required to assist him or her in reaching a reasonable conclusion on assessment performance, and has the opportunity to attend oral examinations and presentations where practicable;
- c) invigilators are appointed for all examinations and that they are conversant with the relevant regulations (see Sections XVIII, XIX, XX, XXI, XXII, XXIII, XXVII).

16.23 The Head of Department shall, for each course, appoint a member of academic, or academic related, staff as Assessment Officer with the following delegated responsibilities:

- a) to ensure, in conjunction with the Class Co-ordinator or equivalent, that the relevant course documentation accurately describes the assessment scheme and corresponding procedures;
- b) to oversee the preparation of the relevant forms of assessment under secure conditions and ensure compliance with Senate's requirements in respect of printing of examination papers;
- c) to supervise the arrangements for the assessment procedure including: the preparation of lists of candidates entitled to be assessed; the anonymity of written work, where practicable, throughout its assessment; and any arrangements for candidates with special needs;
- d) to maintain throughout the assessment period the security of examination papers, other materials to be assessed and records relating to the procedure;
- e) to confirm arrangements for the invigilation of examinations and the secure collection and delivery of the completed scripts where appropriate;
- f) to ensure that all Examiners are conversant with the learning outcomes of the course, the intentions of the forms of assessment and the appropriate grading or classification scheme in use, and are supplied with marking schemes or other guides where these are employed;
- g) to convey provisional grades and other information pertaining to the course, the assessment and the candidates to the External Examiner(s);
- h) to collate the provisional results of the assessment procedure and take all steps necessary to ensure their accurate reporting to the Board of Examiners;
- i) to report to the Board of Examiners on the conduct of the assessment procedure, in particular drawing to its attention relevant information pertaining to the circumstances and conduct of individual candidates and any alleged deficiencies in respect of the operation of the procedure;
- j) to convey the results authenticated by the Board of Examiners to the Registry;
- k) to oversee the maintenance of appropriate records of assessment, outcomes for the purposes of subsequent monitoring of courses.

An individual Assessment Officer may be responsible for more than one course. Similarly, some or all of the duties detailed above may be undertaken by one or more individuals at departmental level for some or all courses.

16.24 The Head of Department shall ensure that appeals against the outcomes of assessment are considered in accordance with the relevant provisions of the prevailing Appeals Code.

16.25 A student who believes that illness or other adverse circumstances has prevented a summative assessment being completed at or by the due time or has seriously prejudiced his or her performance in a summative assessment should follow the procedure set out in Section XVII.

## The Assurance of Standards

16.26 Examiners shall be responsible for the assurance of standards through the exercise of their academic judgement both directly in the assessment of students' work and indirectly in the design of specific forms of assessment involving mechanical grading operations.

16.27 Internal Examiners shall:

- a) have access to the relevant course documentation, possess an appropriate level of knowledge of the subject matter of the course, the course aims and the learning outcomes and the corresponding course materials;
- b) be provided with guidance as to how the grading or classification scheme is to be applied in the context of the particular assessment.

16.28 The method of marking (e.g. single marking, blind double marking, etc.) shall be made clear to students by the Department.

16.29 External Examiners shall:

- i) hold an academic or professional post of an appropriate level of seniority.
- ii) possess substantial prior experience of assessment at equivalent levels on behalf of institutions judged to be delivering and making awards of comparable standards. Exceptionally a professional nominee who lacks the required prior experience may be appointed provided at least one experienced External Examiner is also appointed for the same course.
- iii) be appointed in accordance with the University's agreed procedures (see Section XXIV).
- iv) have no potential conflict of interest or other impediment to the impartial discharge of the functions of external examining;
- v) discharge the following functions:
  - a) in respect of the design of the assessment scheme:
    - comment on the syllabus, learning outcomes and assessment scheme of the course and its delivery mechanism in the light of experiences of candidates' learning outcomes, comparable courses and awards elsewhere and developments within the discipline or field;
    - be consulted regarding proposals for the introduction or modification of a course;
  - b) in respect of a given assessment diet:
    - comment on, in advance, all summative assessment instruments (or, in cases involving a high volume of continuous assessment, a sample may be provided for advance comment);
    - report on the overall standards achieved by candidates and in particular on the comparability of these standards with those of candidates on similar courses or programmes in other UK Higher Education institutions;
    - report on the relationship between these overall standards, programme specifications and published national subject benchmark statements;
    - assess the soundness and fairness of the implementation of the assessment process;
    - adjudicate where necessary, subject to the authority of Senate, over the grade or class to be awarded to any particular candidate;
    - certify contentment with the assessment outcomes prior to their publication;
    - provide an annual written report to the Principal as required by the University.

16.30 All examiners shall maintain the security of examination scripts and other materials to be assessed. Throughout the assessment process examiners must ensure that the identity of any candidate is not disclosed through any form of communication, including e-mail. Examination scripts and other assessed materials must be retained by departments for the periods prescribed by Senate.

16.31 Meetings of the Board of Examiners in respect of a particular course or programme shall be formally called and constituted, separately from other meetings such as departmental meetings. All Examiners shall be members of the Board of Examiners and shall be invited to all meetings of the Board: the quorum shall comprise the Head of Department (or his or her nominee), the Assessment Officer, an Internal Examiner and an External Examiner. Exceptionally, where due cause is shown, if no External Examiner is able to be present then written confirmation of the discharge of the functions of the External Examiner may be considered as equivalent to attendance. There may be agreement between the Head of Department, the Assessment Officer(s) and External Examiners that attendance by the External Examiner(s) at Board of Examiners meetings for re-assessments is not required. No person other than Examiners and others with direct responsibilities for examining and related administrative and clerical matters shall attend or observe meetings of the Board of Examiners. The business of the Board of Examiners shall be minuted and particular records kept of the External Examiner's adjudications, comments and recommendations, as well as particular decisions made by the Board in respect of incomplete assessment, good cause and disciplinary matters. Returns of results shall be completed, checked by two persons and confirmed at the meeting of the Board of Examiners.

16.32 If a Board of Examiners suspects, on the basis of evidence before it, that a disciplinary offence has been committed by a candidate in respect of the assessment, the Board shall invoke the provisions of the Statement on Plagiarism (see Section XXXIII) or Code of Discipline, as appropriate.

16.33 The Senate Office shall forward External Examiners' reports to departments within eight weeks of receipt identifying points to which a response is required. The Head of Department shall arrange for External Examiners' reports to be considered by a departmental meeting and for appropriate responses to be made to specific recommendations made by the External Examiner: such responses to be conveyed within three months of receipt to the Senate Office.

16.34 The Head of Department shall ensure that the assessment scheme and its operation are monitored through the Annual Course Monitoring Report on the course.

16.35 The Head of Department shall encourage staff to take advantage of opportunities provided by the University to develop their knowledge of assessment procedures and practices with a view to ensuring that assessment schemes are effective and appropriate.

### Central Administration of Assessment

16.36 Where an examination is a component of a summative assessment scheme the Head of the Registry shall, in conjunction with the Assessment Officer responsible for the course:

- a) determine a suitable date and time for the examination;
- b) allocate adequate accommodation, scripts and other materials as appropriate for the number of candidates to be examined;
- c) provide for secure delivery of the examination paper(s) to the accommodation.

The Head of Registry may delegate all or part of this to the Assessment Officer responsible for the course.

16.37 The Senate Office shall determine and administer procedures to be followed in respect of the appointment, reporting, remuneration and payment of expenses of External Examiners. Procedures shall include provision for the instruction of individual External Examiners to ensure that they understand and can fulfil their responsibilities.

16.38 The Head of Registry shall:

- a) provide lists of candidates upon which the official return of the results shall be made by the Assessment Officer;
- b) prescribe the way in which each result shall be recorded and the completed lists returned;
- c) reject any returned list which does not conform to the prescription;
- d) authenticate the accepted lists for releasing the results.

16.39 Responsibility for releasing the results on behalf of Senate shall rest solely with the Head of the Registry who shall determine and administer, subject to the approval of Senate, appropriate procedures for processing the overall assessment results provided by the Assessment Officer(s) for a course to enable:

- a) the publication of results via any internet-enabled computer either on or off-campus;
- b) the recording of results on the candidates' central records maintained by the Registry.

Candidates, nonetheless, are responsible for informing themselves of the results.

16.40 It shall be stated that all released results are subject to correction in the event of detection of an error.

16.41 If an error is detected in the return made to the Registry or in the published result then:

- a) where the erroneous result is less advantageous than the result to which the candidate is entitled, the Clerk of Senate shall be informed and shall authorise the Head of Registry to correct the result;
- b) where the erroneous result is more advantageous than the result to which the candidate is entitled, the Head of the Registry shall immediately notify the Clerk of Senate and inform the candidate that the result is suspended; the Clerk of Senate shall initiate a reconsideration of the result in conjunction with the relevant Dean and Head of Department and the Head of Registry; they may decide to sustain or correct the result in the light of all the factors known to them and shall communicate their decision forthwith to the Head of Registry.

In either case the Head of Registry shall communicate the outcome to the candidate in writing, advising, if appropriate, of the right to appeal, and shall correct if necessary the candidate's record in the Registry. Any decisions regarding further progression or award dependent on the incorrect result shall be null and void, and the candidate reconsidered on the basis of the correct result.

Every such instance shall be reported to the next full meeting of Senate.

16.42 The Registry shall produce and make available a transcript of the results obtained by each candidate which shall conform in scope and layout to principles agreed by Senate.

## XVII CODE OF PRACTICE ON INCOMPLETE ASSESSMENT AND GOOD CAUSE

17.1 This section sets out the rules covering the treatment of students prevented by good cause from completing an assessment or performing adequately therein.

- i) For the purposes of this section "good cause" shall mean illness or other adverse circumstances serious enough to prevent the candidate from completing a summative assessment at or by the due time; "evidence" shall mean a full medical report detailing the severity, duration and possible impact of the medical condition on the candidate's performance. The medical report should be provided by the candidate's General Practitioner or Hospital Consultant or the University Health Service. A letter from a doctor or a medical certificate will not be sufficient for establishing "good cause". Where "good cause" relates to adverse personal circumstances a written report detailing the severity, duration and possible impact of the circumstances should be provided. Where possible independent written evidence as appropriate should also be provided.
- ii) A chronic medical condition shall not itself be considered good cause, unless the medical report refers specifically to a short-term exacerbation of the condition.
- iii) If a candidate believes that good cause has prevented a piece of summative assessment, including an examination script, being completed at or by the due time or has seriously prejudiced his or her performance in a summative assessment, then he or she must promptly notify the Head of Registry and submit appropriate evidence. Notification later than a week after the due date for completion of the assessment will not normally be taken into account except where circumstances prevented the student from notifying the Head of Registry within this time. The Head of Registry will notify the relevant Head(s) of Department.
- iv) The Head of Department shall have discretion to set a later completion date for the assessment in question, including a special sitting of an examination. The candidate shall have the right to decline such an alternative unless the assessment has been designated as compulsory in the assessment scheme approved by Senate in respect of the course or programme concerned and published in the course data-base. Where the Head of Department does not exercise discretion to set a later completion date, or where the candidate declines such an alternative, the candidate may pursue the claim for good cause.
- v) Where the claim for good cause is pursued the evidence submitted shall be considered by the Board of Examiners which shall determine:
  - a) if the evidence is of sufficient weight to constitute evidence of good cause;
  - b) if sufficient material has been presented in respect of the summative assessment in question for it to be regarded as completed, rather than merely attempted; in the latter case the assessment shall be treated as though it had been prevented by good cause from being completed.

17.2 If a candidate fails to complete a summative assessment required by a course without adequate evidence of good cause then he or she shall be awarded Grade H or equivalent for that assessment, and his or her mark or grade for the course shall, subject to the provision of regulation XX [i.e. the regulation for setting out the CR penalty for failing to complete assessments], be calculated accordingly.<sup>11</sup>

### Honours Assessment

17.3 Paragraph 17.4 below makes provision for arrangements to be made if candidates are prevented by good cause from completing their assessment for an Honours degree programme. In cases where the assessment for Honours is split over more than one assessment diet, and assessments are not completed (with good cause) in any but the final assessment diet: candidates shall, where possible, be offered an opportunity to complete these assessments at a subsequent Honours assessment diet. Any such arrangements must be by prior written agreement with the Head of Department (or his or her nominee) in order to ensure that these are practicable, and fully understood by the candidate concerned. If no such arrangement can be made, or if the candidate declines the opportunity presented, the arrangements in paragraph 17.4 shall apply. Similarly, the arrangements in paragraph 17.4 shall apply in cases where candidates are prevented by good cause from completing the assessment for the Honours degree programme in either a single diet or the last diet of a split assessment for Honours.

17.4 If a candidate for a degree with Honours is adjudged by the Board of Examiners to have been prevented by good cause from completing the assessment of the Honours degree programme, then the following arrangements shall apply:

- i) The extent of completion of Honours assessment shall be determined as a percentage of the totality of summatively assessed work, based on the published assessment weightings required by the Honours assessment scheme approved by Senate. The calculation of this percentage shall take into account all components of assessment over all courses contributing to the Honours assessment, rather than being carried out on a course by course basis.
- ii) The Board of Examiners shall make an overall judgement of the standard reached in the completed part of the assessment, using as far as possible the same procedures as apply to candidates who have completed the entire Honours assessment.
- iii) If the candidate has completed 75 per cent or more of the Honours assessment, then the Board of Examiners shall consider the candidate for the award of a classified Honours degree and shall recommend an appropriate award on the basis of the completed proportion.

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<sup>11</sup> This paragraph was amended on 20 December 2006.

- iv) If a candidate has completed less than 75 per cent but not less than 30 per cent of the Honours assessment, then the Board of Examiners shall recommend that the candidate be awarded an unclassified Honours degree if it holds the view that the completed work is clearly of a third-class Honours standard or better; if it holds the view that the completed work is not clearly of an Honours standard the Board of Examiners shall recommend that no award be made.
- v) If a candidate has completed less than 30 per cent of the Honours assessment, then the candidate shall be regarded as not having been presented for Honours assessment.
- vi) The Board of Examiners' decision to award an unclassified degree or to make no award, together with a reasoned case for the decision, shall be communicated to the Clerk of Senate. The Clerk shall invite a candidate who has been recommended for the award of an unclassified Honours degree, and who has not previously refused such an offer, to consent to it. In the event of consent being withheld the candidate shall be regarded as not having been presented for Honours assessment, as shall a candidate recommended for no award.
- vii) The award of an unclassified Honours degree may be made public separately, so that the normal announcement of the Honours degree results need not be delayed.

### Non-honours Assessment

17.5 If a candidate is adjudged by the Board of Examiners to have been prevented by good cause from completing the assessment of a course, then the following arrangements shall apply:

- i) The extent of completion of the assessment shall be determined as a percentage of the totality of summatively assessed work, based on assessment weightings published in the course data-base, required by the assessment scheme approved by the Senate.
- ii) The Board of Examiners shall make an overall judgement of the standard reached in the completed part of the assessment, using as far as possible the same procedures as apply to candidates who have completed the assessment.
- iii) If the candidate has completed 75 per cent or more of the assessment then the Board of Examiners shall recommend the award of an appropriate grade (or no credit) on the basis of the completed proportion.
- iv) If the candidate has not completed 75 per cent of the assessment then the candidate shall be regarded as not having attempted the assessment.

17.6 Any questions of principle or procedure regarding the operation of these regulations for incomplete assessment and good cause shall be determined by the Education Committee or, in respect of any individual case, by the Clerk of Senate.

## XVIII INSTRUCTIONS TO CANDIDATES ON THEIR CONDUCT IN WRITTEN EXAMINATIONS

18.1 Instructions to candidates on the Conduct of all Examinations held in the University.

1. Candidates are required to obey the instructions of the invigilator. It is the duty of the invigilator to prevent any behaviour likely to cause disturbance to other candidates. Candidates needing to leave the room for any purpose must first ask permission of the invigilator, who may accompany the candidate.
2. Every candidate shall display for the invigilator's inspection a valid Student ID card.
3. Candidates must not use mobile telephones and other electronic devices such as personal music players during examinations. Candidates must switch off and remove all such items (including headphones) prior to the start of the examination and place them with other personal possessions in a closed bag or container which will normally be kept under their seat for the duration of the examination<sup>12</sup>.
4. No paper or book shall be brought into the examination room by any candidate unless with the express written permission of the appropriate Head of Department.<sup>13</sup>
5. Unless with the express written permission of the appropriate Head of Department,<sup>14</sup> candidates shall not give or receive any assistance, or communicate by any means with one another or with any person other than an invigilator at any time during the examination period.
6. No calculator, nor any other hand-held electronic device, may be used by a candidate in an examination except with explicit departmental approval. Such approval shall normally take the form of a published notice on departmental notice board(s) together with a statement incorporated into the instructions to candidates in the appropriate examination paper(s). Calculators or other hand-held electronic aids with a facility for either textual storage or display, or for graphical display, are excluded from use in examinations.<sup>15</sup>

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<sup>12</sup> Any change in this regulation requires the prior agreement of the Senate.

<sup>13</sup> This permission will normally be in the form of a set of arrangements for an open-book or other non-traditional style of examination and will form part of the information provided to students at the beginning of the course that is being examined.

<sup>14</sup> The extent to which collaboration may be allowed will form part of the information provided to students at the beginning of the course.

<sup>15</sup> Any change in this regulation requires the prior agreement of the Senate.

7. Candidates must write legibly. If examination scripts are found to be illegible to a substantial degree, candidates will be required to come to the University to dictate their script(s) in the presence of an invigilator and a charge will normally be levied.
8. Candidates may not begin writing before the invigilator announces the start of the examination period and must cease writing when the invigilator announces the end of the period.
9. No part of any answer book shall be torn out or removed from the examination room.
10. In examinations of at least two hours duration, no candidate shall be allowed to enter the examination room after the first hour has expired, or to leave it within the first hour or the last half-hour. Except, that an invigilator may, at his or her discretion, allow a candidate to enter after the first hour if no other candidate has left the examination.
11. In shorter examinations, both entry and exit shall be at the absolute discretion of the invigilator.
12. In no case shall a candidate leave until an invigilator has collected his or her scripts or other examinable material.
12. These arrangements shall apply to all examinations, including those for the purpose of continuous assessment, held in the University.

Any candidate who contravenes any of these instructions will be liable to penalties, which may include expulsion from the University.

## **XIX USE OF A COMPUTER IN AN EXAMINATION**

19.1 Where the Clerk of Senate has given permission for a student to use a computer in an examination, the Head of Department shall ensure that the current guidelines are followed. (See 26.23)

## **XX USE OF DICTIONARIES BY STUDENTS IN EXAMINATIONS**

20.1 Heads of Department may, at their discretion, permit students whose first language is not English to employ an appropriate dictionary in a class or degree examination. Such permission should not be granted where the first language, or its literature, is the subject under examination.

20.2 Heads of Department should keep a record of all cases where permission has been granted, and deliver that information to the appropriate invigilator(s).

20.3 Dictionaries to be authorised for use in an examination should be lodged by the student with the Head of Department at least 24 hours prior to the start of the examination. Following inspection by the department, the authorised dictionaries should be handed to the student(s) by the invigilator at the start of the examination.

## **XXI USE OF ELECTRONIC CALCULATORS BY STUDENTS IN EXAMINATIONS**

21.1 No calculator, nor any other portable electronic device, may be used by a candidate in an examination unless this is expressly authorised by the Head of the Department responsible for the examination. This authorisation will specify the type of calculator or other device authorised. Candidates shall normally be notified of the terms of this authorisation by published notice on departmental notice board(s), and by other means as appropriate, confirmed by a statement in the instructions to candidates in the examination concerned.

21.2 In determining whether to authorise the use of calculators or other devices and the specification and/or make(s) and model(s) to be authorised, the Head of Department shall take account of the object and design of the examination in question, and of an overarching requirement to safeguard the integrity of the examination and ensure that no candidate derives unfair advantage, nor is unfairly disadvantaged, as a consequence.<sup>16</sup>

## **XXII INVIGILATION**

22.1 For each examination the Head of Department shall name Invigilators as prescribed by Senate and shall be responsible for informing Invigilators of their period and conditions of duty, including the obligation to be present fifteen minutes before the examination begins. The Head of Department shall ensure that each invigilator has a copy of the Rules for Invigilation.

22.2 Arrangements for examinations for students with special needs should be made in accordance with the rules relating to Special Examination and other Assessment Arrangements for Students with Disabilities and Special Needs (XXVI 26.1-26.23). This includes the requirement on Heads of Departments to make any special invigilation arrangements which have been approved.

22.3 The Rules of Invigilation (see below) shall be available to all Invigilators at the Examination Halls and must be followed by all Invigilators. Notes of Guidance give Invigilators further guidance on the application of the Rules.

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<sup>16</sup> Any change in this regulation requires the prior agreement of the Senate.

## XXIII RULES OF INVIGILATION

### Appointment of Invigilators

23.1 Heads of Departments appoint Invigilators and provide them with timetables giving the days, hours and places of the various examinations and lists of the candidates enrolled for examination. One invigilator is required for every 75 candidates. Heads of Departments shall ensure that each invigilator has a copy of the Rules of Invigilation, including the Instructions to Candidates, and carries out his or her duties in accordance with the rules. Invigilators should also be aware of the rules relating to Special Examination and other Assessment Arrangements for Students with Disabilities and Special Needs (XXVI 26.1-26.23).

### Attendance and Distribution of Papers

23.2 Each Invigilator must be present in the examination room at least fifteen minutes before the examination begins and during the whole examination except for any period for which he or she has arranged relief. Before the examination commences, Invigilators must check that all the examination papers are in order and that the correct script books and any supplementary material required are in place. Janitorial staff will be on duty and will give all needful assistance in the distribution and collection of papers.

### Instructions to Candidates

23.3 The following Instructions to Candidates on their Conduct in Written Examinations form part of the Rules for Invigilators and invigilators must ensure that they are followed:

1. Candidates are required to obey the instructions of the invigilator. It is the duty of the invigilator to prevent any behaviour likely to cause disturbance to other candidates. Candidates needing to leave the room for any purpose must first ask permission of the invigilator, who may accompany the candidate.
2. Every candidate shall display for the invigilator's inspection a valid Student ID card.
3. Candidates must not use mobile telephones and other electronic devices such as personal music players during examinations. Candidates must switch off and remove all such items (including headphones) prior to the start of the examination and place them with other personal possessions in a closed bag or container which will normally be kept under their seat for the duration of the examination.
4. No paper or book shall be brought into the examination room by any candidate unless with the express written permission of the appropriate Head of Department.<sup>17</sup>
5. Unless with the express written permission of the appropriate Head of Department,<sup>18</sup> candidates shall not give or receive any assistance, or communicate by any means with one another or with any person other than an invigilator at any time during the examination period.
6. No calculator, nor any other hand-held electronic device, may be used by a candidate in an examination except with explicit departmental approval. Such approval shall normally take the form of a published notice on departmental notice board(s) together with a statement incorporated into the instructions to candidates in the appropriate examination paper(s). Calculators or other hand-held electronic aids with a facility for either textual storage or display, or for graphical display, are excluded from use in examinations.<sup>19</sup>
7. Candidates may not begin writing before the invigilator announces the start of the examination period and must cease writing when the invigilator announces the end of the period.
8. No part of any answer book shall be torn out or removed from the examination room.
9. In examinations of at least two hours duration, no candidate shall be allowed to enter the examination room after the first hour has expired, or to leave it within the first hour or the last half-hour. Except, that an invigilator may, at his or her discretion, allow a candidate to enter after the first hour if no other candidate has left the examination.
10. In shorter examinations, both entry and exit shall be at the absolute discretion of the invigilator.
11. In no case shall a candidate leave until an invigilator has collected his or her scripts or other examinable material.
12. These arrangements shall apply to all examinations, including those for the purpose of continuous assessment, held in the University.

### Admission of Candidates and Start of Examination

23.4 All invigilators present should agree when candidates should be admitted to the Hall and should ensure that students granted extra time and already in the Hall suffer as little disruption as possible.

23.5 Before announcing the start of the examination, one of the invigilators should

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<sup>17</sup> This permission will normally be in the form of a set of arrangements for an open-book or other non-traditional style of examination and will form part of the information provided to students at the beginning of the course that is being examined.

<sup>18</sup> The extent to which collaboration may be allowed will form part of the information provided to students at the beginning of the course.

<sup>19</sup> Any change in this regulation requires the prior agreement of the Senate.

- 1) instruct candidates to complete a Candidate's Attendance Form
- 2) read out the fire safety notice
- 3) issue any other instructions which the invigilators deem appropriate

### **Duties During the Examination**

23.6 Invigilators, while on duty, must give their whole attention to watching the candidates, and must on no account read or engage in any occupation which would distract their attention from their proper duty. Invigilators are not to answer inquiries by candidates regarding the meaning of examination questions: the candidate is simply to be told to take a reasonable view of the meaning of the question, and in cases where there is any doubt, to note in his or her answer what view of the meaning he or she does take; but an Invigilator or other member of the department may remedy defects in the form of the printed examination papers, such as a defective rubric or a serious misprint, by announcement.

23.7 Once the examination has started, invigilators should collect the attendance slips and check Student ID cards; where a candidate has no card, the candidate's Attendance Form and script books together should be annotated by an Invigilator and lodged with the Head of Department who shall satisfy himself or herself of the bona fides of the student before releasing the scripts for marking.

### **Improper Behaviour of Candidates**

23.8 If an Invigilator has reason to suspect a candidate of giving or receiving information in the examination room, the candidate's name and table number should be noted and the circumstances reported to the Clerk of Senate. If copying or other improper behaviour can be clearly established, the Invigilator may require the candidate(s) concerned to leave the examination room and shall report the circumstances to the Clerk of Senate.<sup>20</sup>

### **First Aid Cover and Fire Safety**

23.9 A copy of the First Aid notice and Fire Safety notice on display in every Examination Hall will be provided to invigilators.

### **Conclusion of Examination**

23.10 The end of the examination period must be announced. All scripts must be collected from each candidate individually and retained by the Invigilators on behalf of the department. The Library envelope should be sent to the University Librarian by internal mail. The Departmental envelope should be taken or sent back to the department. Before leaving the room, an Invigilator in each subject must complete a report to the Registry on the form provided showing the number of candidates at the examination and the number of scripts collected: this report should be handed to the Janitor on duty.

23.11 On return to the Department, Invigilators must check the scripts received against the list of candidates and cross-check with the Candidate's Attendance Form in the event of any discrepancy. To preserve the anonymity of scripts all Candidate Lists and Attendance Forms must be lodged with the Head of Department or other designated co-ordinator before the scripts are distributed for marking.

### **Illegible Examination Scripts**

23.12 If examiners find a substantial part of an examination script to be illegible, the candidate in question will be required to come to the University to dictate their script to a third party in the presence of an invigilator. The invigilator will be in possession of a copy of the script in question in order to follow the candidate's dictation of their script. A charge will normally be levied for this procedure.

## **XXIV APPOINTMENT OF EXTERNAL EXAMINERS FOR TAUGHT COURSES AT UNDERGRADUATE AND POSTGRADUATE LEVEL**

24.1 External examiners are usually appointed for four years, commencing on 1 October and completing their term of office on 30 September four years later. Once an external examiner's four-year term of office has expired, he or she may not be re-appointed as an external examiner for the University until four years have elapsed.

Occasionally, an external examiner may have been appointed for a term of office of less than four years. In such cases, the examiner's term of office may be extended, on application to the Senate Office.

The Senate Office advises Heads of Departments when an external examiner's appointment is due to expire and requests that steps be taken to appoint a replacement, except by agreement of the Senate.

### **Appointment Process**

1. Head(s) of Department completes a nomination form (see <http://senate.gla.ac.uk/qa/examiners/index.html>) and signs it. The form must be signed by the Head(s) of Department.

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<sup>20</sup> Details of the University's Procedures for Managing the Improper Behaviour of Candidates during a Written Examination can be found on the Registry website at: [www.gla.ac.uk/services/registry/staff/examinations/improperbehaviour.htm](http://www.gla.ac.uk/services/registry/staff/examinations/improperbehaviour.htm)



2. The form is then passed to Faculty Office for Faculty Approval.
3. After Faculty have approved the nomination the Faculty Secretary/Clerk signs the form and sends it to the Senate Office.
4. After consideration and approval, an appointment letter is sent to the examiner. Copies of this appointment letter are also sent to the Head of Department and Faculty Secretary/ Clerk.

### Appointment

When external examiners are appointed, they receive an information pack containing the following:

- Note of Guidance for External Examiners for Undergraduate and Postgraduate Courses
- Note of Guidance on Fees and Expenses
- Code of Assessment for Undergraduate and Taught Postgraduate Programmes
- Examiners' Report Form
- Remuneration Payment Form
- Expenses Claim Form
- General Dental Council Book (Dental Examiners only).

## XXV CERTIFICATE OF BASIC IT COMPETENCE: REGULATIONS

25.1 The Certificate of Basic IT Competence (referred to hereinafter as 'the Certificate') may be conferred by the University of Glasgow.

25.2 The courses of study leading to the award of the Certificate will be agreed by the Senate.

### General Regulations

#### 1. The IT Baseline

The Certificate is awarded to students who demonstrate the achievement to an acceptable level of a set of IT competencies known as the IT Baseline. The IT Baseline is defined by the IT Education Unit of the University of Glasgow, and is revised each year.

#### 2. Baseline Courses

In order to be awarded the Certificate, a student must *either* complete a course of study offered by the IT Education Unit as delivering the competencies making up the IT Baseline with the award of a pass *or* gain an exemption from the IT Education Unit course programme through one of the routes indicated in paragraph 6 of these regulations.

#### 3. Accreditation

Courses whose only purpose is to offer students the IT Baseline competencies carry no credits. The credit value of courses in particular subject areas which are, additionally, approved by the IT Education Unit as delivering the IT Baseline competencies is not altered by such approval.

#### 4. Assessment

Student achievement on courses offered through the IT Education Unit leading to the award of the Certificate is classified as pass or fail. In order to gain a pass, students must obtain a mark of at least 80% through a scheme of assessment approved by the Senate.

#### 5. Resits

Students failing to gain a pass on a course offered by the IT Education Unit leading to the award of the Certificate will be given written guidance on how to proceed. They may:

- i) be required to resubmit one or more of the course assessment exercises;
- ii) be invited to retake the whole course;
- iii) be invited to take a different approved course; or
- iv) be given appropriate individual guidance.

There is no limit on the number of times a student may retake a Baseline course provided by the IT Education Unit.

#### 6. Exemptions

Exemption from the IT Education Unit course programme may be gained through the following routes:

- i) Students who have successfully completed a course offered at this or another University which is recognised by the IT Education Unit as covering the Baseline competencies may, on production of documentary evidence of successful completion of the course, be awarded the Certificate.
- ii) Students possessing a certificate or other award recognised by the IT Education Unit as being evidence of Baseline competence, may, on production of documentary evidence of receipt of the award, be awarded the Certificate.

- iii) Students with a *prima facie* case for exemption on grounds of previous or current experience with IT may take a test of IT competence administered by the IT Education Unit. Those passing the test will be awarded the Certificate.

### 7. Eligibility

The Certificate may be awarded, on satisfaction of the requirements stated in these regulations, to:

- i) registered students of the University of Glasgow;
- ii) persons registered for courses offered by the University of Glasgow but who are not registered;
- iii) persons undertaking courses or programmes in collaboration with or on licence from the University of Glasgow, which are approved by the IT Education Unit as coming within the scope of these regulations.

### 8. Disciplinary Matters

Disciplinary matters related to the award of the Certificate will be referred when appropriate to the Senate.

## XXVI SPECIAL EXAMINATION AND OTHER ASSESSMENT ARRANGEMENTS FOR STUDENTS WITH DISABILITIES

### Introduction

26.1 Special examination and other assessment arrangements may be made for students with temporary or permanent disabilities. The special arrangements are intended to enable candidates to perform to the best of their ability; they are not intended to give any unfair advantage to any candidate.

26.2 The following procedures deal primarily with special examination arrangements, but it is recognised that special arrangements may also need to be made in the case of other forms of assessment.

### Procedure

26.3 A student with a disability should make his or her needs known to the University's Student Disability Service and his or her Head(s) of Department at the earliest opportunity to allow adequate time for special arrangements to be made.

26.4 As soon as a Student Disability Adviser has been notified that a student may require permanent special arrangements he or she will advise on any evidence or needs assessment which may be required and will recommend appropriate arrangements.

26.5 Students who are dyslexic must produce an up to-date Dyslexia Assessment Report, which meets the requirements of the University and includes specific mention of recommendations for examinations. The Dyslexia Assessment should normally have been carried out not more than three years prior to entry to higher education. (The University requires that an assessment be carried out by a Chartered Educational Psychologist accredited by the British Psychological Society and approved by the University.) If the University considers that an assessment is not sufficiently up-to-date, or the recommendations it contains are not sufficiently relevant to higher education, it may require the student to be re-assessed. Arrangements can be made via the Dyslexia Adviser for an assessment in respect of dyslexia to be carried out.

26.6 The recommendations of a Dyslexia Adviser, together with supporting evidence, will be sent to the Clerk of Senate for approval.

26.7 It is the responsibility of the Clerk of Senate to approve all special examination or assessment arrangements for students with disabilities, both temporary and permanent. In the absence of the Clerk of Senate this responsibility is delegated to the Director of the Senate Office. The approval will normally remain valid for the student's graduating curriculum, provided the circumstances remain broadly similar. If there is a significant change in the student's circumstances, or in the special arrangements needed, fresh evidence and new approval is required.

26.8 The Clerk of Senate's approval will be passed by the Senate Office to the Examinations Officer in the Registry who will arrange for the necessary information to be entered in the student record system. The Senate Office will also notify the Student Disability Service who will then send details of the approved special arrangements to the student's Departmental Disability Coordinators<sup>21</sup>.

It is the responsibility of Departmental Disability Coordinators to ensure that the approved special arrangements are made at departmental level, including any special invigilation, accommodation or equipment requirements. Departmental Disability Coordinators must also ensure that all relevant internal and external examiners are informed. The Student Disability Service and the Registry will assist in making the necessary arrangements.

26.9 The Registry will annually extract from the student record system a list of all current students for whom special arrangements have been agreed and this list will be checked by the Student Disability Service.

Departmental Disability Coordinators will also be sent a list of students taking courses in their Departments for whom special arrangements have been approved. (This list will normally accompany the final version of the timetable for each diet of examinations.)

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<sup>21</sup> Most departments have appointed a Departmental Disability Coordinator (DDC), where there is not a designated DDC students should consult the Head of Department in the first instance.

26.10 In cases of temporary disability the Clerk of Senate should be notified by the Head of Department as soon as they become aware of the problem. All special arrangements for students with temporary disabilities must be approved by the Clerk of Senate.

### Range of Provisions

26.11 Examples of special examination arrangements include:

- extra time
- separate accommodation
- use of a scribe
- use of a reader
- use of special equipment or materials

Each of these is described in the paragraphs below.

#### Extra time to sit an examination

26.12 Depending on the student's disability and any recommendations made by an assessor, the student may be granted extra time to sit an examination. This is likely to be in the region of ten minutes extra in each hour. The extra time granted will in most cases be before the start of the examination or, failing which, after the end of the examination. In the case of certain disabilities, it may be necessary to grant rest breaks for the candidate at intervals during the course of the examination.

26.13 Heads of Department and Invigilators should ensure that students granted extra time suffer as little disruption as possible as a result of the arrival or departure of other candidates.

#### Separate accommodation to sit an examination

26.14 An arrangement to provide separate accommodation to sit an examination may be required to meet the needs of a range of students with a disability, but is most usually required when the use of a scribe or a reader is recommended. The presence of a separate Invigilator is always required in these circumstances.

#### Use of a scribe

26.15 A scribe may be employed when this is recommended in a needs assessment or when it is determined by the nature of the condition or disability, for example when the candidate

- is blind or partially sighted; or
- has difficulty in writing, either caused by a physical disability or by dyslexia; or
- suffers from undue fatigue when writing for any length of time.

26.16 Selection of a scribe. The Head(s) of Department, in conjunction with the Student Disability Service, is responsible for the selection of a scribe who

- is familiar with the subject(s) concerned;
- has no personal interest in the success of the candidate;
- is not a relative of the candidate;
- is not a teacher who is involved in the candidate's study of the subject;
- is not a student taking the same course as the candidate;
- is of good hearing;
- has clearly legible handwriting;
- is a person acceptable to the candidate;
- should be selected in good time prior to any examination.

26.17 Duties of a scribe

The scribe's duty is to transcribe only what is dictated by the candidate;

The scribe may exercise discretion regarding spelling, punctuation etc.;

Except with the agreement of the Departmental Disability Coordinator or when specifically employed as both scribe and reader, the scribe may not read the question paper rubrics or the questions to the candidate;

The scribe may read back the candidate's responses to the candidate, as requested;

The scribe should converse with the candidate only insofar as this is necessary to clarify his or her instructions;

If it is deemed necessary, the scribe may be instructed by the candidate to draw maps, diagrams, graphs, etc., but in such instances, the scribe should do no more than follow the student's explicit instructions;

Generally speaking, the aim of the scribe is to ensure that the candidate is not disadvantaged by his or her disability or condition, while getting no unfair assistance.

26.18 Practice with the candidate

It is advisable for the scribe and the candidate to have the opportunity to practise answering a question paper under examination conditions.

Scribes should be selected sufficiently far in advance of the examination to allow for such practice.

## 26.19 Payment of a scribe

Students in receipt of Disabled Students' Allowance (DSA) may claim the cost of a scribe under the 'Non-Medical Personal Help' Section D of the DSA. For students sitting a number of examinations, the cost can be significant and an attempt should be made to claim payment in advance. In the event of delay in reimbursement it may be possible for the University to help by providing a loan or grant from the Student Hardship Fund.

The student is responsible for any payment due for the services of a scribe. The hourly rate is that payable to Postdoctoral Demonstrators as given in the University's *Guidelines and Rates of Pay for Part-time staff*. These rates are also available on the Web at: [www.gla.ac.uk/Otherdepts/humanresources/ptpay.html](http://www.gla.ac.uk/Otherdepts/humanresources/ptpay.html)

Students who require a scribe and are not eligible for DSA, should refer themselves to the Student Disability Service for further information and advice on payment arrangements.

## 26.20 Change in intention to use a scribe

If permission to use a scribe has been granted, it will be assumed by the Registry and the Board of Examiners that the scribe has, in fact, been employed in the examination(s) concerned. Should this not be the case, it is important that the Registry, the Departmental Disability Coordinator, the Student Disability Service and the Board of Examiners be informed.

**Use of a reader**

26.21 In some circumstances, a reader may be employed in place of a scribe and in such circumstances similar arrangements to those above will apply.

**Use of special equipment or materials**

26.22 There may be a requirement for some students to use special equipment or materials, such as the following: word processing equipment, coloured paper, or question papers prepared in Braille or enlarged print.

**Use of a Computer in an Examination**

26.23 Where the Clerk of Senate has given permission for a student to use a computer in an examination, the Departmental Disability Coordinator shall ensure that the current guidelines are followed. *The guidelines for the use of computers by students in examinations are under review. Revised guidelines will be available in due course and will be sent to Heads of Departments. The guidelines will also be available from the Senate Office and will be displayed on the Senate Office website.*

**Anonymous Marking of Scripts**

26.24 The overriding principle is fairness to *all* candidates. This requires that, as far as possible, a uniform and consistent approach be adopted in the marking of anonymous scripts in credit-bearing examinations.

26.25 The script books used by students for whom special examination arrangements have been approved should not be identifiable in any way. (Sometimes, though, as when the use of a word-processor has been approved, breaking of anonymity may be unavoidable.) Coloured paper will not be approved for use in script books; coloured overlays should be used instead, if required. Question papers may, however, be printed on coloured paper.

26.26 Appropriate information about a candidate's disability will be made known to and taken proper account of at, and only at, the meeting of the relevant Board of Examiners.

26.27 If, for any reason, a candidate is not provided with the approved special arrangements (e.g. extra time) the Invigilator should report the circumstances to the Head of Department concerned who will inform the relevant Board of Examiners. The Board of Examiners will determine the appropriate compensation.

**XXVII CODE OF PRACTICE FOR SPECIAL INTERNATIONAL EXAMINATION ARRANGEMENTS**

27.1 Special international examination arrangements may be made for students in certain cases. Such arrangements will normally only be authorised for examinations which take place outside term time. Such students will normally have their place of ordinary residence outside the UK and have difficulty returning to the University to sit examinations. In exceptional circumstances students whose place of ordinary residence is in the UK may also have international examination arrangements made in terms of clause 5 below.

## 27.2 Procedure

1. Any international student requesting special arrangements to be made should submit the request to the Head of the Registry at the earliest opportunity to allow time for the special arrangements to be made. (Requests must, in any case, be submitted prior to the relevant enrolment period for the examinations.)
2. The Head of the Registry will check that the student's recorded place of ordinary residence is outside the UK and that a suitable location for the examination can be found. This will normally be a British Council Centre in the country of residence. Where one does not exist an arrangement may be made by the Head of Registry with a partner institution of the University of Glasgow in the country of residence. Failing this the student must travel to the nearest British Council or return to the University of Glasgow to undertake the examination.

The agreement of the relevant Head of Department will be sought regarding the appropriateness of the arrangements proposed.

3. All necessary arrangements will be made by the Registry.
4. The international examination must take place at the same time as the examination held in Glasgow.
5. Any requests for special arrangements away from Glasgow outwith the terms of these rules will require the approval of the Clerk of Senate as well as the appropriate Head of Department.
6. Students will be required to pay an administrative charge to cover the costs of the special arrangements made. Details of current charges are available from the Registry.

## XXVIII CODE OF PROCEDURE FOR APPEALS BY STUDENTS AGAINST ACADEMIC DECISIONS

### 28.1 Introduction

The University has a duty to maintain and enhance the quality of provision for students and to provide an effective system for handling appeals and complaints. This section states the procedure for regulating appeals against academic decisions affecting students other than decisions taken in respect of proceedings under the Code of Discipline which is found in Section XXXIV or the Complaints Procedure which is contained in Section XXXI.

### 28.2 Principles

28.2.1 A student should have a full opportunity to raise an appeal against an academic decision without fear of disadvantage and in the knowledge that confidentiality shall be respected.

28.2.2 Registered students should be directed to the website containing the Code of Procedure for Appeals by Students against Academic Decisions and should be provided with advice concerning sources of support and advice including the Students' Representative Council.

28.2.3 Clear guidance should be provided on the University website to direct a student to sources of advice with regard to the University's compliance with the Data Protection Act and the Freedom of Information Act.

28.2.4 Members of Faculty Appeals Committees and the Senate Appeals Committee should be appointed annually and should be invited to attend an annual briefing. A member should normally serve for a period of three years.

28.2.5 A representative of the student body who is present at an appeal as an observer should be given appropriate guidance.

28.2.6 The Senate Appeals Committee and each Faculty Appeals Committee should provide an annual report to Senate containing a review of its activities in relation to academic appeals.

28.2.7 Where an appeal is upheld, the University should defray reasonable and proportionate incidental expenses necessarily incurred by the student in the process of pursuing the appeal. Incidental expenses do not include the cost of obtaining legal advice.

### 28.3 Definition of an Appeal

28.3.1 An appeal is defined as a request for a review of a decision of an academic body charged with making judgements concerning student progression, assessment or awards.

28.3.2 A student may appeal (request a review of an academic decision) on the grounds of defective or unfair procedure by the academic body or a failure of the academic body to take account of medical or adverse personal circumstances submitted in accordance with the Code of Practice on Incomplete Assessment and Good Cause (see Section XVII).

28.3.3 A student may appeal on the grounds of medical or adverse personal circumstances that were not previously presented to the relevant academic body, if good reason is provided for the failure to present these circumstances in accordance with the standard procedure.

28.3.4 The provision for medical evidence or evidence of adverse personal circumstances is not designed to compensate for underperformance due to these circumstances nor are Examiners expected to infer how a candidate might have performed if unaffected. Where a candidate's performance is borderline between grades or classifications of Honours, provision of such evidence shall not necessarily raise the candidate to the higher grade or classification.

28.3.5 The Code of Practice on Incomplete Assessment and Good Cause is concerned with the sudden unforeseen onset of illness or adverse personal circumstances affecting the student. It is not intended to apply to chronic or persistent illness or to long-term adverse personal circumstances affecting a student's preparation for examinations and/or attendance at examinations or the submission of written work by the due date. **Examiners will mark and classify the performance as it stands and will not judge undemonstrated capability.** Where there is chronic illness, good cause shall only be established where the candidate's performance has been compromised by a sudden severe episode of the illness.

28.3.6 **A student may not appeal to a Faculty or to the Senate Appeals Committee against an academic decision in respect of marks awarded for academic work (other than the imposition of a penalty), decisions of examiners or other matters of academic judgement unless the grounds of the appeal are contained in paragraphs 28.3.2 and 28.3.3 above.**

28.3.7 A former student may not appeal once he/she has graduated from the University. By graduating, the former student is deemed to have accepted the recommendation of the Board of Examiners and the decision of the appropriate Faculty. Exceptionally, if evidence emerges that the conduct of the Board of Examiners was defective or that the Board was deprived of essential information, an appeal may be allowed.

## 28.4 The Appeal Process

28.4.1 The Senate is charged by the *Universities (Scotland) Acts* with a duty to superintend the teaching of the University. This is understood to include examining. The Senate has authorised the establishment of Faculty Committees to hear appeals in the first instance, as specified in the Code of Procedure for Appeals to a Faculty Appeals Committee, which is set out below in Section XXIX.

28.4.2 A student may further appeal against the decision of the relevant Faculty Appeals Committee to the Senate. The Code of Procedure for Appeals to the Senate is set out, after the Faculty Appeals Code (see Section XXX).

28.4.3 Where the appeal is made to the Senate on the grounds that the disposal at Faculty level was manifestly unreasonable, the letter of appeal must clearly and fully specify in what respects the student believes the Faculty Appeals Committee erred in coming to its decision or was mistaken in its decision.

28.4.4 Section 6(2) of the *Universities (Scotland) Act, 1889*, gives the University Court power to review any decision of the Senate. The University Court has devolved its responsibilities in this respect to an external adjudicator<sup>22</sup>. Although the decision of the external adjudicator is not legally binding on the University Court, the expectation is that the University Court shall accept the decision and any accompanying recommendations.

## XXIX CODE OF PROCEDURE FOR APPEALS TO A FACULTY APPEALS COMMITTEE

(For Undergraduate, Taught Postgraduate and Research Postgraduate Students)

### 29.1 Informal Resolution

Prior to submitting a formal appeal to Faculty, students are advised to discuss the matter with an Adviser of Studies or equivalent, Supervisor, Course Co-ordinator or Faculty Administrator in an attempt to resolve the matter informally. The Students' Representative Council will provide the services of a trained student advocate to assist or to represent a student in seeking an informal resolution. A copy of the Code of Procedure for Appeals shall be provided to the student and to his or her representative.

### 29.2 Faculty Appeals Committee - Jurisdiction

29.2.1 The jurisdiction of the Faculty Appeals Committee shall comprise all academic decisions concerning progress, assessment or award other than decisions taken in respect of proceedings under the Code of Discipline which is contained in Section XXXIV, the Complaints Procedure which is contained in Section XXXI or the Procedure for Determining Fitness to Practise which is contained in Section XXXVI.

29.2.2 The Committee shall not have authority to alter an academic decision. If relevant factors are raised by the appeal which should have been made known to the Board of Examiners or which the Board failed to take into account, the Committee shall instruct the Board to reconvene to reconsider the assessment. Where the Board after reconsideration of the issues raised in the appeal retains its original decision, the Dean of the Faculty shall decide whether the recommendation of the Board should be accepted or rejected.

29.2.3 The Committee shall not have authority to permit the resubmission of a thesis for a degree by research where a Committee of Examiners following due process, has recommended rejection of the thesis or resubmission for a lower degree. If the appeal reveals failure on the part of a Department or a Faculty to meet the standards set by the Code of Practice for Postgraduate Research Degrees, the student may raise a complaint under the Complaints Procedure contained in Section XXXI of the University Calendar Committee.

### 29.3 Lodging an Appeal

#### Time within which an appeal is to be lodged and late appeals

29.3.1 Where an appeal lies against an academic decision in terms of Section 28.3; *Definition of an Appeal*, the appeal or an intimation of intention to appeal shall be submitted in writing to the Faculty Secretary/Clerk for the attention of the Dean of the relevant Faculty, within 10 working days of the intimation to the student of the decision against which the student is appealing. Where an intention to appeal is submitted, the full appeal including the grounds and the remedy shall be submitted within 20 working days of the date of the letter intimating intention to appeal.

29.3.2 An application for an extension of time for submitting an appeal beyond 20 working days shall be made in writing to the Faculty Secretary/Clerk for the attention of the Dean of the relevant Faculty and shall include sufficient information concerning the nature of the appeal, shall state the grounds on which an extension of time is sought and be accompanied by such evidence of medical or other adverse personal circumstances as are relevant to the application.

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<sup>22</sup> External adjudication will be provided by the Scottish Public Services Ombudsman (<http://www.scottishombudsman.org.uk/>).

29.3.3 An application for extension of time for submitting an appeal shall not be granted unless the Convener of the Faculty Appeals Committee is satisfied that the student was precluded from appealing within 20 working days as a result of serious illness or other circumstances which are both exceptional and relevant to the appeal.

29.3.4 A letter of appeal or other documents required for the consideration of an appeal shall be treated as having been given or sent on the day that it is received by the Faculty Secretary/Clerk; and any letter or document sent to any person including the student in connection with the appeal shall, if sent to the person's last notified address, be treated as having been given or sent on the day that it was posted.

### Grounds for Appeal

29.3.5 A Faculty Appeals Committee shall entertain an appeal against a decision of an academic body only on the following grounds:

- i) unfair or defective procedure;
- ii) a failure to take account of medical or other adverse personal circumstances.

29.3.6 In the case of a claim of unfair or defective procedure, evidence in the form of written statements or formal documents such as the Minute of the Board of Examiners must be provided. Advice on a subject data access request can be obtained from the Data Protection Office at:

[www.gla.ac.uk/dataprotection/subject\\_access.html](http://www.gla.ac.uk/dataprotection/subject_access.html)

29.3.7 In the case of a claim of a failure to take account of medical or other adverse personal circumstances, the student shall be referred to Section 28.3; *Definition of an appeal*.

### Content of a letter of appeal to a Faculty

29.3.8 A letter of appeal shall state:

the name and address of the student and the telephone number and email address, if available;

the decision appealed against;

all the grounds for the appeal: additional grounds may be admitted subsequently only at the discretion of the Convener; additional grounds presented at a hearing may lead to adjournment of the hearing;

the remedy or remedies which the student seeks;

the name and address of any person whom the student has appointed as a representative or who will accompany the student at the hearing;

whether the student wishes to be present at an oral hearing or whether he/she is content for the appeal to be considered without his/her presence.

### Evidence of medical or other adverse personal circumstances

29.3.9 A student who wishes to appeal on grounds of medical or other adverse personal circumstances shall provide a medical report<sup>23</sup> from his/her General Practitioner, Hospital Consultant or University Health Service. The medical report shall detail the severity, duration and possible impact of the medical condition on the student's academic performance. Where the student wishes to appeal on the grounds of adverse personal circumstances, a written statement by an independent witness must be provided. The report shall detail the severity, duration and possible impact of the circumstances.

29.3.10 Where the student has failed to notify Head of Registry and or the Faculty or Departmental Administrator of medical or other adverse personal circumstances in compliance with paragraph 17.1 (ii) of the Code of Practice on Incomplete Assessment and Good Cause, the letter of appeal shall contain a statement explaining the exceptional circumstances which prevented notification within the stated time.

## 29.4 Faculty Appeals Committee - Constitution

29.4.1 Each Faculty shall establish a Faculty Appeals Committee (hereinafter referred to as the Committee) which shall have full powers to decide appeals.

29.4.2 The Committee shall be constituted as follows:

- i) The Committee shall be convened by the Dean of the Faculty or his/her nominee
- ii) Up to twelve members will be drawn from the membership of the Faculty. The membership will be individuals with experience of assessment, teaching and supervision at undergraduate and postgraduate (including research) levels. One member shall be appointed as the Vice-Convener.
- iii) Two members drawn from the membership of the Appeals Committee of another Faculty.

29.4.3 The membership of the Committee shall be reported to Senate annually. Members shall normally serve for a period of three years.

29.4.4 No member of the Senate Appeals Committee shall be entitled to serve on the Committee. Where a member of the Committee has participated directly in the decision appealed against, that member shall not sit for that individual appeal.

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<sup>23</sup> A charge in excess of £20 may be made by a GP for provision of a medical report.

29.4.5 The quorum of the Committee shall be three.

29.4.6 The Committee may have the assistance of a legal adviser.

29.4.7 The Faculty Secretary/Clerk of the Faculty concerned or his/her nominee shall act as Clerk to the Committee.

## 29.5 Consideration of Appeals

### Power to give directions

29.5.1 The Dean of the Faculty or his/her nominee may direct the student (or his or her representative) or any party to the proceedings to furnish additional evidence, information or explanation as may be thought to be appropriate.

29.5.2 A direction to the student (or his or her representative) shall state the period of time by which the student shall respond in writing following which the appeal may be dismissed by the Dean.

### Preliminary disposal

29.5.3 The Dean of the Faculty or his/her nominee in consultation with two members of the Faculty Appeals Committee may make a preliminary disposal in order to accelerate a decision or where the student is no longer available for a hearing. The Dean of the Faculty may:

- i) dismiss the appeal because the subject-matter does not fall within the scope of paragraph 29.3.5;
- ii) dismiss the appeal because no competent grounds have been stated or because the appeal is frivolous or vexatious or because the appeal is out of time or because the student failed to comply with a direction made;
- iii) dismiss the appeal because it does not establish a *prima facie* case that the decision appealed against involved defective or unfair procedure, or a failure to take relevant evidence of adverse personal circumstances into account;
- iv) dismiss the appeal because the evidence submitted could reasonably have been presented to the Board of Examiners or other academic body;
- v) refer the appeal directly to the appropriate academic body responsible for the application of the progress regulations or to the Board of Examiners with whatever guidance or direction he/she considers appropriate;
- vi) refer the appeal to a full hearing before the Faculty Appeals Committee. Provision of a hearing does not imply that a *prima facie* case has been established.

29.5.4 The Dean of the Faculty may also take such other interim action by way of direction as he/she deems appropriate.

29.5.5 The Clerk to the Committee shall state in the letter to the student (or his or her representative) intimating the outcome of the preliminary disposal the reasons for the decision and shall provide the papers which were considered by the Committee.

29.5.6 An appeal which has been dismissed under preliminary disposal may be reinstated if the student (or his or her representative) makes representations with reasons why the case should not have been dismissed. The representation and the reasons shall be made in writing within 10 working days of the date of letter intimating the outcome of the preliminary disposal.

## 29.6 Arrangements for a Hearing Before the Faculty Appeals Committee

### Timing of the hearing

29.6.1 When a hearing is required, the Committee shall meet within 20 working days of receipt of the letter of appeal or as soon thereafter as is practicable.

### Preparation of papers

29.6.2 The Clerk of the Committee shall:

- i) request reports and information including information relating to the manner in which the decision appealed against was reached;
- ii) request the attendance of any person or persons whose presence is necessary for the hearing of the appeal;
- iii) provide the student (or his or her representative) normally within 10 working days in advance of the hearing with a copy of all papers which will be before the Committee and the names of those persons who will be in attendance. The papers will normally be sent by Recorded Delivery/University Courier or may at the student's request be collected in person.
- iv) notify the student (or his or her representative) no less than 5 working days prior to the hearing of the date, time and location of the hearing and the names of the members of the Committee who will consider the case.

## 29.7 Attendance at Hearing

29.7.1 Where the student is prevented from attending by ill health, the hearing shall normally be deferred on submission of a medical certificate. If the student does not attend on the date appointed and no notification of the absence has been received, if the Convener is satisfied that the student has received due notice of the hearing, the Committee may proceed to deal with the case and to reach a decision in the student's absence.



29.7.2 The student shall have the right to be accompanied at the hearing by one of the following: a parent or guardian; a fellow student or other friend or to be formally represented by an Officer of the Students' Representative Council; a member of the University staff or any other appointed representative. Where the student seeks to have two individuals in attendance, one shall attend as an observer only.

29.7.3 The student may name any person or persons he/she wishes to be present to provide evidence on his/her behalf. The name of any person or persons called by the student to provide evidence shall be provided to the Clerk of the Committee no later than 10 working days before the date of the hearing. The student shall be responsible for arranging the attendance of such persons at the hearing with the exception of members of staff of the University who shall be notified of the date, time and location of the hearing by the Clerk to the Committee.

29.7.4 If any person or persons are unable or unwilling to attend the hearing, the Convener of the Committee shall be responsible for deciding if the hearing should proceed on the date arranged or be deferred. A written statement may be presented by any person who has been invited to attend the hearing but is not available at the date specified.

29.7.5 The hearing shall be held in private. Strict confidentiality shall be observed.

## **29.8 Expert Advice**

29.8.1 Where the Committee requires the advice of an expert to deal with a question of fact or special difficulty, such an expert shall provide a written report and where appropriate shall be invited to attend the hearing to provide evidence.

## **29.9 Procedure for the Conduct of a Hearing**

29.9.1 The Committee shall rely only on evidence presented at the hearing. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.

29.9.2 The hearing shall be conducted in the presence of all persons invited to attend to provide evidence.

29.9.3 Any unauthorised electronic recording of the hearing is expressly forbidden by the University

### **Statements**

29.9.4

- i) At the hearing, the Convener shall invite the student and his or her representative to make a statement. If the student declines the invitation to make a statement, the Committee shall reserve the right to question the student directly.
- ii) The Committee shall then address any questions to the relevant parties including those appearing to advise the Committee and shall afford the student and his/her representative an opportunity to question the persons involved through the Convener.
- iii) The Committee shall consider any request from any person present at the hearing to make a statement or to put questions through the Committee to anyone whom the Committee has examined.
- iv) The Committee shall afford the student an opportunity to make a final statement or to have one made on his or her behalf.
- v) The Convener shall seek confirmation from all parties that all necessary and relevant information has been conveyed to the Committee, that the questioning is complete and that in the opinion of the student, the hearing has been conducted in a fair manner.

### **Deliberation of the Committee**

29.9.5 Thereafter all persons except the Committee, its Clerk and any legal adviser appointed to advise the Committee shall retire while the Committee considers its decision. The Committee shall reach its decision or defer the decision pending further investigations.

### **Rules of evidence**

29.9.6 In reaching its decision, the Faculty Appeals Committee shall not be bound by the rules of evidence. The Committee shall attempt to ascertain all relevant facts with a view to coming to a reasonable disposal.

### **Adjournment**

29.9.7 At any stage the Convener may adjourn the hearing if he/she considers this to be necessary.

## **29.10 Disposal**

29.10.1 The Committee shall decide the matter at the conclusion of its consideration of the appeal or as soon as possible thereafter.

29.10.2 The Committee may decide by a majority.

29.10.3 The Committee may:

- i) dismiss the appeal because the subject matter of the appeal does not fall within the scope of Section XXVIII paragraph 3;
- ii) dismiss the appeal because the decision appealed against did not involve defective or unfair procedure, or a failure to take relevant medical or adverse personal circumstances into account;

- iii) refer the appeal to the appropriate committee or to a Board of Examiners with whatever guidance or direction it considers appropriate;
- iv) uphold the appeal and grant whatever remedy it considers fair in the circumstances which does not involve overturning an academic judgement.

29.10.4 The decision and the reasons for the decision, with reference to any findings of fact, will be provided in writing to the student and his or her representative by Recorded Delivery normally within 10 working days of the decision being determined. If it is not possible to provide the decision and the reasons for the decision within this timescale, the student will be informed of the reason for the delay and a new timescale will be provided.

29.10.5 Where an appeal is upheld, the University shall defray reasonable and proportionate incidental expenses necessarily incurred by the student in the process of pursuing the appeal.

29.10.6 Incidental expenses are those which arose out of the pursuit of an appeal. They might include travelling expenses or photocopying expenses. Expenses should be reasonable and proportionate. The claim should be supported by evidence in the form of receipts. Where the claim relates to travel expenses, these should be at the lowest rate that could be obtained taking account of the circumstances of the claim.

29.10.7 Incidental expenses do not include the cost of obtaining legal advice. An appellant may decide to be represented by a lawyer. This expense is not considered to be necessary as the processes of the University are provided as an alternative to the process of judicial review.

29.10.8 A claim for expenses should be made on a Complaints Expenses form and submitted to the Director of the Senate Office within 20 working days of the date of the letter of outcome of the appeal.

### **29.11 Annual Review**

The Faculty Appeals Committee shall review its proceedings annually.

## **XXX CODE OF PROCEDURE FOR APPEALS TO THE SENATE APPEALS COMMITTEE**

### **30.1 Senate Assessors for Appeals**

30.1.1 The Senate shall appoint two Senate Assessors for Student Appeals, one of whom shall be the Senior Senate Assessor for Student Appeals and the other shall be his or her deputy. The term of office shall normally be three years.

30.1.2 The duties of the Senate Assessors for Student Appeals shall include consideration of the admissibility of late appeals, directing the student with respect to further information, consideration of appeals under the preliminary disposal procedure, convening a hearing before the Senate Appeals Committee, notifying the outcome to the student and reporting the outcome with any recommendations to Senate.

### **30.2 Jurisdiction of the Senate Appeals Committee**

30.2.1 The Senate Appeals Committee shall consider appeals by Undergraduate Students, Taught Postgraduate Students and Research Postgraduate Students against a decision of a Faculty Appeals Committee which falls within the scope of grounds for an appeal to Senate.

30.2.2 The Committee shall not have authority to alter the decision of a Board of Examiners. If relevant factors are raised by the appeal which should have been made known to the Board of Examiners or which the Board failed to take into account, the Committee shall instruct the Board to reconvene to reconsider the assessment. Where the Board after reconsideration of the issues raised in the appeal retains its original decision, the Dean of the Faculty shall decide whether the recommendation of the Board should be accepted or rejected.

30.2.3 The Committee shall not have authority to permit the resubmission of a thesis for a degree by research where a Committee of Examiners following due process, has recommended rejection of the thesis or resubmission for a lower degree. If the appeal reveals failure on the part of a Department or a Faculty to meet the standards set by the Code of Practice for Postgraduate Research Degrees, the student may raise a complaint under the Complaints Procedure contained in Section XXXI of the University Calendar.

### **30.3 Lodging an Appeal**

#### **Time within which an appeal is to be lodged and late appeals**

30.3.1 Where an appeal lies against a decision of the Faculty Appeals Committee in terms of paragraph 30.4.1 below, the appeal or an intimation of intention to appeal shall be submitted in writing to the Director of the Senate Office for the attention of the Senior Senate Assessor for Student Appeals, within 10 working days of the intimation to the student of the decision against which the student is appealing. Where an intention to appeal is submitted, the full appeal shall be submitted within 20 working days of the date of the letter intimating the intention to appeal.

30.3.2 An application for an extension of time for submitting an appeal beyond 20 working days shall be made in writing to the Director of the Senate Office for the attention of the Senior Senate Assessor for Student Appeals and shall include sufficient information concerning the nature of the appeal, shall state the grounds on which an extension of time is sought and be accompanied by such evidence of medical or other adverse personal circumstances as are relevant to the application.

30.3.3 An application for extension of time for submitting an appeal shall not be granted unless the Senior Senate Assessor for Student Appeals or his or her deputy, is satisfied that the student was precluded from appealing within 20 working days as a result of serious illness or other circumstances which are both exceptional and relevant to the appeal.

30.3.4 A letter of appeal or other documents required for the consideration of an appeal shall be treated as having been given or sent on the day that it is received by the Director of the Senate Office; and any letter or document sent to any person including the student in connection with the appeal shall, if sent to the person's last notified address, be treated as having been given or sent on the day that it was posted.

### **30.4 Grounds for Appeal**

30.4.1 An appeal may be made to the Senate Appeals Committee against a decision of a Faculty Appeals Committee only on the grounds that:

- i) new evidence has emerged which could not reasonably have been produced to the Faculty Appeals Committee and/or
- ii) there has been defective procedure at Faculty level and/or
- iii) the disposal at Faculty level was manifestly unreasonable.

30.4.2 Evidence of medical or other adverse personal circumstances must be provided in accordance with the Code of Incomplete Assessment and Good Cause (see Section XVII).

30.4.3 In the case of a claim of unfair or defective procedure, evidence in the form of written statements or formal documents such as the Minute of the Board of Examiners must be provided. Advice on a subject data access request can be obtained from the Data Protection Office at:

[www.gla.ac.uk/dataprotection/subject\\_access.html](http://www.gla.ac.uk/dataprotection/subject_access.html)

30.4.4 Where the student claims that the disposal at Faculty level was unreasonable; the student must state in writing the respects in which he/she believes that the Faculty Appeals Committee erred in coming to its decision or was mistaken in its decision.

### **30.5 Content of a Letter of Appeal to the Senate Appeals Committee**

30.5.1 A letter of appeal shall state:

- i) the name and address of the student and the telephone number and email address, if available;
- ii) the decision appealed against;
- iii) all the grounds for the appeal: additional grounds may be admitted subsequently only at the discretion of the Convener; additional grounds presented at the hearing may lead to adjournment of the hearing;
- iv) the remedy or remedies which the student seeks;
- v) the name and address of any person whom the student has appointed as a representative or who will accompany the student at the hearing;
- vi) whether the student wishes to be present at an oral hearing or whether he/she is content for the appeal to be considered without his/her presence.

30.5.2 Where a student has failed to present to the Faculty Appeals Committee medical or other adverse personal circumstances, the letter of appeal shall contain a statement explaining the exceptional circumstances which prevented this evidence from being presented previously.

### **30.6 Senate Appeals Committee - Constitution**

30.6.1 The Committee shall be constituted as follows:

- i) The Senior Senate Assessor for Student Appeals or his/her deputy shall convene the Committee.
- ii) Two members nominated by each Faculty to serve for a period of three years. The nominees will be individuals with experience of assessment, teaching and supervision at undergraduate and postgraduate (including research) levels. One member shall be appointed as a Senate Assessor for Student Appeals and shall be the deputy to the Senior Assessor.

30.6.2 The membership of the Committee shall be reported to Senate annually. Members shall normally serve for three years.

30.6.3 A representative of the student body may attend the hearing in the role of observer unless the student has expressed the wish that no such representative shall be present.

30.6.4 Where a member of the Committee has participated directly in the decision appealed against or has an affiliation to the Faculty appealed against, that member shall not sit for that appeal.

30.6.5 The quorum of the Committee shall be five. Exceptionally the Committee shall have powers to co-opt up to two members of Senate in order to obtain a quorum.

30.6.6 The Committee may have the assistance of a legal adviser.

30.6.7 The Director of the Senate Office or his or her deputy shall act as Clerk to the Committee.

### 30.7 Consideration of Appeals

#### Power to give directions

30.7.1 Upon receipt of a written appeal, the Senior Senate Assessor for Student Appeals or his or her deputy may direct the student (or his or her representative) or any party to the proceedings, to furnish additional evidence, information or explanation as may be thought to be appropriate.

30.7.2 A direction to the student (or his or her representative) shall state the period of time by which the student shall respond in writing following which the appeal may be dismissed by the Senior Senate Assessor.

#### Preliminary disposal

30.7.3 The Senior Senate Assessor for Student Appeals or his/her deputy in consultation with two members of the Senate Appeals Committee may make a preliminary disposal in order to accelerate a decision or where the student is no longer available for a hearing. The Senior Senate Assessor may:

- i) dismiss the appeal because the subject-matter of the appeal does not fall within the scope of paragraph 30.4 above;
- ii) dismiss the appeal because no competent grounds have been stated or because the appeal is frivolous or vexatious or because the appeal is out of time or because the student failed to comply with a direction made in terms of paragraph 30.7.1 and 30.7.2 above;
- iii) dismiss the appeal because it does not establish a *prima facie* case that disposal at Faculty level involved defective or unfair procedure, or a failure to take relevant medical evidence or adverse personal circumstances into account or was manifestly unreasonable;
- iv) dismiss the appeal because the new evidence submitted by the student could reasonably have been presented to the Faculty Appeals Committee;
- v) set aside the decision of the Faculty and refer the appeal to the appropriate academic body responsible for the application of the progress regulations or to the Board of Examiners with whatever guidance or direction it considers appropriate;
- vi) refer the appeal to the Faculty Appeals Committee with whatever guidance or direction it considers appropriate, which may include a direction that the appeal is heard again by a Committee which is not constituted by any member who was involved in the first decision;
- vii) refer the appeal to the Senate Appeals Committee for a full hearing. Provision of a hearing does not imply that a *prima facie* case has been established.

30.7.4 The Senior Senate Assessor or his or her deputy may also take such other interim action by way of direction as he or she deems appropriate.

30.7.5 The Clerk to the Committee shall state in the letter to the student (or his or her representative) intimating the outcome of the preliminary disposal the reasons for the decision and shall provide the papers which were considered by the Committee.

30.7.6 An appeal which has been dismissed under preliminary disposal may be reinstated if the student (or his or her representative) makes representation stating the reasons why the appeal should not have been dismissed. The representation and the reasons shall be made in writing within 10 working days of the date of the letter intimating the outcome of preliminary disposal.

### 30.8 Arrangements and Procedure for a Hearing

#### Timing of the hearing

30.8.1 When a hearing is required, the Committee shall meet within 20 working days of receipt of the letter of appeal or as soon thereafter as it practicable.

#### Preparation of papers

30.8.2 The Clerk of the Committee shall:

- i) request a copy of the papers which were before the Faculty Appeals Committee and a report of the hearing including information relating to the manner in which the decision appealed against was reached;
- ii) request any other reports or information relevant to the appeal
- iii) request the Dean of the Faculty to provide a written response to the statements made in the letter of appeal and to name any person or persons whom the Dean wishes to appear to provide evidence;
- iv) provide the student (or his or her representative) normally within 10 working days in advance of the hearing with a copy of all papers which will be before the Committee and the names of those persons who will be in attendance. The papers will normally be sent to the student by Recorded Delivery/University Courier or may at the student's request be collected in person.
- v) notify the student (or his or her representative) no less than 5 working days prior to the hearing of the date, time and location of the hearing and the names of the members of the Committee who will consider the case.

### **30.9 Attendance at Hearing**

30.9.1 Where the student is prevented from attending by ill health, the hearing shall normally be deferred on submission of a medical certificate. If the student does not attend on the date appointed and no notification of the absence has been received, if the Senior Senate Assessor or his/her deputy is satisfied that the student has received due notice of the hearing, the Committee may proceed to deal with the case and to reach a decision in the student's absence.

30.9.2 The student shall have the right to be accompanied at the hearing by one of the following: a parent or guardian; a fellow student or other friend or to be formally represented by an Officer of the Students' Representative Council; a member of the University staff or any other appointed representative. Where the student seeks to have two individuals in attendance, one shall attend as an observer only.

30.9.3 The student may name any person or persons he/she wishes to be present to provide evidence on his/her behalf. The name of any person or persons called by the student to provide evidence shall be provided to the Clerk of the Committee no later than 10 working days before the date of the hearing. The student shall be responsible for arranging the attendance of such persons at the hearing with the exception of members of staff of the University who shall be notified of the date, time and location of the hearing by the Clerk to the Committee.

30.9.4 If any person or persons are unable or unwilling to attend the hearing, the Senior Senate Assessor for Student Appeals shall be responsible for deciding if the hearing shall proceed on the date arranged or be deferred. A written statement may be presented by any person who has been invited to attend the hearing but who is not available at the date specified.

30.9.5 The hearing shall be held in private. Strict confidentiality shall be observed.

### **30.10 Expert Advice**

Where the Committee requires the advice of an expert to deal with a question of fact or special difficulty, such an expert shall provide a written report and where appropriate shall be invited to attend the hearing to provide evidence.

### **30.11 Procedure for the Conduct of a Hearing**

30.11.1 The Committee shall rely only on evidence presented at the hearing. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.

30.11.2 The hearing shall be conducted in the presence of all persons invited to attend to provide evidence.

30.11.3 Any unauthorised electronic recording of the hearing is expressly forbidden by the University.

#### **Statements**

30.11.4 At the hearing:

- i) The Convener shall invite the student and his or her representative to make a statement. If the student declines the invitation to make a statement, the Committee shall reserve the right to question the student directly.
- ii) The Committee shall then address any questions to the relevant parties including those appearing to advise the Committee and shall afford the student and his/her representative an opportunity to question the persons involved through the Convener.
- iii) The Committee shall consider any request from any person present at the hearing to make a statement or to put questions through the Committee to anyone whom the Committee has examined.
- iv) The Committee shall afford the student an opportunity to make a final statement or to have one made on his or her behalf.
- v) The Convener shall seek confirmation from all parties that all necessary and relevant information has been conveyed to the Committee, that the questioning is complete and that in the opinion of the student, the hearing has been conducted in a fair manner.

#### **Deliberation of the Committee**

30.11.5 Thereafter all persons except the Committee, its Clerk and any legal adviser appointed to advise the Committee shall retire while the Committee considers its decision. The Committee shall reach its decision or defer the decision pending further investigations.

#### **Rules of evidence**

30.11.6 In reaching its decision, the Faculty Appeals Committee shall not be bound by the rules of evidence. The Committee shall attempt to ascertain all relevant facts with a view to coming to a reasonable disposal.

#### **Adjournment**

30.11.7 At any stage the Convener may adjourn the hearing if he/she considers this to be necessary.

### **30.12 Disposal**

30.12.1 The Committee shall decide the matter at the conclusion of its consideration of the appeal or as soon as possible thereafter.

30.12.2 The Committee may decide by a majority

30.12.3 The Committee may:

- i) dismiss the appeal because the subject matter of the appeal does not fall within the scope of Section XXVIII paragraph 3;
- ii) dismiss the appeal because the disposal at Faculty level did not involve defective or unfair procedure, or a failure to take relevant medical or adverse personal circumstances into account or was not manifestly unreasonable;
- iii) dismiss the appeal because the new evidence submitted by the student could reasonably have been produced to the Faculty Appeals Committee
- iv) dismiss the appeal because the appeal is frivolous or vexatious; or if it is considered that the student suffered no material prejudice
- v) refer the appeal to the appropriate Faculty Committee or to a Board of Examiners with whatever guidance or direction it considers appropriate
- vi) uphold the appeal and grant whatever remedy it considers fair in the circumstances which does not involve overturning an academic judgement.

30.12.4 The decision and the reasons for the decision, with reference to any findings of fact, will be provided in writing to the student and his or her representative by Recorded Delivery normally within 10 working days of the decision being determined. If it is not possible to provide the decision and the reasons for the decision within this timescale, the student will be informed of the reason for the delay and a new timescale will be provided.

30.12.5 Where an appeal is upheld, the University shall defray reasonable and proportionate incidental expenses necessarily incurred by the student in the process of pursuing an appeal.

30.12.6 Incidental expenses are those which arose out of the pursuit of an appeal. They might include travelling expenses or photocopying expenses. Expenses should be reasonable and proportionate. The claim should be supported by evidence in the form of receipts. Where the claim relates to travel expenses, these should be at the lowest rate that could be obtained taking account of the circumstances of the claim.

30.12.7 Incidental expenses do not include the cost of obtaining legal advice. An appellant may decide to be represented by a lawyer. This expense is not considered to be necessary as the processes of the University are provided as an alternative to the process of judicial review.

30.12.8 A claim for expenses should be made on a Complaints Expenses form and submitted to the Director of the Senate Office within 20 working days of the date of the letter of outcome of the appeal.

### 30.13 Reference Back to a Faculty

30.13.1 The Senate Appeals Committee may decide to refer the matter to the Faculty Appeals Committee where it considers:

- i) that evidence made available to the Senate Appeals Committee had not been presented to the Faculty Appeals Committee, or
- ii) that there had been defective procedure at the Faculty level.

30.13.2 In the first case, the Senate Appeals Committee may decide to refer the matter to the Faculty Appeals Committee as originally constituted to hear the appeal in order to permit that Committee to hear the case *ab initio*.

30.13.3 In the second case, the matter shall be considered by a newly constituted Faculty Appeals Committee.

30.13.4 Where an appeal is made to the Senate against the decision of the Faculty Appeals Committee following a reference back, it shall be competent for the Senior Senate Assessor for Student Appeals or his/her deputy, in consultation with at least two other members of the original Appeals Committee, either to dismiss the appeal or to recall the Senate Appeals Committee to hear the case.

### 30.14 Annual Review

30.14.1 The Senate Appeals Committee shall review its proceedings annually including a review of actions taken in respect of recommendations to Senate.

30.14.2 This shall conclude the internal processes of the University.

### 30.15 Independent External Review

If the appellant is dissatisfied with the outcome of an appeal to Senate, he/she shall have the right to a review by an external adjudicator<sup>24</sup>, details of which shall be available from the Senate Office.

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<sup>24</sup> External adjudication will be provided by the Scottish Public Services Ombudsman (<http://www.scottishombudsman.org.uk/>).

## XXXI COMPLAINTS PROCEDURE

### 31.1 Introduction

The University has a duty to maintain and enhance the quality of its provision and to provide an effective system for handling appeals and complaints. This section provides the procedure for investigating and resolving complaints where the complaint does **not** relate to an academic decision on progress, assessment or award directly affecting the complainant. A complaint concerning an academic decision of this nature is considered under the Appeals Code contained in Sections XXVIII, XXIX and XXX.

### 31.2 Principles

31.2.1 Complainants should have a full opportunity to raise individually or collectively, matters of proper concern to them without fear of disadvantage and in the knowledge that privacy and confidentiality will be respected.

31.2.2 While privacy and confidentiality will be respected, it will be necessary to reveal the identity of the complainant in the course of the investigation and the complainant should be informed at the outset that the details of the complaint and his/her identity will be revealed to individuals from whom a response is required in the process of investigating the complaint.

31.2.3 Every effort should be made to resolve the matter quickly at the source of the complaint.

31.2.4 The procedures should be straightforward, fair and transparent.

31.2.5 The procedure should operate in accordance with the University's Equal Opportunities Policy which requires that complainants will be treated fairly and consistently without discrimination.

31.2.6 Complainants should be directed to the University website for information on the complaints procedure and should be directed to where they can seek advice including the Students' Representative Council:

[www.glasgowstudent.net/](http://www.glasgowstudent.net/)

31.2.7 Information and documentation material to the complaint should be provided by the complainant and by the University while taking account of the privacy, confidentiality and reasonable interests of any relevant third parties. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.

31.2.8 The University should provide a process for investigating a complaint and for reviewing the investigation and its outcome.

31.2.9 The investigation of a complaint should normally commence within 10 working days of receipt of the complaint. All parties should be kept informed every 10 working days of the progress of the investigation.

31.2.10 A complaint should only be raised by a third party in the case of a person under the age of 18, or where the complainant has provided written authority for a third party to act on his/her behalf.

31.2.11 A formal record should be kept at each stage of consideration of the complaint specifying the details of the complaint, the nature of any investigation and the outcome including any actions taken. The complainant should be provided with a letter detailing the outcome.

31.2.12 Where a complaint is upheld, the University should defray reasonable and proportionate incidental expenses necessarily incurred by the complainant in the process of pursuing the complaint.

31.2.13 Where a complaint is upheld and there is evidence that the University's provision fell significantly below the standard which could reasonably have been expected, the University should provide reasonable and proportionate compensation.

31.2.14 Where a complaint is upheld, the University should ensure that appropriate remedial action is taken.

31.2.15 When the internal processes provided by the University have been completed, the complainant should be provided with a completion of procedures letter and details of the process of external review.

31.2.16 The University is not under an obligation to investigate frivolous, vexatious or malicious complaints or complaints previously dealt with or to enter into further correspondence if a reasonable response has been provided.

### 31.3 Definition of a Complaint

31.3.1 A complaint is defined as an expression of grievance or dissatisfaction to the effect that the University (which includes its employees and its students) has failed in its dealings with the complainant to meet either its own promised standards or standards that could reasonably be expected.

31.3.2 If the complaint concerns an academic decision relating exclusively to the complainant, it is likely that the matter should be considered under the Code of Procedure for Appeals. If the complaint concerns the quality of supervision or teaching which the complainant considers contributed to a failure to achieve a required academic standard, the matter is better considered under the Complaints Procedure.

### 31.4 Who May Raise a Complaint and Within What Timescale

31.4.1 Any person including a registered student, former student, graduate of the University or applicant may raise a complaint. In the case of a complaint raised jointly, a lead person shall be identified who will represent those raising the complaint.

31.4.2 A complaint shall not normally be considered if it is received after 12 months of the last incident to which the complaint refers or after 6 months if the complainant has left the institution, whichever is the earlier. An extension to this time limit shall be granted only where the Clerk of Senate accepts as reasonable, the explanation for the delay in presenting the complaint.

31.4.3 It may be appropriate for a complaint against a student by a member of staff to be considered under the Harassment Policy and Procedures for staff provided by the Human Resources Department:

[www.gla.ac.uk/services/humanresources/harassment\\_policy.htm](http://www.gla.ac.uk/services/humanresources/harassment_policy.htm)

31.4.4 A complaint raised by a student against a member of staff shall normally be considered under this Complaints Procedure.

### **31.5 Extent of Authority of the Complaints Procedure**

31.5.1 A complaint which is upheld in whole or in part may result in a revision to University policy or procedure or an alteration to the practice of an academic department, administrative department or support service. It may result in a change to supervisory, teaching or assessment arrangements.

31.5.2 A complaint, even if upheld, will not result in a change to an academic decision. If this is the desired outcome, the matter should be referred to the Faculty Appeals Committee.

31.5.3 A complaint against another student, even if upheld, shall not lead directly to the imposition of a penalty but may be referred to the Senior Senate Assessor for Discipline for investigation under the Code of Discipline.

31.5.4 A complaint against a member of staff, even if upheld, shall not lead directly to disciplinary action but may be referred to the Director of the Human Resources Department for investigation under the appropriate procedure.

### **31.6 Informal Consideration of a Complaint**

31.6.1 Prior to submitting a formal complaint, complainants should discuss the matter with the Head of the Academic Department, Head of the Administrative Department or Support Service, an Adviser of Studies, Supervisor, Course Co-ordinator, Faculty Administrator or other member of staff in an attempt to resolve the matter informally.

31.6.2 Complaints concerning the quality or organisation of programmes of study should be referred in the first instance to the appropriate Staff/Student Committee through the Class/Year Representative or the Students' Representative Council (SRC) Faculty Convener. A list of representatives and Faculty Conveners can be obtained from the SRC who may assist a student in seeking an informal resolution.

[www.glasgowstudent.net/](http://www.glasgowstudent.net/)

31.6.3 Where the complaint relates to bullying, harassment, racial discrimination or an infringement of equal rights, students should refer to the University's equal opportunities web page before submitting a formal complaint.

Guidance can be found on the following website:

[www.gla.ac.uk/services/humanresources/eopolicy.htm](http://www.gla.ac.uk/services/humanresources/eopolicy.htm)

31.6.4 International students may also discuss the matter with the International Student Adviser in an attempt to resolve the matter informally.

31.6.5 Research students should normally discuss the matter with the Graduate School Administrator before submitting a formal complaint.

### **31.7 Formal Consideration of a Complaint (Stage 1)**

31.7.1 If a complainant remains dissatisfied after making a reasonable attempt to resolve the complaint through an informal process he/she shall have the right to invoke the formal procedure described below.

31.7.2 The complainant may be represented or advised by the Students' Representative Council or by any other formally appointed representative. It is expected that the complainant will attend in person any meeting concerning the investigation of the complaint. (See section 31.9 below which states the University policy with regard to expenses incurred by a complainant.)

31.7.3 Where the complaint is against a student, the student complained against may be represented by the Students' Representative Council or by any other appointed representative.

31.7.4 Where the complaint is against a member of staff, the member of staff may be represented by a Union official or any other representative.

31.7.5 The details of the complaint shall be set out on the Complaint Form (Stage 1). The name and address of any representative appointed by the complainant shall be stated. The complaint shall be submitted to the senior member of staff responsible for provision in the area of the complaint. If the complaint is against that senior member of staff, the complaint shall be submitted to the person next in seniority in the management structure

31.7.6 The general categories of complaints are listed below with the appropriate website to assist with the identification of the senior member of staff:

#### **The quality of a programme of study in terms of its content or its delivery:**

Head of Department/Division/School/Centre



[www.gla.ac.uk/departments/index.html](http://www.gla.ac.uk/departments/index.html)

**The quality or accuracy of advice provided by an Adviser of Studies, timetabling clashes, restrictions of choice within a degree programme**

Chief Adviser of Studies in the Faculty concerned.

[www.gla.ac.uk/faculties/index.html](http://www.gla.ac.uk/faculties/index.html)

**The quality of research supervision and or quality of facilities for research.**

Head of the Graduate School of the Faculty in which the student is studying.

[www.gla.ac.uk/faculties/](http://www.gla.ac.uk/faculties/)

**The management of an application for admission to a programme of study**

Director of the Student Recruitment and Admissions Service.

[www.gla.ac.uk/sras/index.html](http://www.gla.ac.uk/sras/index.html)

**Bullying, harassment, racial discrimination, infringement of equal opportunities**

Head of Department/Division/School/Centre or Head of Administrative Department or Support Service where the complaint arose. The Equal Opportunities section within Staff Development Service will provide advice on the conduct of the investigation.

[www.gla.ac.uk/services/humanresources/eopolicy.htm](http://www.gla.ac.uk/services/humanresources/eopolicy.htm)

**The management of a request under the Data Protection Act**

Data Protection Officer

[www.gla.ac.uk/dataprotection/](http://www.gla.ac.uk/dataprotection/)

**The quality of provision by an administrative department or support service**

Head of the appropriate administrative department or support service

[www.gla.ac.uk/services/](http://www.gla.ac.uk/services/)

31.7.7 The senior member of staff listed above shall normally be responsible for conducting the investigation but where it is anticipated that an investigation may be complex or sensitive, he/she may appoint an investigator to conduct the investigation on his/her behalf.

31.7.8 The investigation of a complaint shall normally commence within 10 working days of receipt of the complaint. All parties shall be informed every 10 working days of the progress of the investigation.

31.7.9 A copy of the complaint shall be sent to the person(s) against whom the complaint is raised and a written response shall be requested.

31.7.10 Normally the complainant and the person(s) against whom the complaint is raised shall meet separately with the investigator. If there is agreement from both parties, a joint meeting shall be held in addition to or instead of separate meetings.

31.7.11 The investigator shall be entitled to consider all evidence available, written or otherwise.

31.7.12 The investigator may issue a summary of the facts so that the parties can comment on any material inaccuracies.

31.7.13 If the investigation is carried out on behalf of the senior member of staff, the investigator shall submit a written report to the senior member of staff.

31.7.14 Where the complaint is upheld in whole or in part, the senior member of staff shall determine or shall recommend:

- a) a course of action which he/she considers to be fair in the circumstances or
- b) that the complaint may have merit but would be better considered in another forum

31.7.15 Where a particular course of action is required or recommended, the member of staff with responsibility for the investigation, shall ensure that the action has been carried out within a reasonable timescale.

31.7.16 At the conclusion of the investigation, the member of staff responsible for the investigation shall complete Sections 3 and 4 of the Complaints form (Stage 1). A letter shall be sent to the complainant and, where appropriate, the person(s) complained against, stating the outcome of consideration of the complaint, the reasons for any decision reached and a statement of any action or actions arising from consideration of the complaint. A copy of the completed Complaints Form (Stage 1) shall be sent with the letter of outcome.

31.7.17 The member of staff listed in paragraph 31.7.6 above, is not under obligation to investigate frivolous, vexatious or malicious complaints or complaints previously dealt with or to enter into further correspondence if a reasonable response has been provided.

### 31.8 Review of a Complaint (Stage 2)

31.8.1 Where a complainant considers that a complaint has not been given proper consideration under the procedure described in section 31.7 above, namely Stage 1 of the procedure or where the complainant is not satisfied with the outcome of the consideration of the complaint under Stage 1, the complainant may request a review of the complaint.

31.8.2 A complaint which has not been considered by the procedure described in section 31.7 above, namely Stage 1 of the procedure or where consideration has commenced but has not been completed under Stage 1, shall be referred to the appropriate member of staff listed in section 31.7.

31.8.3 The complainant may be represented or advised by the Students' Representative Council or by any other appointed representative. It is expected that the complainant will attend in person any meeting concerning the review of the investigation of the complaint.

31.8.4 Where the complaint is against a student, the student complained against may be represented by the Students' Representative Council or by any other appointed representative.

31.8.5 Where the complaint is against a member of staff, the member of staff may be represented by a Union official or any other appointed representative.

31.8.6 A request for a review of a complaint shall be submitted to one of the reviewers listed in paragraph 31.8.9 below on the Complaint Form (Stage 2) within 10 working days of the intimation to the complainant of the outcome of the investigation of the complaint under Stage 1 of the procedure.

31.8.7 The complainant shall state the grounds for requesting a review of the investigation and shall submit the completed Complaint Form (Stage 1) with a copy of the correspondence and documentation relating to the investigation.

31.8.8 An application for an extension of the time beyond 10 working days shall not be granted unless the Reviewer is satisfied that the complainant was precluded from requesting the review as a result of serious illness or other circumstances which are both exceptional and relevant to the complaint.

31.8.9 The review shall be carried out by a reviewer identified by the category of complaint as listed below:

a) **Academic complaints** relating to such matters as quality of programmes, delivery of programmes, academic advice, quality of supervision or facilities and admission to a programme of study.

Reviewer: One of two Senate Assessors for Academic Complaints appointed by the Senate.

b) **Equal opportunities complaints** relating to such matters as bullying, harassment, racial discrimination, infringement of equal opportunities.

Reviewer: Line Manager of the senior member of staff responsible for the investigation at Stage 1 of the procedure. The Equal Opportunities section within Staff Development Service will provide advice on the conduct of the review.

c) **Compliance with legislation complaints** relating to such legislation as the Data Protection Act, Race Relations Amendment Act and the Disability Discrimination Act.

Reviewer: Secretary of Court

d) **Quality of Administrative Departments and Support Services complaints** relating to such services as the Accommodation Service, Computing Service, Registry, Senate Office, Student Counselling and Advisory Service, Sport and Recreation Service, Library, University Health Service.

Reviewer: Head of Division

31.8.10 The reviewer shall declare any material interest in the complaint and shall, where there is a material interest, refer the complaint to his/her deputy.

31.8.11 The reviewer shall normally commence the process of review within 10 working days of receipt of the complaint. All parties shall be informed every 10 working days of the progress of the investigation.

31.8.12 The reviewer shall send a copy of the Complaint Form (Stage 2) to the member of staff who was responsible for the investigation at Stage 1 of the procedure with a request for a response to the issues raised. The Reviewer may seek additional information from the complainant or others associated with the complaint.

31.8.13 Face to face meetings shall be held if required. The complainant and the person(s) complained against shall have the right of representation at such meetings.

31.8.14 The reviewer shall be entitled to consider all evidence available, written or otherwise.

31.8.15 The reviewer may issue a summary of the facts so that the parties can comment on any material inaccuracies

31.8.16 Where the complaint is upheld in whole or in part, the reviewer shall determine or shall recommend:

- a) a course of action which he/she considers to be fair in the circumstances or
- b) that the complaint may have merit but would be better considered in another forum

31.8.17 Where a particular course of action is determined or recommended, the reviewer shall ensure that the action has been carried out within a reasonable timescale.

31.8.18 At the conclusion of the review, the reviewer shall complete Sections 3 and 4 of the Complaints form (Stage 2). A letter shall be sent to the complainant and where appropriate the person(s) complained against, stating the outcome of consideration of the complaint, the reasons for any decision reached and a statement of any action or actions arising from consideration of the complaint. A copy of the completed Complaints Form (Stage 2) shall be sent with the letter of outcome.

31.8.19 In addition to the letter of outcome, the complainant shall receive a letter stating that the internal processes of the University are complete.

31.8.20 The reviewer is not under an obligation to investigate frivolous, vexatious or abusive complaints or complaints previously dealt with or to enter into further correspondence if a reasonable response has been provided.

### **31.9 Policy for the Payment of Incidental Expenses**

31.9.1 The University may pay reasonable and proportionate incidental expenses necessarily incurred by the complainant if a complaint is upheld.

31.9.2 Incidental expenses are those which arose out of the pursuit of the complaint. They might include travelling expenses or photocopying expenses. Expenses should be reasonable and proportionate. The claim should be supported by evidence of the expenditure in the form of receipts. Where the claim relates to travel expenses, these should be at the lowest rate that could be obtained taking account of the circumstances of the claim.

31.9.3 Incidental expenses do not include the cost of obtaining legal advice. A complainant may decide to be represented by a lawyer. This expense is not considered to be a necessary expense as the processes of the University are provided as an alternative to the process of judicial review.

31.9.4 A claim for expenses should be made on a Complainant Expenses Form and submitted to the Director of the Senate Office within 20 working days of the date of the letter of outcome from the investigator or reviewer of the complaint.

### **31.10 Policy for the Payment of Compensation**

31.10.1 The University may pay compensation if a complaint is upheld.

31.10.2 Compensation is intended to make restitution for costs necessarily incurred by the complainant during a period of study or to compensate for inconvenience or distress where the investigation or review revealed that the University's provision has fallen significantly below the standard which could reasonably have been expected.

31.10.3 Where a complainant considers that there has been personal loss or damages arising from the circumstances of the complaint, a claim for compensation shall be stated in the remedy on the Complaints Form (Stage 1).

31.10.4 A decision by the University to award compensation shall not prejudice the right of the complainant to pursue a judicial review.

### **31.11 Policy on Unacceptable Action by Complainants**

If a complainant acts in an unacceptable manner, the response of the University will be guided by the policy of the Scottish Public Services Ombudsman<sup>25</sup>.

### **31.12 Independent External Review**

If a complainant is dissatisfied with the outcome of an investigation and internal review of a complaint, he/she shall have the right to an external review<sup>26</sup>, details of which shall be available from the Senate Office.

### **31.13 Report of Academic Complaints to Senate**

A report on the academic complaints reviewed by the Senate Assessors for Academic Complaints shall be made annually to Senate.

### **31.14 Freedom of Information Act**

The University has a separate review procedure for complaints relating to the handling of any requests for information subject to the terms of either the Freedom of Information (Scotland) Act 2002 or the Environmental Information (Scotland) Regulations 2004. The Freedom of Information Request Review Procedure can be viewed at <http://www.gla.ac.uk/foi/reviewprocedure.html>.

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<sup>25</sup> The SPSO Policy on Unacceptable Actions by Complainants may be found at: <http://senate.gla.ac.uk/complaints/spsopolicy.doc>

<sup>26</sup> External review will be provided by the Scottish Public Services Ombudsman (<http://www.scottishombudsman.org.uk/>).

## XXXII REGULATIONS AND CODE OF CONDUCT FOR USE OF INFORMATION TECHNOLOGY FACILITIES IN THE UNIVERSITY OF GLASGOW<sup>27</sup>

### Introduction

32.1 These Regulations apply to the use of all computer software, digital information, data networks and computer systems used for University purposes by any Staff, Students, Visitors or others granted access. This includes use of any computer system or digital information accessed over the campus data network or remotely via the Joint Academic Network (JANET) or otherwise.

1. The Rules in Part 1 apply to any member of the University making use of IT Facilities described above.
2. The Rules in Part 2 apply to members of the University in relation to software copyright and the *Code of Conduct for the use of Software* described therein.
3. The Rules in Part 3 apply to any member of the University in relation to the use of data and application of the *Data Protection Principles* described therein.
4. The Rules in Part 4 relate to the use of computer systems by members of the University. It is the responsibility of Users to become familiar with the Rules that apply to the particular IT Facilities and systems they utilise for University purposes.
5. The Rules in Part 5 relate specifically to the use of computer systems run by the Computing Service.

32.2 Any Staff, Students, Visitors or others granted access to Information Technology facilities who breach these Regulations may be dealt with by the appropriate Disciplinary Procedures in force within the University of Glasgow. A breach of these Regulations may constitute a criminal offence.

### Definitions

#### Appropriate Authority:

an individual or a group of individuals under whose control a System is placed;

#### System or IT Facility:

a system or facility which is within the scope of these Regulations as described above;

#### User:

any person or persons granted authority to use a System or Systems whether such authority is granted to them individually or by reason of their being a member or part of a group which is authorised to use a System. Authority will only be granted to a person or group where that person or group agrees to be bound by these Regulations.

#### User ID:

a form of unique identifier which is given to a User by the Appropriate Authority which, together with a personal password of the User, is used to identify and authenticate the User when accessing a System.

### Acceptable Use of IT Facilities

32.3 This section, which is available separately, is an integral part of the regulations, but is intended to convey the ethos of the full regulations in an informal style.

1. Before any use is made of computing or networking facilities in the University you must register as a user. If you are a student or a member of staff of the University you are required to adhere to the University's policies and procedures. If your status is properly recorded in the relevant administrative databases you can register as a computer user by a standard process. If you are not a student or a member of staff, as part of the registration process you will sign a form which states that you have read the *Regulations and Code of Conduct for the Use of IT Facilities* and agree to be bound by them. These are a formal statement of the rules that apply to the use of the facilities. Copies of these regulations are posted on notice boards and are published in the *University Calendar*. This document is an informal guide to what constitutes acceptable behaviour when using the University's computing facilities and which will help guarantee conformance with these regulations.
2. When you register you will be given a user id and a password. This user id is your personal identification and along with your password serves to authenticate you to the system and to grant access to the facilities you are authorised to use. You must keep your password secure and secret. You should not allow any other individual to access the computer facilities by way of your user id nor should you use or attempt to use the facilities through someone else's user id. You should not do anything that attempts to find out another user's user id/password combination. All of these activities are technically offences under the *Computer Misuse Act, 1990*. In general, your use of the computing facilities should not interfere with or cause difficulties for other users. Any attempt to gain access to information or facilities owned by another user and to which you have not been granted authorisation is prohibited.
3. As a user you will have access to electronic mail facilities. These are provided to improve communications among staff and students for matters relating to their roles within the University and for career development. Personal use is permitted so long as it is demonstrably reasonable and judicious. It should be noted that sending electronic

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<sup>27</sup> Also at [www.gla.ac.uk/services/computing/regulations/regulations.html](http://www.gla.ac.uk/services/computing/regulations/regulations.html)

mail to a bulletin board or even to a list of recipients constitutes publishing the contents and the *Guidelines for Electronic Publishing* should be followed.

4. As a user you will also have access to the vast quantities of information that is available on the internet, particularly via the World Wide Web. Again these facilities are provided to enable access to information relevant to your work within the University and for career development. Personal use is again permitted so long as it is demonstrably reasonable and judicious. Specifically use should not involve access to material of a nature which might bring discredit to you or the University, e.g. material of a pornographic, criminal or offensive nature. If you need to access information as part of your particular university work which might be questionable, you should clear this use in advance with your Head of Department and the Director of the Computing Service should be notified.
5. There are many ways that as a user you will be able to make information available to other users, both other users of the University's network or externally to users of the internet. In particular, many of you will be able to publish material on the World Wide Web. The *Guidelines for Electronic Publishing* should be followed, and nothing should be published in this way which could be considered to be discreditable. Again, if publication of questionable material is essential as part of your academic work, this should be cleared with your Head of Department and the Computing Service Department.
6. The University operates on the basis of trust. However, if there are reasonable grounds for suspecting that an individual is engaging in activities which are in breach of the regulations or of the various guidelines, the University reserves the right to investigate fully. In the event that misuse is suspected the University will take appropriate action to investigate the matter which may include direct monitoring of the use made by the user. Such monitoring will require the permission of the Secretary of the University Court or his or her nominee. If misuse is established, disciplinary action will be taken, referring the matter to the police in the event of contravention of legislation.
7. As a feature of your use of the computing facilities you will gain access to a large amount of software and other computer based information. Virtually all of this material is subject to copyright. Copies of this material may not be made without the approval of the copyright owner; software in particular may not be copied for use on other machines nor may it be passed on to other people or even other users within the University unless explicit permission to do so has been obtained.

## Part 1. General Rules

32.4 Users must ensure that their use of IT Facilities complies with all applicable laws. These include the following:

*Data Protection Acts, 1984 and 1998*  
*Telecommunications Act, 1984*  
*Computer Copyright Software Amendment Act, 1985*  
*Copyright, Designs and Patents Act, 1988*  
*Computer Misuse Act, 1990*  
*Criminal Justice and Public Order Act, 1994*

32.5 Members of the University using computing equipment owned, leased or operated by the University or connecting their own equipment to the University Network must comply with the regulations set down by any Appropriate Authority within the University. Users must ensure that network connections are not utilised for unauthorised access to Systems. Users seeking further information about network usage should consult the Director of the Computing Service. Rules that apply to centrally operated equipment are delineated in Part 5. Where other special rules may apply, the advice of the Director of the Computing Service, or other Appropriate Authority should be sought before any commitments are made. These special rules will cover payments due to the University for the use of its equipment and will protect the University from any claims for damages etc. which may arise from such use.

32.6 The University will not accept unreserved responsibility for any loss of software or data which has not been entered into a system backed up regularly by the University, nor for any inconvenience caused to users of IT Facilities by such loss or by any breakdown of computing equipment.

32.7 IT Facilities may not be used in a way which improperly interferes with other Users' legitimate use of the facilities. Users may not by any wilful or deliberate act endanger the integrity of the equipment, its system programs or any other stored information. 'Hacking' and other unauthorised use of computing equipment, whether situated on University premises or elsewhere, is explicitly forbidden.

32.8 Any commercial exploitation of programs developed using University IT Facilities must be carried out according to regulations issued by the University from time to time. Information on these regulations can be obtained from the Director of Research and Enterprise.

## Part 2. Rules for Use of Software

32.9 Users must ensure that all the requirements of the agreements or contracts under which licensed software is made available by the University (including Public Domain or 'Shareware' conditions of use) are maintained and must comply with any published usage restrictions. They must also comply with the Code of Practice for the Use of Software, given below.

### Code of Practice for the Use of Software

- a) Software will be used for educational purposes only, unless explicit arrangements have been made for other purposes. A definition of 'Educational Use' is provided below.

- b) The University will maintain a central record of software available for use in the Institution together with details of licensing arrangements. (Records of centrally licensed software are maintained by the Computing Service. Departments are responsible for maintaining lists of currently held software and for establishing the legality of all their holdings.)
- c) All users of software are expected to make themselves aware of the conditions under which it may be used before starting to use a particular product.
- d) The University will organise arrangements for back-up, copying and distribution of software and documentation subject to the conditions of the licence. (This activity is supported by the Computing Service.)
- e) In the event of termination of the licence, users will be notified and should endeavour to remove all active copies of the software and take steps to ensure that archive copies are not used.

#### **Definition of 'Educational Use'**

32.10 The Educational Use of a Software Product is use by any person authorised under the terms of the Licensee for the purposes of the normal business of an Educational Establishment. Such use of the Software Product includes the following:

- a) Teaching.
- b) Research.
- c) Personal educational development.
- d) Administration and management of courses and the educational policy of the Educational Institution.
- e) Development work associated with any of the above.

The following are excluded:

- a) Consultancy or services where the Software Product is commercially exploited.
- b) Work of significant benefit to the employer of students on industrial placement or part-time courses.

### **Part 3. Rules Concerning the Use of Data**

32.11 Members of Staff processing personal data are responsible for ensuring that this is carried out in accordance with the *Data Protection Acts, 1984 and 1998*, and with the Data Protection Principles (see below). Any holdings of personal data must be registered internally with the University's Data Protection Officer. The control of students using such data is the responsibility of the member of staff supervising them. The Secretary of Court shall have the power to withdraw access to IT Facilities from any person deemed to be in breach of the requirements of the Act, and to require the modification or deletion of personal data in order to ensure compliance with the Act. Copies of Guidelines on the Act are available from the Data Protection Officer. It is the user's responsibility to comply with these guidelines; in particular the Senate Regulations concerning the disclosure of examination marks must be observed. Users must treat as privileged any information not provided or generated by themselves which may become available to them through their use of IT Facilities; no part of such information may be copied, modified, disseminated or used without the permission of the appropriate person or body.

32.12 Users of personal data should take appropriate security measures against unauthorised access to, or alteration, disclosure or destruction of, that data and against its accidental loss or destruction.

#### **The Data Protection Principles**

1. Personal data shall be processed fairly and lawfully and not processed unless certain conditions are met and in the case of "sensitive" personal data further conditions are met. [processing includes collection]
2. Personal data shall be obtained for one or more specified and lawful purposes and must not be processed in any manner that is incompatible with that purpose or purposes.
3. Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.
4. Personal data shall be accurate and, where necessary, kept up to date.
5. Personal data held for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.
6. Personal data shall be processed in accordance with the rights of data subjects under the 1998 Act.

[An individual shall be entitled at reasonable intervals and without undue delay or expense:

- to be informed by any data user whether he holds personal data of which that individual is the subject;
- and to have access to any such data held by a data user;
- and where appropriate: to have such data corrected or, in some cases, destroyed.]

7. Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.
8. Personal data shall not be transferred to a country outside the European Economic Area, unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

#### Part 4. Rules for the Use of All IT Facilities

32.13 Each System will be under the control of an Appropriate Authority.

32.14 The Appropriate Authority of a System has the power to set out the conditions of use of that System by a User and to modify these from time to time.

32.15 The conditions of use will include the Appropriate Authority issuing a User ID to a user and will require the User to adopt a personal password for the purposes of identifying and authenticating the User when accessing a System.

32.16 Any authority granted to a User to use a System is limited to the User to whom authority has been granted, in particular:

- a) authority given to a User may not be extended or transferred to any other person or persons;
- b) the User may not allow any other person (whether a User or otherwise) to access a System by way of his or her personal User ID and personal password. A User is required to keep and maintain as secret his or her personal password;
- c) a User must not use or access a System for any illegal or unauthorised purpose;
- d) a User must not store or to make publicly accessible any data, text, image or programme which is unlawful or, whether lawful or not, is discreditable to the University or does not accord with the aims or objectives of the University.

Access to a system without appropriate authority constitutes, at least, a technical offence under the Computer Misuse Act.

32.17 The Director of the Computing Service shall have the power to remove from the University data network, any System which is interfering with the operation of the network or which is being used for purposes which contravene these regulations.

#### Part 5. Rules for the Use of Computing Service IT Facilities

32.18 No person or persons may use the facilities of the Computing Service without due authorisation given, where required, by the Computing Service on behalf of the University. Computing Service facilities may be utilised by members of the University in accordance with the appropriate arrangements for access and booking.

32.19 Permission to access computer systems and data networks is given on the understanding that the facilities are used only for approved purposes and only by the person or persons by whom or on whose behalf the request or booking was made. Use must not be made of computing resources allocated to another person or group of persons unless such use has been specifically authorised by the Computing Service.

32.20 Any user of confidential information is responsible for the confidentiality of this information. The Service cannot give any warranty or undertaking about the security or confidentiality of data or other material submitted to or processed by the Computing Service or otherwise deposited or left in the Computing Service areas, except for data and other material covered by the *Data Protection Act* and notified to the Computing Service under the provisions of Rule 3.

32.21 Although the Computing Service will take all possible care to prevent the corruption of information, it cannot guarantee the integrity of information stored on its equipment. Users should make particular arrangements to protect their information from the effects of computer viruses. It is the responsibility of the User to maintain adequate backup copies of valuable information.

32.22 In the event of an apparent breach of these rules by a User, the Director of the Computing Service has the authority summarily to withdraw the facilities allowed to the User.

32.23 Use of Computers by Students.

1. Permission is granted to students to access computer systems to carry out only bona fide University work and for other approved purposes. Where a specific allocation of computer resources has been made, a student is not entitled to authorise any other person to use his or her facilities, nor to use facilities provided for anyone else, save with the permission of a Member of Staff having overall responsibility for the work. If a student has been given access to group facilities, use of them must be strictly limited to the purpose for which access to them was authorised. Students must observe local rules that apply in the case of particular microcomputer clusters.
2. *Bona fide* University work is that authorised and supervised by a responsible Member of Staff. Work carried out in fulfilment of course requirements meets this condition; other work is permitted only subject to its being authorised by and supervised by a Member of Staff.
3. Where a student violates the Regulations and Code of Conduct set out above, minor infringements shall be dealt with by the Director of the Computing Service or his or her nominee. The Director of the Computing Service may report major breaches of the Regulations and Code of Conduct to the Clerk of Senate or the Head of the Senate Office for action under the Code of Discipline where there was *prima facie* evidence of intention to breach the Regulations and Code of Conduct, and where sanctions beyond those set out in the Code dealing with minor infringements might be invoked.

## XXXIII PLAGIARISM STATEMENT

### Introduction

33.1 The University's degrees and other academic awards are given in recognition of a student's personal achievement. All work submitted by students for assessment is accepted on the understanding that it is the student's own effort.

33.2 Plagiarism is defined as the submission or presentation of work, in any form, which is not one's own, without acknowledgement of the sources. Special cases of plagiarism can also arise from one student copying another student's work or from inappropriate collaboration.

33.3 The incorporation of material without formal and proper acknowledgement (even with no deliberate intent to cheat) can constitute plagiarism. Work may be considered to be plagiarised if it consists of:

- a direct quotation;
- a close paraphrase;
- an unacknowledged summary of a source;
- direct copying or transcription.

With regard to essays, reports and dissertations, the rule is: if information or ideas are obtained from any source, that source must be acknowledged according to the appropriate convention in that discipline; and any direct quotation must be placed in quotation marks and the source cited immediately. Any failure to acknowledge adequately or to cite properly other sources in submitted work is plagiarism. Under examination conditions, material learnt by rote or close paraphrase will be expected to follow the usual rules of reference citation otherwise it will be considered as plagiarism. Departments should provide guidance on other appropriate use of references in examination conditions.

33.4 Plagiarism is considered to be an act of fraudulence and an offence against University discipline. Alleged plagiarism, at whatever stage of a student's studies, whether before or after graduation, will be investigated and dealt with appropriately by the University.

### Referral

33.5 Where a student is suspected of plagiarism<sup>28</sup> the member of staff shall refer the case to the Head of Department<sup>29</sup> or equivalent (hereinafter referred to as Head of Department) along with all appropriate documentary evidence (the piece of work in question duly marked-up, a copy of the original source of the plagiarism, information on the contribution of the piece of work to the overall assessment, etc). Any further departmental consideration of that piece of work shall be held in abeyance until the procedures set out below have been completed. The student shall be informed in writing that his or her marks have been withheld pending an investigation of suspected plagiarism.

33.6 The Head of Department shall assess the extent of the suspected plagiarism and, if necessary, consult with the Senior Senate Assessor for Discipline. The Head of Department will deal with suspected cases that are first offences and not considered to be severe. The Head of Department will refer all suspected second offences and cases of severe plagiarism directly to the Clerk of Senate or to the Director of the Senate Office for investigation under the provisions of the Code of Discipline.

33.7 Whilst there is no definitive list, examples of cases which would be regarded as severe plagiarism include:

- i) any case of serious and or blatant plagiarism when considered in relation to the student's level of study and length of exposure to the procedures, practices and regulations of the University;
- ii) a first offence where a reduction in marks would put at risk the student's degree or direct progression;
- iii) any case, regardless of extent, where it is inappropriate to deal with it within a department.

### Procedure before the Head of Department

33.8 At all times the principles of natural justice shall be observed.

33.9 With respect to cases that are first offences and not considered to be severe, the Head of Department shall interview the student concerned. He or she can also interview any students who have allegedly allowed their work to be copied. As soon as practicable, the student will be informed in writing of the alleged offence and of the requirement to attend for interview. The student will also be provided with a copy of the marked-up piece of work in advance of the interview.

33.10 The student shall have the right to be accompanied, assisted or represented at the interview by one of the following: a parent or guardian; a fellow student or other friend; an Officer of the Students' Representative Council; a member of University staff, or any other representative. At the beginning of the interview, the Head of Department will

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<sup>28</sup> If a student suspects a fellow student of plagiarism then he or she should speak to a member of staff in the department concerned. The identity of the student making the report shall remain confidential.

<sup>29</sup> Where the Head of Department has a potential conflict of interest (e.g. teaches or examines on the course concerned) then he or she should pass the case to another senior member of academic staff in the Department. In the case of small departments, where it may not be possible to pass the case to another senior member of academic staff, the case should be passed to the Head of a cognate department.



ascertain who is to be the spokesperson for the student (the student or a representative). The foregoing notwithstanding, the Head of Department shall have the right to question the student directly, where necessary.

33.11 The Head of Department shall have a member of support staff present to keep a record of the meeting.

33.12 At the interview, the student will be shown a copy of his or her work, duly marked-up and be given a clear explanation of what he or she has allegedly done. The student will be given the opportunity to justify the work and be invited to admit or deny responsibility.

33.13 If the Head of Department is satisfied beyond all reasonable doubt that an offence has occurred he or she may impose an academic penalty, which will take account of the extent of the plagiarism. The Head of Department may reduce the marks or results up to the point where the academic rating for the piece of work in question is reduced to Grade H. Consideration will also be given to resubmission opportunities; the maximum mark that can be awarded to any resubmission is the pass mark appropriate to the degree programme being followed. The student shall be given instruction about plagiarism and the necessity of properly acknowledging and referencing sources.

If it is judged that the case is of a more serious nature than first believed, the Head of Department may refer the case onwards for consideration by the Senate Assessors for Discipline.

33.14 If the Head of Department is not satisfied that an offence has occurred but considers that the student has engaged in poor academic practice then the student should receive a warning, instruction about plagiarism and the necessity of properly acknowledging and referencing sources.

33.15 The student will be notified in writing of the outcome. A copy will be kept on record in the Senate Office.

33.16 If it is judged that there is no case for the student to answer, the student will be informed in writing and the piece of work in question will be marked in accordance with normal arrangements, without penalty. The Senate Office does not need to be notified of such instances.

33.17 The Head of Department shall inform the Board of Examiners of any reduction in marks. The Board of Examiners shall not have the authority to revisit or alter academic penalties imposed by this process.

### **Right of Appeal**

33.18 The student shall have the right of appeal to the Senate Assessors for Discipline in respect of any penalty imposed by the Head of Department. A student who wishes to appeal must do so in writing to the Director of the Senate Office within 14 days of the date of the issue of the written decision of the Head of Department.

33.19 The Senate Assessors for Discipline will consider an appeal against the penalty imposed by a Head of Department only on the grounds that:

- i) new evidence has emerged which could not reasonably have been produced to the Head of Department;
- ii) there has been defective procedure at the Head of Department level;
- iii) the penalty imposed by the Head of Department was clearly unreasonable.

The letter of appeal must clearly specify the details of any new evidence, the manner in which the procedures were defective or in what respects he or she believes the Head of Department has erred or been mistaken in imposing a penalty. The letter should also specify the remedy that the student seeks.

### **Plagiarism in the Work of a Graduate**

33.20 The University will investigate any suspected case of plagiarism in the work of a graduate, which has already been assessed for an award of the University, to determine if the nature and extent of the plagiarism had been material to the award of the degree, diploma or certificate, or class within the degree.

33.21 All such cases will be considered as severe plagiarism. The Head of Department will conduct an investigation and refer the case to the Clerk of Senate or the Director of the Senate Office in accordance with 33.6 above.

## **XXXIV CODE OF DISCIPLINE**

The Code of Discipline is governed by a Resolution of the University Court.

### **Basis of Jurisdiction**

34.1 Under the Universities (Scotland) Acts all students of the University are subject to the jurisdiction of the Senate, in respect both of their studies and of their conduct. In this regard, the Senate shall act through Assessors and a Disciplinary Committee. Students attending Associated Institutions are, in addition, subject to the disciplinary procedure of these Institutions (published separately); but no such student may be subject to this Code and the disciplinary procedure of an Associated Institution in respect of the same disciplinary offence.

34.2 All students are subject to the Code of Discipline in respect of:

- a) activities in which they engage in their capacity as students of the University; or
- b) services or facilities they enjoy by virtue of being a student of the University; or
- c) their presence in the vicinity of, or their access to, any premises owned, leased or managed by the University; or

d) any activity that would not otherwise be covered by a), b) or c) above, but is considered to affect adversely the safety, interests or reputation of the University, its students, employees or authorised representatives.

34.3 This Code does not seek to reflect or incorporate the approach of the criminal law. Nevertheless, at all times the principles of natural justice shall be observed.

### **Disciplinary Offences**

34.4 All students of the University are required at all times to be of good behaviour and to observe all regulations which may be made from time to time by the University. By registering, or by enrolling on any University course, a student becomes subject to the discipline of the University. For avoidance of doubt the University may take action under the Code of Discipline in respect of a breach of duty even although the student concerned is no longer registered or enrolled at the University.

34.5 There is no definitive list of disciplinary offences but, without prejudice to the generality of the foregoing, the following would be regarded as disciplinary offences. For the purposes of this clause 34.5, "Person" shall mean any student of the University; any employee of the University; any visitor to the University; any subcontractor employed by the University or any other authorised representative of the University whatsoever.

- i) Making use of unfair means in any University assessment or assisting a candidate making use of such unfair means;
- ii) Engaging in misconduct in research;
- iii) Disrupting, or interfering with, any academic, administrative, sporting, social or other University activity;
- iv) Obstructing, or interfering with, the functions, duties or activities of any Person;
- v) Behaving in a disorderly, threatening, offensive, indecent or violent manner or using threatening, offensive or indecent language (whether expressed orally or in writing), without prejudice to a student's right to the freedom of thought or expression;
- vi) Behaving in a way likely to cause injury to any Person or impair safety;
- vii) Discriminating against any Person on grounds such as age, disability, gender, political or religious beliefs, race, ethnic or national origin, sexual orientation or socio-economic background;
- viii) Harassing any Person;
- ix) Engaging in fraud, deception, misrepresentation, personation or other forms of dishonesty (including the falsification or serious misuse of University documents, including degrees, diplomas and certificates) in relation to the University or in connection with holding any office in the University or in relation to being a student of the University;
- x) Damaging or defacing University property or the property of any Person;
- xi) Stealing or misappropriating University property (including funds) or the property of any Person;
- xii) Misusing or making unauthorised use of University premises or items of property, including misusing IT facilities or safety equipment;
- xiii) Deliberately doing, or failing to do, anything which thereby causes the University to be in breach of a statutory obligation;
- xiv) Possessing, using or supplying a controlled drug as defined by the Misuse of Drugs Act 1971 (as amended from time to time);
- xv) Failing, upon request, to disclose name and other relevant details to an officer or employee of the University in circumstances where it is reasonable to require that such information be given;
- xvi) Making false, frivolous, malicious or vexatious complaints, without prejudice to a student's right to raise academic and other concerns through formal procedures;
- xvii) Conduct that brings the reputation of the University into disrepute;
- xviii) Conduct that is likely to render a student unfit to practise any particular profession to which the student's course leads directly;
- xix) Failing to comply with a previously-imposed penalty under this Code.

34.6 Detailed regulations governing, for example, libraries, the use of IT facilities, the use of automatically processed personal data (in connection with academic work), membership of the University student unions, Halls of Residence and other University accommodation and the Sport and Recreation Service are published separately. Minor breaches of these regulations may be dealt with in accordance with the provisions of these regulations; major breaches of these regulations may be dealt with under the provisions of this Code.

### **Misconduct and the Criminal Law**

34.7 Where the University believes that a criminal offence may have been committed, it may refer the matter to the police.

34.8 A finding of guilt or an acquittal in a criminal court shall not preclude proceedings under this Code in respect of the same incident.

34.9 The University may, at its discretion, await the outcome of any criminal proceedings before deciding whether to initiate any internal action in respect of alleged criminal misconduct.

34.10 The University may, at its discretion, suspend any internal disciplinary action in respect of alleged criminal misconduct to await the outcome of any criminal proceedings.

34.11 Where a student is convicted of an offence, that conviction may be relied upon as evidence in any University disciplinary proceedings provided that the circumstances leading to that conviction are directly relevant to those proceedings.

34.12 Any sentence or order pronounced by a criminal court shall be taken into account in the imposing of any penalty under this Code.

### **Assessors for Discipline**

34.13 The Senate shall appoint from its members a minimum of five Assessors for Discipline (hereafter described as Assessors), who shall hold office for a period of four years. The Senate shall appoint annually for one year a Senior Assessor from amongst the Assessors. No Assessor shall be a member of the Disciplinary Committee. Any of the duties of the Senior Assessor may be performed by any of the Assessors.

### **Disciplinary Committee**

34.14 A Disciplinary Committee shall be appointed by the Senate. The Committee shall consist of the Principal who shall be the Convener but who may delegate his or her authority to one of the Vice Principals; three members of the Senate nominated by each Faculty who shall be persons of experience, one of whom shall retire annually; and two students who shall be nominated annually in the Martinmas term by the Students' Representative Council. Five members shall constitute a quorum. Decisions of the Committee shall be by a majority, with the Convener having a casting vote, if necessary. The Committee may have the assistance of a legal adviser.

### **Referral**

34.15 The University shall have the power to take action to suspend a student from either all or part of the University at the University's discretion where it is of the opinion that it is necessary to take such action pending further investigation under this Code.

34.16 Any allegation that a student of the University has committed a disciplinary offence may be reported by or through an officer or member of staff of the University, or by or through any student, to the Senior Assessor through the Head of the Senate Office. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.

### **Procedure Before the Assessors**

#### **Allegation that a student of the University has committed a disciplinary offence**

34.17 Prior or subsequent to an interview with the student against whom an allegation under 34.16 is made, the Assessors are entitled to conduct such investigation as they consider appropriate. Such investigation may include interviews with the person who reported the alleged offence and officers, members of staff and students of the University and, if necessary, members of the public. After such investigation the Assessors may decide not to proceed any further with the case.

34.18 If the identity of the student against whom an allegation under 34.16 is known, or believed to be known, he or she may be required to attend for an interview with the Assessors. Where a student of the University is alleged to have committed a disciplinary offence which in the opinion of the University is of a serious nature, the Senior Assessor in consultation with another Assessor may, having determined there is a *prima facie* case, make a preliminary disposal to refer the case directly to the Senate Discipline Committee for a full hearing.

34.19 As soon as practicable the student will be informed in writing and be provided with details of the alleged offence and of the requirement to attend for interview.

34.20 Exceptionally, where circumstances prevent a student attending an interview in person (such as, through illness or where a student is overseas), the Assessors may decide to take evidence by way of a written statement as opposed to the appearance of the student and or his or her representative before the Assessors. The Assessors will consider any such written statement in the same way as any oral statement.

34.21 The student shall have the right to be accompanied, assisted or represented at the interview by one of the following: a parent or guardian; a fellow student or other friend; an Officer of the Students' Representative Council; a member of University staff, or any other appointed representative. At the interview, the Assessor will ascertain who is to be the spokesperson for the student (himself or herself or a representative). Nonetheless, the Assessors shall have the right to question the student directly, where necessary. Those accompanying or assisting shall be given the opportunity to contribute at the invitation of the Assessor conducting the interview. The Assessors shall be assisted by a clerk who will take a record of the meeting.

34.22 Any unauthorised electronic recording of the hearing is expressly forbidden by the University.

34.23 At the interview the student shall be informed of the particulars of the alleged offence, be given the opportunity to respond and be invited to admit or deny responsibility.

34.24 If responsibility is admitted or if the case is determined under 34.25 (b)(i) on the basis of beyond reasonable doubt:

- a) the Assessors shall invite the student, or any representative, to make a statement in explanation or extenuation of the offence or in mitigation of the penalty;
- b) thereafter, the Assessors may, as appropriate:
  - i) admonish the student;
  - ii) issue a reprimand or a severe reprimand;
  - iii) order the student to make restitution, without financial limit, for damage done to University or private property or costs incurred by the University or another party;
  - iv) impose a monetary penalty not exceeding £200;
  - v) order the student to perform some duty in the service of the University up to a maximum of 24 hours, no more than 2 hours to be undertaken consecutively and subject to such supervision as the Assessor may decide;
  - vi) rescind the result of the assessment or examination diet in issue;
  - vii) impose an academic penalty in the case of an academic offence;
  - viii) suspend the student from the University, or part of the University, for a period not exceeding twelve weeks, or permit the student to continue subject to conditions;
  - ix) select any combination of the above penalties.
- c) The Assessors shall inform the relevant Board of Examiners where an academic penalty is imposed. The Board of Examiners shall not revisit or alter the penalty imposed.
- d) The Assessors may also require the student to write a letter of apology to a wronged party.
- e) In the event that a monetary penalty is imposed or where restitution is required, the timing and method of payment will be at the discretion of the Assessors.
- f) Should the Assessors consider that the penalties available to them are inadequate, they may refer the matter to the Disciplinary Committee.
- g) The student has the right of appeal to the Disciplinary Committee in respect of any penalty imposed by the Assessors. The procedures are set out under 34.33-34.36 below.

34.25 If responsibility is not admitted, the Assessors may:

- a) determine that no further action is required; or
- b)
  - i) in the case of minor offences, determine the case on the basis of beyond reasonable doubt based on the evidence available. The procedures under 34.24 then apply; or
  - ii) in the case of serious offences, refer the matter to the Disciplinary Committee; or
- c) conduct further investigations, as permitted under 34.17 and then proceed as in (a) or (b) above.

#### **Appeal to the Senate Assessors for Discipline**

34.26 A student has the right of appeal to the Senate Assessors for Discipline against a penalty imposed by a Head of Department under the Plagiarism Statement or by another university officer as set out in 34.6 above.

34.27 The Assessors will consider an appeal against the penalty imposed only on the grounds that:

- a) new evidence has emerged which could not reasonably have been produced at the first stage;
- b) there has been defective procedure at the first stage
- c) the penalty imposed was clearly unreasonable.

The letter of appeal must clearly specify the details of any new evidence, the manner in which the procedures were defective or in what respects he or she believes the Head of Department or other officer have erred or been mistaken in imposing a penalty. The letter should also specify the remedy that the student seeks.

34.28 Upon receipt of a written appeal, the Senior Assessor, after consultation with one other Assessor, may:

- a) dismiss the appeal because it is out of time or the appellant has failed to bring the appeal within any of the grounds specified in 34.27 (a)-(c) above;
- b) refer the appeal for consideration where grounds for appeal are established.

34.29 Where grounds for appeal are established, the appellant shall have the right to appear before the Assessors if he or she wishes and to be accompanied, assisted or represented at the interview by one of the following: a parent or guardian; a fellow student or other friend; an Officer of the Students' Representative Council; a member of University staff, or any other appointed representative.

34.30 The Head of Department or other officer shall be at the hearing.

34.31 Thereafter, the procedure will be:

- a) the appeal will be heard by at least two Assessors;
- b) the Assessors shall invite the student, or someone on his or her behalf, to make a statement;
- c) the Assessors are entitled to question the student;
- d) the Assessors shall invite the Head of Department or other officer exercising discipline to present a response to the appeal;
- e) thereafter, all persons except the Assessors and the clerk shall retire while the Assessors consider their decision and shall return to hear that decision delivered
- f) in determining the appeal against a penalty, the Assessors may:
  - i) take into account any record of previous breaches of University discipline admitted by or proved against the student;
  - ii) set aside, vary, or confirm the penalty imposed by the Head of Department or other officer exercising discipline.

### **Outcome of the Interview or Hearing with the Assessors**

34.32 The Assessors shall normally announce to the student the outcome of the interview or hearing at its conclusion. The student shall be informed in writing of the outcome within 10 working days.

### **Appeal to the Disciplinary Committee**

34.33 A student who wishes to appeal to the Senate Disciplinary Committee against a penalty imposed by the Assessors or against the decision of the Assessors in disposing of an appeal at an earlier stage must do so in writing to the Director of the Senate Office within 10 working days of the date of the issue of the written decision of the Assessor for Discipline.

34.34 The Committee shall consider an appeal against a penalty imposed by the Assessors or against the decision of the Assessors in disposing of an appeal at an earlier stage only on the grounds that:

- a) new evidence has emerged which could not reasonably have been produced at the Assessor stage;
- b) there has been defective procedure at the Assessor stage;
- c) the penalty imposed by the Assessors or the disposal of an appeal at the Assessor stage was clearly unreasonable, as appropriate.

34.35 The letter of appeal must clearly specify the details of any new evidence, the manner in which the procedures were defective or in what respects he or she believes the Assessors have erred or been mistaken in imposing a penalty or in disposing of an appeal. The letter should also specify the remedy that the student seeks.

34.36 An appeal against the decision of the Senate Assessors for Discipline shall normally have the effect of suspending, for the duration of the appeal proceedings, any penalty imposed. The Clerk of Senate shall, nevertheless, have the right to not suspend a penalty on the recommendation of the Senate Assessors for Discipline. In such cases the Clerk of Senate shall inform the appellant of the decision and the reasons for that decision. This provision shall not apply to a suspension under 34.15 of this Code.

34.37 The Convener of the Disciplinary Committee may make a preliminary disposal. The Convener may at his or her discretion consult with two members of the Disciplinary Committee in making a preliminary disposal and may:

- i) dismiss the appeal because the subject-matter of the appeal does not fall within the scope of paragraph 34.35 above;
- ii) dismiss the appeal because no competent grounds have been stated or because the appeal is frivolous or vexatious or because the appeal is out of time;
- iii) dismiss the appeal because it does not establish a *prima facie* case that disposal by the Assessors involved defective or unfair procedure, or a failure to take relevant medical evidence or adverse personal circumstances into account or was manifestly unreasonable;
- iv) dismiss the appeal because the new evidence submitted by the student could reasonably have been presented to the Assessors;
- v) refer the appeal to the Disciplinary Committee for a full hearing. Provision of a hearing does not imply that a *prima facie* case has been established.

34.38 The Convener may also take such other interim action by way of seeking further information as he or she deems appropriate.

34.39 The Clerk to the Disciplinary Committee shall state in the letter to the student intimating the outcome of the preliminary disposal the reasons for the decision and shall provide the papers which were considered by the Committee.

34.40 An appeal which has been dismissed under preliminary disposal may be reconsidered under preliminary disposal on only one further occasion if the student makes representation stating the reasons why the appeal should not have

been dismissed. The representation and the reasons shall be made in writing within 10 working days of the date of the letter intimating the outcome of preliminary disposal.

### **Procedure Before the Disciplinary Committee**

34.41 Where a student has his or her case referred to the Disciplinary Committee:

- a) because of preliminary disposal; or
- b) because of denial of responsibility; or
- c) because the penalties available are considered by the Assessor to be inadequate, or
- d) where a student appeals against the penalties imposed by the Assessors or the decision of the Assessors in disposing of an appeal at an earlier stage.

The Assessors shall furnish to the Committee a written statement of the circumstances of the case, a copy of which shall be sent to the student before the hearing by the Committee.

34.42 At least 10 working days before the hearing the Secretary of the Disciplinary Committee (the Director of the Senate Office, or his or her nominee) shall send to the student notice of the hearing and particulars of the alleged offence and, where appropriate, the penalty imposed by the Assessor or other officer exercising discipline.

34.43 The student shall be entitled to be accompanied, assisted or represented at the hearing by one of the following: a parent or guardian; a fellow student or other friend; an Officer of the Students' Representative Council; a member of University staff, or any other appointed representative. The student shall inform the Secretary of the Committee at least 5 working days before the hearing of the name of any legal representative.

34.44 At the request of the student the Disciplinary Committee may decide to take evidence by way of a written statement as opposed to the appearance of the student and or his or her representative before the Committee provided all the other parties to the case agree. The Committee will consider any such written statement in the same way as any oral statement.

34.45 At the hearing, the Convener will ascertain who is to be the spokesperson for the student (himself or herself or a representative). The Committee shall nevertheless have the right to question the student directly, where necessary. Those accompanying or assisting shall be given the opportunity to contribute at the invitation of the Convener.

34.46 Other persons may attend meetings of the Disciplinary Committee at the discretion of the Committee.

34.47 Any unauthorised electronic recording of the hearing is expressly forbidden by the University.

34.48 If the student, who has denied responsibility before the Assessor, wishes to accept responsibility he or she may do so in writing to the Secretary to the Disciplinary Committee before the hearing of the case. The case will then be referred back to the Assessors for consideration in accordance with 34.24.

### **Referral under Preliminary Disposal or Denial of responsibility**

34.49 Where the case involves a reference from the Assessors under preliminary disposal or because of denial of responsibility:

- a) evidence shall be led by, or on behalf of, an Assessor;
- b) the Committee is entitled to question any witnesses;
- c) the student is entitled, but cannot be required, to give evidence on his or her behalf,
- d) the student, or someone on his or her behalf, is entitled to cross-examine any witnesses called by, or on behalf of, the Assessor;
- e) the student is entitled to call witnesses and to examine them, and to produce before the Committee any evidence relevant to the case;
- f) the Assessor, or someone acting on his or her behalf, is entitled to cross-examine any witnesses called on behalf of the student;
- g) at the conclusion of the evidence, the student, or someone acting on his or her behalf, and the Assessor, or someone acting on his or her behalf, may make submissions on the evidence;
- h) thereafter, all persons except the Disciplinary Committee and its Secretary and any legal adviser appointed under 34.14 shall retire while the Committee considers its decision and shall return to hear that decision delivered;
- i) the Disciplinary Committee shall determine whether the case presented by, or on behalf of, the Assessor is established on the balance of probabilities
- j) if the case is established:
  - i) the Committee shall invite the student, or someone on his or her behalf, to make a statement in explanation or extenuation of the offence;
  - ii) the student and anyone accompanying shall retire while the Committee considers its decision and shall return to hear that decision delivered;
  - iii) the Disciplinary Committee may impose such penalty as it considers appropriate. Such penalty may include suspension or expulsion.

k) if the case is not established it will be at an end.

#### **Penalties available to the Assessors are considered inadequate**

34.50 Where the Assessors have referred the case because the penalties available were considered by the Assessors to be inadequate:

- a) the Committee shall invite the Senior Senate Assessor to present the report;
- b) the Committee shall then invite the student, or someone on his or her behalf, to make a statement in explanation or extenuation of the offence;
- c) the Committee is entitled to question the student;
- d) thereafter, all persons except the Disciplinary Committee and its Secretary and any legal adviser appointed under 34.14 shall retire while the Committee considers its decision and shall return to hear that decision delivered;
- e) the Disciplinary Committee may impose such penalty as it considers appropriate. Such penalty may include suspension or expulsion.

#### **Appeal against a penalty imposed by the Assessors or against the decision of the Assessors in disposing of an appeal at an earlier stage**

34.51 Where the student has appealed against a penalty imposed by an Assessor or against the decision of the Assessors in disposing of an appeal at an earlier stage:

- a) the student and the Assessors are entitled to call witnesses;
- b) the Committee shall invite the student, or someone on his or her behalf, to make a statement;
- c) the Committee is entitled to question the student and any witnesses;
- d) the Committee shall invite the Assessor to comment;
- e) thereafter, all persons except the Disciplinary Committee and its Secretary and any legal adviser appointed under 34.14 shall retire while the Committee considers its decision and shall return to hear that decision delivered;
- f) in determining the appeal against a penalty or the decision of the Assessors in disposing of an appeal at an earlier stage, the Committee may:
  - i) take into account any record of previous breaches of University discipline admitted by or proved against the student;
  - ii) set aside, vary, or confirm the decision of the Assessors

#### **Decision of the Disciplinary Committee**

34.52 The decision of the Committee shall normally be announced to the student at the conclusion of the hearing. The student shall be informed in writing of the decision within 10 working days.

#### **Failure to Appear**

34.53 Subject to the provision of medical or other reasonable grounds, if the student does not appear on the date appointed and the Senate Assessors for Discipline or the Disciplinary Committee are satisfied that he or she has received due notice to appear, the Assessors or the Committee may proceed to deal with the charge and, if it is found to be proved, impose the appropriate penalty in his or her absence.

#### **Failure to Comply with the Code of Discipline**

34.54 Where a student has failed to comply, without good reason, with the Code of Discipline whether by non-attendance at an interview with the Senate Assessors or at a hearing of the Disciplinary Committee or by defaulting on the penalties or conditions imposed, the University may refuse to allow the student to register or graduate pending compliance.

#### **Appeal Against a Decision of the Disciplinary Committee**

34.55 A student has the right of appeal to the Clerk of Senate against a decision of the Disciplinary Committee except in cases under 34.33 – 34.36 of this Code where the decision relates to an appeal against a penalty or decision of the Senate Assessors for Discipline.

34.56 Any appeal to the Clerk of Senate shall be lodged in writing within 10 working days from the issue of the written decision of the Disciplinary Committee (i.e. the date of the letter of decision). It is not sufficient to appeal solely on the ground that the appellant disagrees with the Committee's decision: the appellant's statement of appeal must clearly specify in what respect(s) he or she believes the Committee to have erred in coming to its decision or to have been mistaken in its decision.

34.57 The Clerk of Senate shall convene a hearing of a Disciplinary Appeal Committee which shall include at least three members of the Disciplinary Committee who have had no previous involvement with the case. If the Clerk of Senate has had prior involvement with the case, he or she shall nominate an alternative convener who shall be of an equivalent level of seniority within the University (e.g. a Vice Principal). The Committee may have the assistance of a legal adviser. The Disciplinary Appeal Committee shall have full powers to decide the appeal and shall report its

decision to Senate. The Convener of the Disciplinary Appeal Committee shall have the casting vote on the final decision of the case.

34.58 The Convener of the Disciplinary Committee shall furnish to the Disciplinary Appeal Committee a written statement of the circumstances of the case, a copy of which shall be sent to the appellant before the hearing. The Convener of the Disciplinary Committee, or his or her nominee, shall attend the hearing.

34.59 The appellant will be granted a reasonable time (at least 10 working days) for the preparation of the case. He or she may be accompanied at the hearing by a representative. The appellant shall inform the Secretary to the Disciplinary Appeal Committee at least 5 working days before the hearing of the name of any representative.

34.60 Subject to the provision of medical or other reasonable grounds, if the appellant does not appear on the date appointed and the Disciplinary Appeal Committee is satisfied that he or she has received due notice to appear, the Disciplinary Appeal Committee may proceed to consider the case and make its judgement in his or her absence.

34.61 At the hearing:

- a) the Committee shall invite the appellant, or someone on his or her behalf, to make a statement;
- b) the Committee is entitled to question the appellant or his or her representative;
- c) the Committee shall invite the Convener of the Disciplinary Committee, or his or her nominee, to comment;
- d) thereafter, all persons except the Disciplinary Appeal Committee and its Secretary and any legal adviser appointed under 34.57 shall retire while the Committee considers its decision and shall return to hear that decision delivered;
- e) in determining the appeal against a penalty or the decision of the Disciplinary Committee the Committee may:
  - i) take into account any record of previous breaches of University discipline admitted by or proved against the appellant;
  - ii) set aside, vary, or confirm the decision of the Disciplinary Committee and may confirm, reduce or increase any penalty imposed by the Disciplinary Committee.

34.62 An appeal against the decision of the Disciplinary Committee shall normally have the effect of suspending, for the duration of the appeal proceedings, any penalty imposed. The foregoing notwithstanding, the Clerk of Senate shall have the right to continue a penalty on the recommendation of the Disciplinary Committee. In such cases the Clerk of Senate shall inform the appellant of the decision and the reasons for that decision. **This provision shall not apply to a suspension under §34.15 of this Code.**

34.63 The decision of the Disciplinary Appeal Committee will be final and there shall be no further opportunity for appeal against that decision within the University.

### **Independent External Review**

34.64 If a student is dissatisfied with the decision of the Disciplinary Committee, he/she shall have the right to an external review, details of which shall be available from the Senate Office.

### **Records and Reports**

#### **Disciplinary Committee**

34.65 The Disciplinary Committee shall keep a record of its proceedings.

#### **Reports to Senate**

34.66 The Senate Assessors for Discipline will provide an Annual Report, stating the number and types of disciplinary offences found to have been committed and the disposals thereof, to the Senate at its first meeting of each session. The Disciplinary Committee will provide a report, stating its disposal of any disciplinary offences or appeals heard by the Committee, to the Senate at its next regular meeting.

#### **The Student Record**

34.67 Details of any penalty imposed by the Assessors shall be held in the record of the student concerned in the Senate Office. Any disposal made by the Disciplinary Committee or by the University Court shall be inscribed by the Head of the Registry in the record of the student concerned.

## **XXXV FITNESS TO PRACTISE**

35.1 The Senior Senate Assessor for Discipline shall report to the Dean of the appropriate Faculty, the details of any breach of the University Code of Discipline concerning a student on a programme of study subject to fitness to practise procedures where the offence indicates a breach of or non-compliance with the relevant Code of Professional Conduct and Fitness to Practise. This will occur where responsibility for the offence has either been admitted by the student or where the case has been established by the Senate Assessors for Discipline or the Disciplinary Committee.



## XXXVI PROCEDURE FOR DETERMINING FITNESS TO PRACTISE

### Introduction

36.0.1 Where a programme of study requires the student to act in the course of practical training in a quasi-professional role in relation to patients, children, clients or service-users or where the qualification provides a direct licence to practise, the University has a duty to ensure that the student is fit to practise. Students registered for these programmes of study are subject to separate fitness to practise procedures. The aims of the procedures are:

- a) to protect present or future patients, children, clients or service users;
- b) to comply with the requirements of professional bodies;
- c) to protect the health and well being of students and to ensure that they are provided with appropriate advice concerning the requirements of the professional body they seek to join;
- d) to protect the institution against legal action brought by someone claiming to have suffered loss as a result of a student proving during training or after qualification to be unfit to practise.

To these ends, fitness to practise is assessed not only in terms of academic attainment but is assessed in accordance with relevant professional concerns and expectations.

### Principles

#### 36.1 Faculty Code of Professional Conduct and Fitness to Practise

Faculties providing programmes of study leading to the degrees listed below should prepare a Faculty Code of Professional Conduct and Fitness to Practise derived from any related code developed by the relevant professional or accrediting body for students, trainees or other members of the profession.

##### *Faculty of Medicine*

MBChB

BDS

BN

Doctorate in Clinical Psychology

##### *Faculty of Education*

BEd

Professional Graduate Diploma in Education

BTechnolEd

BTechStudies

MA with teaching qualification

BA Community Development

##### *Faculty of Veterinary Medicine*

BVMS

#### 36.2 Students and the Code

- i) A student registered for one of the programmes of study which are subject to fitness to practise procedures may be treated differently from other students of the University if there is any question as to whether he or she is a fit and proper person to practise his or her intended profession.
- ii) All new entrants to programmes of study which are subject to fitness to practise procedures should undergo training before the end of the first semester of the first year of study, designed to explain the nature and effect of the Faculty Code of Professional Conduct and Fitness to Practise. The training should address the relevance of compliance and non-compliance with the Code in respect of their progress on the programme.
- iii) Continuing students on programmes of study which are subject to fitness to practise procedures should be provided with a copy of the current Faculty Code of Professional Conduct and Fitness to Practise within the first five weeks of each session and their attention drawn to any changes.
- iv) Where a student has failed to comply with a Faculty Code of Professional Conduct and Fitness to Practise the student may be required to leave the programme of study.

#### 36.3 Applicants and Publicity

- i) Where fitness to practise procedures apply to a programme of study this should be noted in the publicity material for the programme (including the University Prospectus) and a copy of the Faculty Code of Professional Conduct and Fitness to Practise should be made available on request or via the internet.
- ii) Applicants should be made aware when fitness to practise procedures apply to the programme of study for which they have applied and the implications of this. A copy of the Faculty Code of Professional Conduct and Fitness to Practise should be provided with the final confirmation of admission.

### 36.4 Breaches of the Code

#### *Informal resolution*

- i) Where a breach of the Code occurs or where there is a pattern of behaviour or an issue of persistent ill health, which has a bearing on fitness to practise, the Faculty should document the issue and agree with the student appropriate action and a deadline by which any action must take place. Where possible the matter should be dealt with informally. The Faculty should ensure that the student is made aware of the support services which are available: such as Adviser of Studies or equivalent, University Health Service, Student Counselling and Advisory Service, Special Needs Service and Students' Representative Council.

#### *Formal procedure*

- ii) If the agreed action is not carried out or there has been a repetition of the breach or the breach is considered by the Dean to be of sufficient seriousness that the informal process is inappropriate, the Faculty Secretary should write to the student informing him/her that the matter will be referred for formal consideration by the Faculty Fitness to Practise Committee. The student should be advised of the reason for the referral.
- iii) Any referral should follow the procedure set out below.

#### *Appeal process*

- iv) A student may appeal against any decision of the Faculty Fitness to Practise Committee to the Senate Fitness to Practise Committee in accordance with the procedure set out below.
- v) A student who has a concern about how a matter has been handled at any stage, may raise the matter in terms of Complaints Procedure, (See Section XXXI above).

### 36.5 Members of Committee

- i) Faculties providing a programme of study leading to any of the degrees listed in 36.1 above should establish a Faculty Fitness to Practise Committee the members of which are appointed annually. Members should normally serve for three years.
- ii) The Senate should establish a Senate Fitness to Practise Appeals Committee, the members of which should be appointed annually. Members should normally serve for three years.
- iii) Members of staff responsible for managing matters concerning fitness to practise and members of Faculty and Senate Fitness to Practise Committees should attend an annual briefing.
- iv) External members and student members of Faculty and Senate Fitness to Practise Committees should be given appropriate guidance.

### 36.6 Reports

The Faculty Fitness to Practise Committees and the Senate Fitness to Practise Appeals Committee should provide an annual report to Senate.

## Procedure for Consideration of Fitness to Practise

### 36.7.1 Initial (informal) Procedure

- i) Any breach of a Faculty Code of Professional Conduct and Fitness to Practise must be reported in writing to the Dean of the Faculty in which the student is studying. The report must be signed and dated by the person or persons responsible for making the referral. In exceptional circumstances, the Dean of the Faculty may permit the identity of the person making the report to remain confidential where it is considered necessary to protect the interests of the person making the allegation.
- ii) On receipt of a written report, the Dean of the Faculty may refer the matter to the Head of Department or equivalent responsible for the student who shall investigate the matter, interview the student and consult such persons as it is deemed necessary to determine the facts of the case. Where possible the matter shall be resolved informally with the agreement of the student and any one affected. Support, assistance or advice shall be provided.
- iii) At this informal stage, a student may be accompanied by a family member or a friend but shall not normally be permitted to be represented formally by a member of the SRC or other formally appointed individual at any interview relating to fitness to practise.
- iv) A record shall be kept of a referral, of any interview concerning the referral and of any action subsequently taken.

### 36.7.2 Referral to the Faculty Fitness to Practise Committee

- i) A student shall be referred to the Faculty Fitness to Practise Committee in the following circumstances:
  - a) where a minor breach is repeated and is considered by the Dean of the Faculty to constitute a pattern of behaviour which is not compliant with the Faculty Code of Professional Conduct;
  - b) where a review of the progress made by the student following action under the informal procedure indicates that the breach of the Faculty Code of Professional Conduct and Fitness to Practise remains;
  - c) where a reported breach of the Code is deemed by the Dean of the Faculty to be of sufficient seriousness to warrant immediate referral to the Faculty Fitness to Practise Committee rather than resolution by the informal procedure.

**36.7.3 Referral by the Dean of the Faculty to the Senior Senate Assessor for Discipline**

- i) If on receipt of a report, the Dean of the Faculty considers that a breach of the University Code of Discipline has occurred, the student shall be referred in the first instance to the Senior Senate Assessor for Discipline. When the case has been considered under the Code of Discipline, the Senior Senate Assessor for Discipline shall report to the Dean of the Faculty the outcome of consideration of the case and any ensuing action under the Code of Discipline.

**36.7.4 Referral by the Senior Senate Assessor for Discipline to the Dean of the Faculty**

- i) The Senior Senate Assessor for Discipline shall report to the Dean of the Faculty, the details of any breach of the University Code of Discipline concerning a student on a programme of study subject to fitness to practise procedures where the offence indicates a breach of or non-compliance with the Faculty Code of Professional Conduct and Fitness to Practise. This will occur where responsibility for the offence has either been admitted by the student or where the case has been established by the Senate Assessors for Discipline or the Disciplinary Committee or where the student has been convicted of a criminal offence.
- ii) On receipt of a report from the Senior Senate Assessor for Discipline, the Dean of the Faculty may take such immediate action including suspension designed to protect patients, children, clients or service users as he or she thinks fit but shall not refer the matter to the Faculty Fitness to Practise Committee until the time permitted for an appeal under the Code of Discipline has elapsed without any appeal being lodged or until any appeal has been heard and a decision adverse to the student has been reached.

**36.7.5 Suspension of Study**

- i) The Dean may suspend the student's studies and may limit access University facilities or to placement premises pending investigation under this procedure where suspension is justified to protect the interests of patients, children, clients or service users, the student concerned, other students or members of staff of the University.
- ii) The Dean of the Faculty shall inform the student in writing of the details of any suspension.
- iii) The student shall have the right to call for a review of the suspension by the Dean of the Faculty after 20 working days.
- iv) The review of the suspension shall be conducted by a senior member of the Faculty who has not been involved in the referral or the investigation of the referral and who is not a member of the standing Faculty Fitness to Practise Committee.

**36.7.6 Investigation of a breach of the Faculty Code of Professional Conduct and Fitness to Practise**

- i) On receipt of a written report relating to an issue which has either not been resolved by the informal procedure or has been repeated or is of sufficient seriousness to warrant referral to the Faculty Fitness to Practise Committee, the Dean of the Faculty, shall appoint an Investigating Officer who shall be a senior member of the Faculty and who shall not be a member of the Faculty Fitness to Practise Committee.
- ii) The Dean shall inform the student in writing of the details of the referral and the name of the Investigating Officer and shall state the procedure for the investigation. The student shall be invited to provide a written statement to the Investigating Officer within 10 working days concerning the matters raised in the referral. The student shall have the right to representation by a member of the SRC or other formally appointed representative or to be accompanied by a family member or friend at any meeting with the Investigating Officer.
- iii) The Investigating Officer in the presence of another member of staff shall interview the student and shall interview any person or persons named in the referral or responsible for the referral. Details of the student's academic record and any other relevant documentation shall be made available to the Investigating Officer. The notes of the interviews shall be retained in the record of the investigation and a reference to the investigation shall be held in the student file.
- iv) The student may be required by the Investigating Officer to attend an Occupational Health Department or other relevant service in order to ascertain his/her fitness to practise.
- v) Strict confidentiality shall be observed throughout the course of the investigation.
- vi) The Investigating Officer shall submit a written report of the investigation to the Dean of the Faculty normally within 20 working days of his/her appointment. The report shall include a recommendation relating to the continuation or otherwise of any suspension from study. The Dean shall determine, on the basis of the Investigating Officer's report, whether to refer the case to a full hearing before the Faculty Fitness to Practise Committee or to manage the case by the informal procedure or alternatively that no breach of the Faculty Code of Professional Conduct and Fitness to Practise has occurred.
- vii) The Dean shall inform the student within 5 working days of receipt of the report from the Investigating Officer of his/her decision following the investigation.

**36.7.7 Retention of Records during the Investigation**

All papers relating to an allegation under investigation shall be held in a file clearly marked "under investigation" in the office of the Dean of the Faculty. A reference to the investigation shall be held in the student's file.

**36.7.8 Constitution of the Faculty Fitness to Practise Committee**

- i) The Committee shall be constituted as follows:

- a) the Dean of a cognate Faculty as Convener;
  - b) four members drawn from a panel appointed by the Faculty in which the student is studying;
  - c) a representative member of the relevant professional body concerned who is not a member of the University.
- ii) No person who has signed or co-signed a referral or who undertook the investigation of the alleged breach or was involved in an informal consideration of the alleged breach may sit on the Committee to consider the case.
  - iii) The Committee may have the assistance of a legal adviser.
  - iv) The Faculty Secretary of the Faculty concerned or his/her nominee shall act as Clerk to the Committee.
  - v) The membership of a Faculty Fitness to Practise Committee shall be reported to the Senate annually. Members shall normally serve for three years.

### **36.7.9 Arrangements for a Hearing**

- i) Timing of a hearing

Where a hearing before the Faculty Fitness to Practise Committee is required, the hearing shall normally take place within 15 working days of the date of the letter of notification from the Dean to the student intimating the decision following the investigation.

- ii) Preparation of the papers

The Clerk of the Committee shall:

- a) provide the student (or his or her representative) with a copy of the original report submitted to the Dean subject to any action taken to protect the anonymity of the person making the report in terms of paragraph 36.7.1 above;
  - b) provide the student (or his or her representative) with a copy of the report if one has been prepared by an Investigating Officer;
  - c) invite the student (or his or her representative) to submit a written statement in response to the statements contained in the report(s);
  - d) invite the student (or his or her representative) to submit any other documentation which the student wishes the Committee to consider.
- iii) The student (or his or her representative) shall be provided no less than 10 working days in advance of the hearing, with a copy of all papers which shall be before the Committee and the names of those persons who shall be in attendance. The documents shall be sent by Recorded Delivery/University Courier to the student or may, at the student's request, be collected in person.
  - iv) The Clerk to the Committee shall notify the student (or his or her representative) no less than 5 working days prior to the hearing of the date, time and location of the hearing and the names of the members of the Committee who shall consider the case.

### **36.7.10 Attendance at Hearing**

- i) The student shall be required to attend the hearing in person. Where the student is prevented from attending by ill health, the hearing shall normally be deferred on submission of a medical certificate. If the student does not attend on the date appointed and no notification of the absence has been received, if the Convener is satisfied that the student has received due notice of the hearing, the Committee may proceed to deal with the case and to reach a decision in the student's absence.
- ii) The Dean of the Faculty or his/her appointed representative shall attend the hearing to present the circumstances of the referral and shall have the right to name any person or persons he/she wishes to be present to provide evidence relating to the referral.
- iii) The student shall have the right to be accompanied by one of the following: a parent or guardian; a fellow student or other friend; or to be formally represented by the Students' Representative Council or a member of the University staff or other appointed representative. Where the student seeks to have two individuals in attendance, one shall attend as an observer only.
- iv) The student may name any person or persons he/she wishes to be present to provide evidence on his/her behalf. The name of any person or persons called by the student to provide evidence shall be provided to the Clerk of the Committee no later than 10 working days before the date of the hearing. The student shall be responsible for arranging the attendance of such persons at the hearing with the exception of members of staff of the University who shall be notified of the date, time and location of the hearing by the Clerk to the Committee.
- v) If any person or persons are unable or unwilling to attend the hearing, the Convener of the Committee shall be responsible for deciding if the hearing should proceed on the date arranged or be deferred. A written statement may be presented by any person who has been invited to attend the hearing but is not available at the date specified.
- vi) The hearing shall be held in private. Strict confidentiality shall be observed.

**36.7.11 Professional Advice**

- i) Where the Committee requires the advice of an expert to deal with a question of fact or special difficulty, such an expert shall provide a written report and where appropriate shall be invited to attend the hearing to provide evidence.

**36.7.12 Procedure for the Conduct of a Hearing**

- i) The Committee shall rely only on evidence presented at the hearing. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.
- ii) Statements:
  - a) at the hearing, the Convener shall invite the student and his or her representative to make a statement. If the student declines the invitation to make a statement, the Committee shall reserve the right to question the student directly;
  - b) the Dean or his/her deputy shall present the circumstances of the case. The Committee shall then address any questions to the relevant parties including those appearing to advise the Committee or called to provide evidence and shall afford the student and his/her representative an opportunity to question the persons involved through the Convener;
  - c) the Committee shall consider any request from any person present at the hearing to make a statement or to put questions through the Committee to anyone whom the Committee has examined;
  - d) the Committee shall afford the student an opportunity to make a final statement or to have one made on his or her behalf;
  - e) the Convener shall seek confirmation from all parties that all necessary information has been conveyed to the Committee, that, in their opinion, the questioning is complete and that in the opinion of the student, the hearing has been conducted in a fair manner.
- iii) Thereafter all persons except the Fitness to Practise Committee, its Clerk and any legal adviser appointed to advise the Committee shall retire while the Committee considers its decision. The Committee shall reach its decision or defer the decision pending further investigations.
- iv) In reaching its decision the Fitness to Practise Committee shall not be bound by the rules of evidence. The Committee shall attempt to ascertain all relevant facts with a view to coming to a reasonable disposal.
- v) At any stage the Convener may adjourn the hearing if he/she considers this to be necessary.
- vi) Any unauthorised electronic recording of the hearing is expressly forbidden by the University.

**36.7.13 Disposal**

- i) The Committee shall decide the matter at the conclusion of its consideration of the referral or as soon as possible thereafter.
- ii) The Committee may decide by a majority.
- iii) Where the Committee is of the view that no breach of the Code has occurred, it shall permit the student to continue the programme of study.
- iv) Where the Committee decides that a breach of the Code has occurred, the Committee may:
  - a) permit the student to continue the programme of study under close specified supervision and thereafter within a specified time to demonstrate fitness to practise to the satisfaction of the Dean of the Faculty by whatever means the Committee shall decide or by whoever the Committee shall appoint or
  - b) require the student to repeat a specified part or parts of the programme of study and thereafter to demonstrate fitness to practise to the satisfaction of the Dean of the Faculty or
  - c) suspend the student from the programme of study for a specified period in order to undergo a medical assessment or medical treatment, or other form of remedy and thereafter to demonstrate fitness to practise to the satisfaction of the Dean of the Faculty or
  - d) instruct any other action considered appropriate by the Committee to enable the student to continue the programme of study or
  - e) exclude the student permanently from the programme of study.
- v) Where a student is unable to demonstrate fitness to practise to the satisfaction of the Dean at the conclusion of the specified period of supervision or completion of medical treatment or other form of remedy, the case shall be referred to the Faculty Fitness to Practise Committee for further consideration.
- vi) The decision and the reasons for the decision, with reference to any findings of fact, shall be provided in writing to the student by Recorded Delivery normally within 10 working days of the decision being determined. If it is not possible to provide the decision and the reasons for the decision within this timescale, the student shall be informed of the reason for the delay and a new timescale shall be provided.

**36.7.14 Records and Reports**

- i) The Clerk to the Faculty Fitness to Practise Committee shall prepare a written report of the hearing. The report and the papers presented to the Faculty Fitness to Practise Committee shall be held in a confidential file in the

office of the Dean of the Faculty. A reference to the report shall be held in the student's file until the conclusion of the programme of study after which the report shall be archived and retained for the anticipated professional life of the individual. The Faculty Fitness to Practise Committee shall decide whether a report shall be submitted to the professional body.

### **36.7.15 Annual Review**

- i) The Faculty Fitness to Practise Committee shall review its proceedings annually.

## **Review by the Senate Fitness to Practise Appeals Committee**

### **36.8.1 Jurisdiction of the Senate Fitness to Practise Appeals Committee**

- i) The Senate Fitness to Practise Appeals Committee shall consider appeals by students against a decision of a Faculty Fitness to Practise Committee which falls within the scope of grounds for an appeal to Senate.

### **36.8.2 Lodging an appeal**

#### *Time within which an appeal is to be lodged and late appeals*

- i) Where an appeal lies against a decision of the Faculty Fitness to Practise Committee in terms of paragraph 36.8.3 below, the appeal or an intimation of intention to appeal shall be submitted in writing to the Director of the Senate Office within 10 working days of the intimation to the student of the decision against which the student is appealing. Where an intention to appeal is submitted, the full appeal shall be submitted within 20 working days of the date of the letter intimating the intention to appeal.
- ii) An application for an extension of time for submitting an appeal beyond 20 working days shall be made in writing to the Director of the Senate Office for the attention of the Clerk of Senate and shall include sufficient information concerning the nature of the appeal, shall state the grounds on which an extension of time is sought and be accompanied by such evidence of medical or other adverse personal circumstances as are relevant to the application.
- iii) An application for extension of time for submitting an appeal shall not be granted unless the Clerk of Senate is satisfied that the student was precluded from appealing within 20 working days as a result of serious illness or other circumstances which are both exceptional and relevant to the appeal.
- iv) A letter of appeal or other documents required for the consideration of an appeal shall be treated as having been given or sent on the day that it is received by the Director of the Senate Office; and any letter or document sent to any person including the student in connection with the appeal shall, if sent to the person's last notified address, be treated as having been given or sent on the day that it was posted.

### **36.8.3 Grounds for an appeal**

- i) An appeal may be made to the Senate Fitness to Practise Appeals Committee against a decision of a Faculty Fitness to Practise Committee only on the grounds that:
  - a) new evidence has emerged which could not reasonably have been produced to the Faculty Fitness to Practise Committee;
  - b) there has been defective procedure at Faculty level;
  - c) the disposal by the Faculty Fitness to Practise Committee was manifestly unreasonable.
- ii) In the case of a claim of unfair or defective procedure, evidence in the form of written statements or formal documents must be provided. Advice on a subject data access request can be obtained from the Data Protection Office at:
 

[www.gla.ac.uk/dataprotection/subject\\_access.html](http://www.gla.ac.uk/dataprotection/subject_access.html)
- iii) Where the student claims that the disposal at Faculty level was unreasonable; the student must state in writing the respects in which he/she believes that the Faculty Fitness to Practise Committee erred in coming to its decision or was mistaken in that decision.

### **36.8.4 Content of a letter of appeal**

- i) The letter of appeal shall state:
  - a) the name and address of the student and the telephone number and email address, if available;
  - b) the decision appealed against;
  - c) all the grounds for the appeal: additional grounds may be admitted subsequently only at the discretion of the Convener; additional grounds presented at the hearing may lead to adjournment of the hearing;
  - d) the remedy or remedies which the student seeks;
  - e) the name and address of any person whom the student has appointed as a representative or who will accompany the student at the hearing;

### **36.8.5 Constitution of the Senate Fitness to Practise Appeals Committee**

- i) The Senate Fitness to Practise Appeals Committee shall be constituted as follows:
  - a) the Clerk of Senate as Convener;

- b) the Senior Senate Assessor for Student Appeals or his/her deputy;
  - c) two members drawn from a panel made up of two nominees from each Faculty with a fitness to practise procedure;
  - d) two representative members of the profession concerned who are not members of the University.
- ii) These six members shall constitute the quorum.
  - iii) A representative of the student body may attend the hearing in the role of observer unless the subject of the referral has expressed the wish that no such representative shall be present.
  - iv) No member of a Faculty Fitness to Practise Committee shall be entitled to serve on the Committee. Where a member of the Committee has participated directly in the decision appealed against, that member shall not sit for that appeal.
  - v) The Committee may have the assistance of a legal adviser.
  - vi) The Director of the Senate Office or his/her nominee shall act as Clerk to the Committee.

### 36.8.6 Consideration of appeals

#### *Power to give directions*

- i) Upon receipt of a written appeal, the Clerk of Senate may direct the student (or his or her representative) or any party to the proceedings, to furnish additional evidence, information or explanation as may be thought to be appropriate.
- ii) A direction to the student (or his or her representative) shall state the period of time by which the student shall respond in writing following which the appeal may be dismissed by the Clerk of Senate.

#### *Preliminary Disposal*

- iii) The Clerk of Senate after consultation with two members of the Senate Fitness to Practise Appeals Committee may make a preliminary disposal in order to accelerate a decision. The Clerk of Senate may:
  - a) dismiss the appeal because the subject-matter of the appeal does not fall within the scope of paragraph 36.8.3 above;
  - b) dismiss the appeal because no competent grounds have been stated or because the appeal is frivolous or vexatious or because the appeal is out of time or because the student failed to comply with a direction made in terms of paragraph 36.8.6(i) and (ii) above;
  - c) dismiss the appeal because it does not establish a *prima facie* case that disposal at Faculty level involved defective or unfair procedure, or a failure to take relevant evidence of medical or other adverse personal circumstances into account or was manifestly unreasonable;
  - d) dismiss the appeal because the new evidence submitted by the student could reasonably have been presented to the Faculty Fitness to Practise Committee;
  - e) refer the appeal to the Faculty Fitness to Practise Committee with whatever guidance or direction it considers appropriate, which may include a direction that the appeal is heard again by a Committee which is not constituted by any member who was involved in the first decision;
  - f) refer the appeal to the Senate Fitness to Practise Appeals Committee for a full hearing.
- iv) The Clerk of Senate may also take such other interim action by way of direction as he or she deems appropriate
- v) The Clerk to the Committee shall state in the letter to the student (or his or her representative) intimating the outcome of the preliminary disposal the reasons for the decision and shall provide the papers which were considered by the Committee.
- vi) An appeal which has been dismissed under preliminary disposal may be reinstated if the student (or his or her representative) makes representation stating the reasons why the appeal should not have been dismissed. The representation and the reasons shall be made in writing within 10 working days of the date of the letter intimating the outcome of preliminary disposal

### 36.8.7 Arrangements for a Hearing before a Senate Fitness to Practise Appeals Committee

- i) Timing of the hearing - When a hearing is required, the Committee shall meet within 20 working days of receipt of the letter of appeal or as soon thereafter as is practicable.
- ii) Preparation of the papers

The Clerk of the Committee shall:

- a) request a copy of the papers which were before the Faculty Fitness to Practise Committee and a report of the hearing including information relating to the manner in which the decision appealed against was reached;
- b) request any other reports or information relevant to the appeal;
- c) request the Dean of the Faculty to provide a written response to the statements made in the letter of appeal and to name any person or persons whom the Dean wishes to appear to provide evidence;

- d) provide the Committee and the student normally within 10 working days in advance of the hearing with a copy of all papers relevant to the appeal and the names of those persons who will be in attendance. The papers shall normally be sent to the student by Recorded Delivery or may at the student's request be collected in person;
- e) notify the student no less than 5 working days prior to the hearing of the date, time and location of the hearing and the names of the members of the Committee who will consider the case.

#### **36.8.8 Attendance at Hearing**

- i) The student shall be required to attend the hearing in person. Where the student is prevented from attending by ill health, the hearing shall normally be deferred on submission of a medical certificate. If the student does not attend on the date appointed and no notification of the absence has been received, if the Clerk of Senate is satisfied that the student has received due notice of the hearing, the Committee may proceed to deal with the case and to reach a decision in the student's absence.
- ii) The student shall have the right to be accompanied at the hearing by one of the following: a parent or guardian; a fellow student or other friend or to be formally represented by the Students' Representative Council or a member of the University staff. Where the student seeks to have two individuals in attendance, one shall attend as an observer only.
- iii) The student may name any person or persons he/she wishes to be present to provide evidence on his/her behalf. The name of any person or persons called by the student to provide evidence shall be provided to the Clerk of the Committee no later than 10 working days before the date of the hearing. The student shall be responsible for arranging the attendance of such persons at the hearing with the exception of members of staff of the University who shall be notified of the date, time and location of the hearing by the Clerk to the Committee.
- iv) If any person or persons are unable or unwilling to attend the hearing, the Clerk of Senate shall be responsible for deciding if the hearing shall proceed on the date arranged or be deferred. A written statement may be presented by any person who has been invited to attend the hearing but who is not available at the date specified.
- v) The hearing shall be held in private. Strict confidentiality will be observed.

#### **36.8.9 Expert Advice**

- i) Where the Committee requires the advice of an expert to deal with a question of fact or special difficulty, such an expert shall provide a written report and where appropriate shall be invited to attend the hearing to provide evidence.

#### **36.8.10 Procedure for the Conduct of a Hearing**

- i) The Committee shall rely only on evidence presented at the hearing. Unauthorised electronic recordings of previous meetings or events will not be admissible as evidence at the hearing.
- ii) The hearing shall be conducted in the presence of all persons invited to attend to provide evidence.
- iii) Any unauthorised electronic recording of the hearing is expressly forbidden by the University.

#### **36.8.11 Statements**

- i) The procedure shall be as follows:
  - a) at the hearing, the Convener shall invite the student and his or her representative to make a statement. If the student declines the invitation to make a statement, the Committee shall reserve the right to question the student directly;
  - b) the Committee shall then address any questions to the relevant parties including those appearing to advise the Committee and shall afford the student and his/her representative an opportunity to question the persons involved through the Convener;
  - c) the Committee shall consider any request from any person present at the hearing to make a statement or to put questions through the Committee to anyone whom the Committee has examined;
  - d) the Committee shall afford the student an opportunity to make a final statement or to have one made on his or her behalf;
  - e) the Convener shall seek confirmation from all parties that all necessary information has been conveyed to the Committee, that the questioning is complete and that in the opinion of the student, the hearing has been conducted in a fair manner.
- ii) Thereafter all persons except the Senate Fitness to Practise Appeals Committee, its Clerk and any legal adviser appointed to advise the Committee shall retire while the Committee considers its decision. The Committee shall reach its decision or defer the decision pending further investigations.
- iii) In reaching its decision, the Senate Fitness to Practise Appeals Committee shall not be bound by the rules of evidence. The Committee shall attempt to ascertain all relevant facts with a view to coming to a reasonable disposal.
- iv) At any stage the Clerk of Senate may adjourn the hearing if he/she considers this to be necessary.

#### **36.8.12 Disposal**

- i) The Committee shall decide the matter at the conclusion of its consideration of the appeal or as soon as possible thereafter.



- ii) The Committee may decide by a majority.
- iii) The Committee may:
  - a) dismiss the appeal because the subject matter does not fall within the scope of paragraph 36.8.3;
  - b) dismiss the appeal because the new evidence produced by the student could reasonably have been produced to the Faculty Fitness to Practise Committee;
  - c) dismiss the appeal because the disposal by the Faculty Fitness to Practise Committee did not involve defective or unfair procedure or was not manifestly unreasonable;
  - d) refer the appeal to the Faculty Fitness to Practise Committee with whatever guidance or direction it considers appropriate;
  - e) uphold the appeal and grant whatever remedy it considers reasonable and practical in the circumstances.
  - iv) Where an appeal is upheld, the University shall defray reasonable and proportionate expenses.
  - v) The Clerk of Senate shall intimate the decision in writing to the student (or his or her representative) and to the appropriate University authorities.

### **36.8.13 Reference back to a Faculty**

- i) The Senate Fitness to Practise Appeals Committee may refer a case back to a Faculty Fitness to Practise Committee where it considers:
  - a) that evidence made available to the Senate Fitness to Practise Appeals Committee had not been presented to the Faculty Fitness to Practise Committee, or
  - b) that there had been defective procedure at the Faculty level.
- ii) In the first case, Senate Fitness to Practise Appeals Committee may decide to refer the matter to the Faculty Fitness to Practise Committee as originally constituted to hear the appeal in order to permit that Committee to hear the case *ab initio*.
- iii) In the second case, the matter shall be considered by a newly constituted Faculty Fitness to Practise Committee.
- iv) Where an appeal is made to the Senate Fitness to Practise Appeals Committee against the decision of the Faculty Fitness to Practise Committee following a reference back, it shall be competent for the Clerk of Senate, in consultation with at least two other members of the original Senate Fitness to Practise Appeals Committee, either to dismiss the appeal or to recall the Senate Fitness to Practise Appeals Committee to hear the case.

### **36.8.14 Reports to Senate and Annual Review**

- i) The Clerk to the Senate Fitness to Practise Appeals Committee shall report the outcome of a hearing to the Senate at the Senate's next regular meeting. The report shall not identify the student. It shall detail the nature of the appeal. In the report, the Committee may if it desires include any recommendations related to the matter which has given rise to the appeal.
- ii) The Senate Fitness to Practise Appeals Committee shall review its proceedings annually.
- iii) This shall conclude the internal processes of the University.

### **Independent External Review**

- i) If the appellant is dissatisfied with the outcome of an appeal to the Senate Fitness to Practise Appeals Committee, he/she shall have the right to an external review<sup>30</sup>, details of which shall be available from the Senate Office.

## **XXXVII PROCEDURE FOR INVESTIGATING AND RESOLVING ALLEGATIONS OF RESEARCH MISCONDUCT**

37.1 The University Court has approved a Code and Procedures for dealing with allegations of misconduct in research. Copies may be obtained from the Senate Office or from the Office of the Vice-Principal (Research). The document is also available at: [www.gla.ac.uk/services/humanresources/hrissues.htm](http://www.gla.ac.uk/services/humanresources/hrissues.htm).

## **XXXVIII GOVERNING LAW**

38.1 If, after the conclusion of all appropriate procedures within the University for the determination of appeals or complaints or matters of discipline and after consideration by the Scottish Public Services Ombudsman for Higher Education, a student still wishes to seek redress through the Courts, then the procedures to be used shall be in accordance with Scots Law and the student thereby submits to the jurisdiction of the Scottish Courts. The submission to such jurisdiction shall not (and shall not be construed so as to) limit the right of the University to take proceedings against the student in any other Court of competent jurisdiction, nor shall the taking of proceedings in any one or more jurisdictions preclude the taking of proceedings in any other jurisdiction, whether concurrently or not.

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<sup>30</sup> External review will be provided by the Scottish Public Services Ombudsman (<http://www.scottishombudsman.org.uk/>).

## XXXIX COPYRIGHT REGULATIONS

39.1 Regulations under the *Copyright, Designs and Patents Act, 1988*, permit limited photocopying of material under copyright by individuals in connection with their research or private study. Under The Copyright and Related Rights Regulations 2003 this exception is reduced to fair dealing only for research for a non-commercial purpose, or for private study. There is also a new obligation that sufficient acknowledgement (e.g., the author's name plus a bibliographic citation) is required unless it is impractical. In brief, a single copy of no more than one article from any issue of a periodical and no more than 5% or 4,000 words, or one chapter may be copied without further restriction.

39.2 The 5% limit extends to poems, essays and other short literary works which are regarded as complete in themselves, and may not be copied in their entirety, without the permission of the copyright holder given in writing.

39.3 Photocopying beyond these limits can only be permitted if the material is not in copyright (i.e. in most cases if the author has been dead for more than seventy years) or if the owner of the copyright gives specific permission in each case.

39.4 More detailed information on limits and procedures is available in the University Library.

39.5 There are many further issues surrounding copyright and intellectual property rights which staff and students need to be aware of in the course of their everyday work in the University. Guidelines are available on the intranet site: [www.gla.ac.uk/copyright](http://www.gla.ac.uk/copyright).

## XL STATEMENT ON ALCOHOL, DRUGS AND SUBSTANCE MISUSE

40.1 Alcohol, drug or substance misuse is defined as the intermittent or continual use of alcohol or any drug or other substance which causes detriment to an individual's health, social functioning or work performance and which affects his or her efficiency, productivity, safety, attendance, punctuality or conduct. While the University recognises that such misuse is rare, it will not condone nor will it otherwise approve of excessive and inappropriate use of alcohol or the misuse of drugs either illicit or prescribed.

40.2 The University has a responsibility to ensure a safe and healthy working environment for all of its staff and students. This objective is put at risk by staff or students who misuse alcohol or other drugs. Students should be aware of the University's Code of Discipline and the University's Code of Behaviour for Students in Residences which may be applied to students as a result of alcohol, drug or substance misuse.

40.3 The University wishes to promote the health and well-being of its staff and students and to minimise problems arising from misuse of alcohol and drugs by encouraging safe and sensible drinking habits and a drug free lifestyle. The University will offer guidance and support and actively encourage members or employees known to have alcohol or drug related problems to seek appropriate help. However, the University will report to the Police all incidents involving the supply or taking of illegal drugs on its premises, as required by the *Misuse of Drugs Act, 1971*.

### List of Agencies for Advice or Guidance

University Health Service *Tel.* 0141 330 4538

Own General Practitioner

Glasgow Council on Alcohol *Tel:* 0141 226 3883

National Drugs Helpline *Tel:* 0800 776600

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