

# QUALITY MANUAL

## SEPTEMBER 2020



## UEL QUALITY MANUAL – 2020/2021

<b>CONTENTS</b>		<b>Page</b>
<b>Part 1</b>	<b>Quality Assurance &amp; Enhancement Principles</b>	<b>1</b>
<b>Part 2</b>	<b>Responsibility for Quality Assurance &amp; Enhancement</b>	<b>3</b>
<b>Part 3</b>	<b>Module Processes</b>	<b>13</b>
<b>Part 4</b>	<b>Quality Criteria</b>	<b>17</b>
<b>Part 5</b>	<b>Approval and Validation of Award-Bearing Courses (non-collaborative)</b>	<b>23</b>
<b>Part 6</b>	<b>Module and Courses Modifications</b>	<b>35</b>
<b>Part 7</b>	<b>Continual Monitoring Process</b>	<b>45</b>
<b>Part 8</b>	<b>Periodic Academic Review</b>	<b>55</b>
<b>Part 9</b>	<b>The External Examiner System</b>	<b>65</b>
<b>Part 10</b>	<b>Approval and Quality Assurance of Short Courses</b>	<b>79</b>
<b>Part 11</b>	<b>Collaboration with Other Institutions</b>	<b>89</b>
<b>Part 12</b>	<b>Admission with Advanced Standing or Progression Arrangements with Partner Institutions</b>	<b>125</b>
<b>Part 13</b>	<b>Annual Audit of Delegated Responsibilities and Policies</b>	<b>137</b>
<b>Part 14</b>	<b>Managing Relationships with Professional, Statutory and Regulatory Bodies</b>	<b>139</b>
<b>Part 15</b>	<b>Quality Assuring Apprenticeships</b>	<b>141</b>
<b>Part 16</b>	<b>Student Engagement</b>	<b>155</b>
 <b>APPENDICES</b>		
<b>Appendix 1</b>	<b>Principles underlying the approval, validation and review processes</b>	<b>159</b>
<b>Appendix 2</b>	<b>Appeals against decisions of approval, validation and review panels</b>	<b>161</b>



# Part 1

## Quality Assurance & Enhancement Principles

1. In order to achieve our vision, UEL has established quality assurance and enhancement procedures. Underlying these is a set of principles which inform our approach. Clear understanding and acceptance of these principles by all staff will ensure that our quality assurance and enhancement system works effectively.

### 2. Principles

#### 2.1 *We aim to assure the quality of the total student experience*

The focus of our quality assurance and enhancement procedures is not just on maintaining the academic standard of our courses (although this is a vital element if we are to meet the needs of our students). We aim to assure the quality of all students' experience while they are studying at UEL. We recognise that all areas of UEL's operation affect (directly or indirectly) the quality of that experience and may ultimately have an impact on student achievement.

#### 2.2 *All staff are responsible for quality*

Quality is the responsibility of every member of staff. Everybody has a contribution to make. In order for this approach to be successful, there must be clear lines of responsibility and accountability for each area of operation and adequate support to enable staff to achieve their quality objectives.

#### 2.3 *We aim to improve quality whenever possible*

Within the constraints of the resources available, we aim to provide the best possible student experience and to foster quality improvement at all levels.

#### 2.4 *We are committed to the principle of external peer involvement in assuring quality*

We recognise that one important factor in assuring quality involves constant re-examination of our own approach against those of our peers. In this way we can assure ourselves that we are maintaining appropriate standards and also demonstrate accountability to external bodies for the use of public funds and student fees

We are therefore committed to the involvement of external peers in our quality assurance procedures (in this context, the term 'peer' is broadly defined to incorporate academic staff, practitioners and future employers).

## 2.5 ***We take into account the views of our students***

We recognise that students make a valuable contribution to the assurance and assessment of quality within UEL. We are therefore committed to seeking the views of our students and using the feedback that we gain to improve the quality of their experience. Student input must be a key factor in course design, modification, monitoring and review processes. We will work collaboratively with the UEL Students' Union and student representatives operating in different fora. We will promote student engagement with quality assurance activity.

## **Part 2**

# **Responsibility for Quality Assurance & Enhancement**

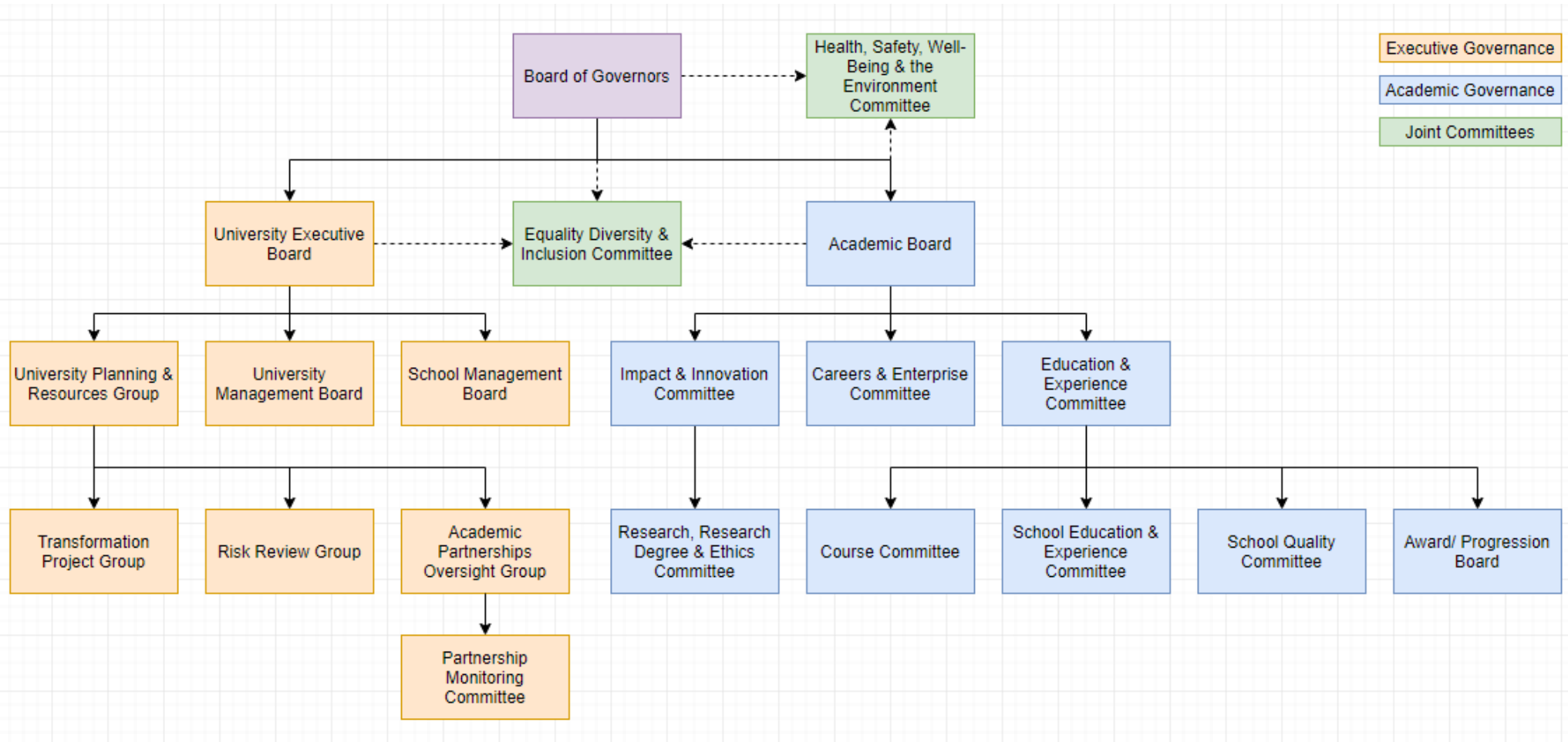
### **1 Introduction**

- 1.1 UEL's quality assurance and enhancement system incorporates clear lines of responsibility and accountability. This can be seen from two different perspectives: the collective responsibility of staff through the committee structure; and the individual responsibility of all staff in the performance of their duties.
- 1.2 This manual details the locus of responsibility for implementation of our policies and procedures, and for monitoring them. Education and Experience Committee regularly reviews elements of our procedures as appropriate and receives an annual summary of changes that have been made.

### **2 The committee structure**

- 2.1 The UEL scheme of governance defines governance as having two strands, Executive Governance overseen by the University Executive Board (UEB) and Academic Governance overseen by Academic Board. Both strands feed into the Board of Governors.
- 2.2 Quality assurance activity is predominantly located in the Academic Governance strand, though quality assurance processes do often include reference to Executive Governance where strategic decisions are required.
- 2.3 The following is a visual interpretation of the committee structure followed by a summary of the roles and responsibilities of the main committees associated with quality assurance. There are full terms of reference for each of the committees listed which are agreed at Academic Board initially. Changes to Terms of Reference are made by proposal to the parent committee.

# UEL Committee Structure 2020/21





## **2.4 The Board of Governors**

The Board of Governors is responsible for determination of the educational character and mission of the University and for oversight of its activities. Its key responsibilities relating to quality assurance include:

- Oversight of the programme of quality related activities scheduled for the year and discussion of the outcomes of those activities, leading to submission of any annual accountability returns.

## **2.5 Academic Board**

The Academic Board is responsible for academic quality in relation to taught courses and research. Many of the operational aspects are delegated to standing committees of Academic Board. The Board monitors the operation of delegated powers by the receipt of minutes and reports from its committees. Its key responsibilities relating to quality assurance include:

- criteria for the admission of students;
- the appointment and removal of internal and external examiners;
- policies and procedures for assessment and examination of the academic performance of students;
- the content of the curriculum;
- academic standards and the validation and review of courses;
- the procedures for the award of qualifications and honorary academic titles including the powers to revoke such awards in accordance with section 76 of the Further and Higher Education Act 1992;
- and the procedures for the expulsion of students for academic reasons.

The Vice-Chancellor and President is *ex-officio* Chair of the Academic Board

## **2.6 Equality Diversity and Inclusion Committee**

The Equality, Diversity and Inclusion (EDI) Committee is responsible to Academic Board, University Executive Board and the Board of Governors. It exists to promote, steer and progress inclusivity and equity at UEL. The Committee has institutional oversight of delivery against EDI objectives and commitments against agreed performance indicators. The Committee seeks to work with our internal and external communities to ensure that current and future equality legislation is embedded in our policies and practices so that all forms of discriminatory behaviour are eliminated and that equity and inclusion is actively progressed. The Vice-Chancellor and President is *ex-officio* Chair of the Equality, Diversity and Inclusion Committee.

## **2.7 Education and Experience Committee**

The Education and Experience Committee is responsible to Academic Board for leading UEL's strategic approach to the development, delivery and support of the Future Graduate strategic objectives and related Transformational

Projects in support of Vision 2028. In particular, these objectives and projects will focus on student success and student experience. Its themes include, oversight, approval and monitoring of recommendations for enhancement of both on campus and partner provision learning and teaching, quality and standards, and the learner journey. The Pro-Vice Chancellor (Education and Experience) is *ex-officio* Chair of the Education and Experience Committee.

## **2.8 Impact and Innovation Committee**

The Impact & Innovation Committee is responsible to Academic Board in relation to successful achievement of the Future Life strategic objectives and related Transformational Projects. In particular, these objectives and projects will focus on realising potential through educational pathways, equality of attainment, UEL's impact on its community and research performance. Its themes include, oversight, approval and monitoring of recommendations for enhancement of research strategy and policy, effective curricula, research impact, outreach, integrity and ethics. The PVC Impact and Innovation is *ex-officio* Chair of the Impact and Innovation Committee.

## **2.9 Research, Research Degrees and Ethics Sub-Committee**

The Research, Research Degrees and Ethics Sub-Committee is responsible for supporting the Impact and Innovation Committee in relation to policy and strategy for research, oversight of all matters relating to research degrees and considering and approving applications for ethical approval. The Pro-Vice Chancellor (Impact and Innovation) is *ex-officio* Chair of the Research, Research Degrees and Ethics Sub-Committee.

## **2.10 Careers & Enterprise Committee**

The Careers & Enterprise Committee is responsible to Academic Board in relation to successful achievement of the Future Professional strategic objectives and related Transformational Projects. In particular, these objectives and projects will focus on graduate employment, enterprise, partnerships and portfolio diversification. Its themes include, oversight, approval and monitoring of recommendations for enhancement of student employability including the career passport and placement activity, the portfolio of collaborative and apprenticeship provision, graduate outcomes, access and participation. The Pro-Vice Chancellor (Careers and Enterprise) is *ex-officio* Chair of the Careers and Enterprise Committee.

## **2.11 School Management Board**

School Management Boards are responsible to University Executive Board for developing, implementing, and monitoring strategy and process at School level, in line with institutional strategy, with respect to the academic portfolio; financial performance and risk management; admissions requirements and targets; international recruitment; research; learning, teaching and assessment; curriculum development; Equality and Diversity Strategy; strategy and outcomes in relation to student engagement and student

experience; collaborative provision; employability strategy; the Teaching Excellence Framework; peer review; and staff support and development.

They also have oversight of quality, standards and partnership activity at school level, including outputs from school based committees which consider these areas. Including:

- collaborative provision for the School;
- course approval, re-approval and modifications;
- external examiner activity;
- annual monitoring processes.

### **2.12 School Quality Committee**

School Quality Committees are accountable to Education and Experience Committee. The purpose of the School Quality Committee is to ensure the School's compliance with University quality processes and the Quality Manual and to monitor the School's activity relating to University enhancement processes. The committee is responsible for developing, implementing and monitoring any additional School-level processes and strategy deemed necessary for productive engagement with the University's Quality Assurance and Enhancement activities.

### **2.13 School Education and Experience Committee**

School Education and Experience Committees are accountable to Education and Experience Committee. The purpose of the School Education and Experience Committee is to have oversight of School based activities in relation to the enhancement of academic practices and the student experience. This will include the oversight of outcomes from student feedback mechanisms and any necessary actions in response to this feedback; oversight of School level activities in relation to the Teaching Excellence Framework (TEF); oversight of staff development activities within the School; and working closely with the School Quality Committee to enhance quality assurance practices as they related to academic practice and the student experience.

### **2.14 Course Committee**

Course Committees are accountable to School Education and Experience Committees. They are responsible for assuring the quality of the student experience at course level. Course Committees include all staff making a significant teaching contribution, students on the course, and representatives of relevant academic services (i.e. Learning Support Services). Their role is to ensure that the course(s) operates in a manner appropriate to its stated aims and objectives and to a standard commensurate to the award to which it leads. The Course Committee is responsible for monitoring the Continual Monitoring Process report produced by the course team. Proposals to change a course for existing students should be approved by the Course Committee.

### **3 Other types of sub-committee**

#### **3.1 *Executive Groups***

Executive groups are not part of the formal academic committee structure but they play an important part in developing and implementing academic and non-academic strategy. Three formal executive groups have been established and are described below:

##### **3.1.1 *School Management Team***

School Management Teams lead the School's strategic approach to the development, delivery and support of the Academic Strategy and management of the School's portfolio; financial and risk management; Teaching Excellence Framework metrics and documentation; staff-student ratios; research and knowledge exchange activity; recruitment and marketing; staff development; and Civic Engagement Strategy.

##### **3.1.2 *Department Committee***

Department Committees are comprised of all module leaders in the department, and course leaders from courses on which modules are core. Department Committees are responsible for assuring the quality and standards of the range of modules within the department. They will consider matters relating to the content, assessment and delivery of modules in the department on the basis of feedback from course leaders, course committees, module feedback questionnaires and module leaders. The Department Committee is responsible for approving the Department Continual Monitoring Process report and action plan prior to its consideration by the School Learning and Teaching Quality Committee, and then monitoring the action plan.

##### **3.1.3 *Partnership Monitoring Committee***

Partnership Monitoring Committees are established where collaborative activity with the same partner extends across two or more UEL Schools. The purpose of the committee is to establish communication mechanisms, maintain consistency of support mechanisms, and monitor and evaluate the student learning experience.

#### **3.2 *Task and Finish Groups***

Task and Finish groups may be established by parent committees on a temporary basis, in order that certain aspects of committee business can be investigated or monitored in more depth. Where this occurs the parent committee will establish the membership, duration and remit of the task and finish group, receive reports or minutes and make decisions based on recommendations for action.

### **3.3 Scrutiny Groups**

Scrutiny groups may be established by parent committees on an ongoing basis, in order that certain aspects of committee business can be scrutinised outside of the main assembly and then formally proposed to the committee for approval. Where this occurs the parent committee will establish the membership and remit of the scrutiny group, receive reports or minutes and make decisions based on recommendations for action.

## **4 Executive responsibilities for quality**

### **4.1 Vice-Chancellor's Group**

The Vice-Chancellor and President is accountable to the Board of Governors. The Vice-Chancellor and President has overall executive responsibility for the management of UEL and is *ex officio* chair of Academic Board. The Vice-Chancellor delegates to senior staff responsibility for particular aspects of the institution's management. Each member of staff has responsibility for ensuring quality within their area.

### **4.2 Dean/Head of School**

The Dean/Head of School is responsible for executive oversight for the quality of the School's academic provision and for ensuring that quality assurance procedures are complied with inside each School.

The Dean/Head of School is responsible for ensuring the appointment of School Directors to lead the implementation of university strategy at a school level for Education, Careers and Research. This may also include, where appropriate the appointment of School Leaders for Learning and Teaching, Research, and Quality, and Deputy Leaders who may represent the school on committees and chair relevant school meetings.

The Dean/Head of School is responsible for ensuring that each Course Committee completes a Continual Monitoring Report. The Dean/Head of School ensures that a School Continual Monitoring Report, including an action plan, is produced and approved by the School.

The Dean/Head of School is responsible for the implementation within the School of actions arising from validation, monitoring and review.

### **4.4 School Directors**

Each School has Directors for Education and Experience, Careers and Enterprise, and Innovation and Impact. Directors are accountable to the Dean/Head of School and the Pro-Vice Chancellor related to their areas of responsibility, for the effective implementation of relevant procedures at School level.

### **4.5 School Leaders**

Schools appoint Leaders in critical areas of activity such as: Collaborations, Learning & Teaching, Quality Assurance, Research. Leaders are accountable to Directors for the effective implementation of relevant procedures at school level. The Directors may stand in as Leader where no Leader is appointed.

#### **4.6 Course Leader/Head of Department**

Course Leaders and Heads of Department are accountable to the Dean/Head of School for the effective management of a department or course and for ensuring that quality assurance procedures at department or course level, as appropriate, are followed.

The Head of Department is responsible for leading subject development and ensuring the management of delivery of modules and their associated assessment in the department. Heads of Department ensure the appointment of appropriate numbers of external examiners.

The Course Leader co-ordinates the Continual Monitoring Process for approval by the Course Committee and is also responsible for co-ordinating the preparation of the student handbook and other documentation for quality assurance and enhancement purposes.

The Course Leader is responsible for ensuring that each member of the course team is aware of his or her particular responsibilities with regard to the management of a course e.g. Module Leaders, Admissions Tutors, Year Tutors, Academic Advisors.

#### **4.7 Directors of Services**

Each Director of a Service is accountable to a member of the UEB for the quality of the service which is provided. The Director is responsible for ensuring that quality assurance procedures are followed.

In particular, the Head of Quality Assurance and Enhancement is responsible for: the provision of support for the development of policy with regard to quality assurance; the implementation of those quality assurance processes managed by Quality Assurance and Enhancement; and the provision of advice and guidance with regard to implementation at school level.

The Director of the Centre for Excellence in Learning and Teaching is responsible for overseeing the development of policy and practice in relation to the development of learning and teaching.

#### **4.8 All staff**

All staff are accountable to their line manager. All staff have clearly defined job descriptions which state their duties and responsibilities.

The effective fulfilment of their job description is the responsibility of every member of staff.

Every member of staff is expected to subscribe to the ethos of quality and contributes to quality assurance and enhancement.





# Part 3

## Module Processes

### 1. Introduction

- 1.1 Information about module processes can be found throughout this manual. This section provides a brief summary of these processes and identifies the part of the Quality Manual in which further information may be found.

### 2. Responsibility

- 2.1 The Head of Department is responsible for leading department development and ensuring the management of delivery of modules and their associated assessment in the department area.
- 2.2 The Course Leader is responsible for ensuring that each member of the course team is aware of their responsibilities regarding the management of a course e.g. Module Leaders and Academic Advisors.

### 3. Creating and Updating Module Specifications

- 3.1 The module specification form and associated guidance is available at:  
<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx#modules>
- 3.2 Module specifications for any given year are held by QAE, therefore QAE should be notified of any changes to module specifications, even regular routine updates that do not require formal quality approval such as updates to the reading lists.

Updated specifications can be sent to the QAE Mailbox:

[gae@uel.ac.uk](mailto:gae@uel.ac.uk)

### 4. Module Approval

- 4.1 Module approval may take place during the process of course approval. Module specifications are included in the documentation required for the approval of a new course (Part 5, Approval and Validation of Award-Bearing Courses (non-collaborative)).

- 4.2 New modules for incorporation in existing courses may be approved by the School Quality Committee (Part 6, Module and Course Modifications).
- 4.3 Where a course incorporates modules 'owned' by another School, the Course Leader will obtain written agreement from the School relating to the use of the modules, and this should be presented at the approval meeting (Part 5, Approval and Validation of Award-Bearing Courses (non-collaborative)).

Following approval:

- Course specification(s) must be updated to include details of any newly approved modules and forwarded to QAE.
  - Where modules are core, the implications for the 25% rule must be noted. (Part 6, Module and Course Modifications).
- 4.4 While not a formal part of the module approval process, it is expected that following approval, a module guide/handbook will be produced and made available to students upon commencement of the module. Module guides will be considered as part of the Periodic Review Process (Part 8, Periodic Academic Review).

## **5. Module Modification**

- 5.1 Guidance on module modifications can be found in Part 6, Module and Course Modifications.
- 5.2 Module modifications must be approved by the relevant School Quality Committee.
- 5.3 Module modifications will not be applied retrospectively and should only be implemented at the start of the term or academic session following their approval.
- 5.4 Where modifications are being proposed that will affect students currently enrolled on a course, students must be consulted and notified if approved.
- 5.5 Where changes to learning outcomes, level, credit weighting and curriculum content are proposed, external peer advice must be sought.
- 5.6 Where modules are core, the implications for the 25% rule must be noted. A running log of all programme modifications should be kept by the School Quality Committee.
- 5.7 Normal and regular updates of reading and resources lists do not require approval by the School Quality Committee.
- 5.8 Course Leaders should be notified when module modifications have been made to modules that are offered on their courses.

- 5.9 Where modifications are approved to modules on franchised partner courses the relevant link tutor and the Academic and Employer Partnerships Office must be informed.

## **6. Changes to Module Titles**

- 6.1 School Quality Committees may approve changes to module titles. (Part 6, Module and Course Modifications).

## **7 Collecting and Responding to Student Feedback**

- 7.1 All students will be provided with the opportunity to contribute feedback on each module anonymously. A centrally administered automated module evaluation system is used for undergraduate and postgraduate taught, work placement and dissertation modules delivered at UEL. It does not cover collaborative provision or postgraduate research courses. The standard questions cover key areas such as: teaching sessions; module support; module organisation; module resources; module satisfaction; student voice; and employment readiness. A results analysis report is generated and provided to Module Leaders and relevant School staff. Student feedback from module evaluation should be considered in the Module Development Plan, as detailed below.

## **8 Module Monitoring**

- 8.1 A Module Development Plan (MDEP) will be prepared for each module at the end of each delivery cycle (term or academic year, as appropriate).
- 8.2 A standard report template is available on the Quality Assurance & Enhancement SharePoint page.

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

- 8.3 The MDEP should be forwarded to External Examiners as part of the assessment board pack. Schools will make local arrangements for storing MDEPs.

## **9 Module Enhancement Plans (MEP) *(not running in 2020/21 and under review)***

- 9.1 Module Enhancement Plans are required for modules that are below benchmarks in criteria that include: number of students registered, student satisfaction, mean mark, non-submission rate, and pass rate.
- 9.2 Action plans for modules that require a MEP (as identified to the School), should include identification of whether this constitutes a trend or a new development, and the reasons for the level of performance.

9.3 A breakdown of the criteria used to identify if MEP is required is provided below:

Criteria	Criteria Name	Description of Measure	Score					Weighting	
			0*	1	2	3	4		5
1	No. Registered	The total number of students registered (extracted from Delta SMR).	MEP triggered if there are fewer than 10 students.						
2	MEQ Response Rate	The number of responses divided by the number of students registered.	MEP triggered if the response rate is lower than 33%						
3a	Overall Satisfaction Undergraduate	Taken from MEQ end of Module Questionnaire, 'Overall, I am satisfied with the quality of this module', definitely agree and mostly agree (q5.1)	<70%	<75%	<80%	<85%	<87%	≥89%	30%
3b	Overall Satisfaction Postgraduate	Taken from MEQ end of Module Questionnaire, 'Overall, I am satisfied with the quality of this module', definitely agree and mostly agree (q5.1)	<73%	<78%	<83%	<88%	<90%	≥92%	30%
4	Non-Submission Rate	Number of attempts divided by the number of registrations. The number of registrations measure excludes students with non-standard results codes, e.g., W (withdrawn), BR (Misconduct), CA (Chairs Action) and only includes students who are on their first attempt.	≥20%	<20%	<18%	<16%	<14%	<12%	10%
5	Pass Rate	The number of passes divided by the number registered (first sit).	<72%	<75%	<78%	<80%	<82%	≥82%	30%
6	Mean Mark	The average mean mark of students with P (pass) grades in the module (first sit).	<56%	<57%	<58%	<60%	<62%	≥62%	30%
<b>Total Score</b>			The sum of each score in criteria 3-6 divided by its weighting. Range of scoring 0-5. MEP triggered if the score is below 3.						
<b>Academic Outcomes Score</b>			The sum of each score in criteria 4-6 divided by its weighting. Range of scoring 0-3.5.						
* A score of 0 in any category triggers a MEP									

### Manuals, Forms and Guidance notes relevant to Part 3

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

#### Modules

- Module Enhancement Process Template, Timeline, FAQ and Guidance Note
- Module Development Plan Template and Guidance
- Module Specification Template
- Guidelines for Module Guides
- Module Guide Template
- Taught Module Evaluation Questionnaire
- Work Placement Module Evaluation Questionnaire
- Distance Learning Module Evaluation Questionnaire
- Dissertation End Module Evaluation Questionnaire

#### Programme Amendments

- Module Amendment Form for SE&EC

# Part 4

## Quality Criteria

**In order for a course to be approved it must meet the criteria defined below. During Academic Review each course will, once again, be measured against these criteria and approval may be withdrawn if the criteria are not found to be satisfied. Any proposed departures from, or extension to, these criteria should be justified at the planning stage of the approval process and, if necessary, referred to the Education and Experience Committee for agreement.**

### **1 Academic Climate and Resources**

- 1.1 The School in which the course is located provides evidence of relevant academic, scholarly and professional activity and can demonstrate that this is adequate and appropriate to support the course.
- 1.2 There are adequate numbers of staff with appropriate expertise at all levels to support the course.
- 1.3 There is adequate accommodation for teaching and learning to take place within an environment that is conducive to learning.
- 1.4 There is appropriate and up-to-date specialist equipment to support learning.
- 1.5 There is adequate library, computer and other educational resources available to support students' learning needs.
- 1.6 For apprenticeship course, that there are adequate resources to support the development of knowledge, skills and behaviours in a workplace setting, using the workplace as the main location for their development in the context of undertaking day to day work activities.

### **2 Philosophy and Principles**

- 2.1 The course has clearly articulated aims and objectives which meet the needs of students and equip them with skills, knowledge and behaviours relevant to the needs of employers and the wider economy.
- 2.2 The aims and objectives are consistent with the UEL vision.

- 2.3 The course conforms to UEL's Equality & Diversity Policy and actively encourages participation by groups previously under-represented in higher education. Students' ethnic and cultural/historical background is treated with respect and reflected in curriculum content and teaching methods wherever possible. See CELT EDI Curriculum Checklist for further guidance (<https://uelac.sharepoint.com/sites/celt/SitePages/documents-policies.aspx>).
- 2.4 Academic standards in subject content, teaching, and learning materials provided match the national standing of the award and the expectations of employers and other external partners and peers (as articulated in documents such as the Quality Assurance Agency for Higher Education's Subject Benchmark Statements, the Framework for Higher Education Qualifications, the UK Quality Code for Higher Education and in statements articulating professional body accreditation requirements).
- 2.5 The course in relation to research and ethics conforms to standards outlined in the Concordat to Support Research Integrity 2019, the University's Code of Practice for Research and the Code of Practice for Research Ethics
- 2.6 Opportunities exist for progression on to further (lifelong) study, career or professional development.

### **3 Admissions**

- 3.1 Policy and practice in admissions provides equal opportunities to applicants and does not discriminate on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation and is consistent with UEL's overall admissions policy.
- 3.2 The admissions procedure conforms to UEL's policy concerning the Accreditation of Prior Certificated and Experiential Learning (APEL).
- 3.3 The threshold competencies required for admission to the course are clearly specified and justified.
- 3.4 Students are admitted to the course only if they are likely to be successful in gaining an award.
- 3.5 For apprenticeship courses, arrangements are made for the initial assessment of apprentices, involving UEL and the employer, and the creation of learning agreements between UEL, the employer and the apprentice. The knowledge, skills and behaviour requirements of each apprentice are used as a basis for tailoring the course to the individual apprentice's needs.

### **4 Structure**

- 4.1 The structure is clearly defined and consistent with the aims and objectives of the course.
- 4.2 The course has been designed in such a way as to ensure that the student experience has a logic and integrity that is clearly linked to the aims and objectives of the course.
- 4.3 Learning outcomes are specified for each module.
- 4.4 Each module has a credit tariff specified in accordance with the regulations and there is a clearly defined method for awarding credits to students who leave at intermediate stages.
- 4.5 Provision is made for movement between courses within the institution and to and from courses external to UEL.
- 4.6 For apprenticeship courses, the structure is sufficiently flexible to allow for the delivery approach to be tailored to the needs of the apprentice and employer as and when tri-partite relationships are formally agreed.

## **5 Content**

- 5.1 The content of the course is consistent with its aims and objectives.
- 5.2 The specialist content of the course is current and comparable with that of similar courses elsewhere.
- 5.3 The content is inclusive and diverse.
- 5.4 The course actively fosters within students the following general skills and competencies (i.e. skills are both taught and assessed):

### **All courses**

- use of subject specific English and Mathematics pertinent to the demands of the course;
- intellectual and imaginative skills;
- understanding and competence;
- the ability to solve problems;
- an enquiring, analytical and creative approach;
- independent judgment and critical self-awareness;
- skills of clear communication and logical argument;
- the ability to see relationships within what they have learned and to relate what they have learned to actual situations;
- an appreciation of attitudes, modes of thought, practices and disciplines other than those of their main studies.

### **Undergraduate courses**

- ability to take initiatives and work independently;
- ability to work effectively as a member of a team;
- ability to use written communication and oral presentation effectively in a variety of contexts
- ability to search for information and carry out appropriate data-analysis;
- ability to make effective use of information technology.

### **Postgraduate/post experience courses**

- research appropriate to the subject, including data searching and retrieval at research level;
- management/leadership skills, including decision-making skills;
- independent critical analysis of conceptual and theoretical basis of a piece of argument within the field being studied;
- awareness of new developments in the subject area.

### **Apprenticeship Courses**

- British values, Prevent and Safeguarding embedded within the curriculum.

## **6 Learning and Teaching Methods**

- 6.1 Learning and teaching methods are consistent with the aims and objectives of the course and meet the needs of students.
- 6.2 A range of learning and teaching methods is used to provide students with a variety of learning opportunities and experiences.
- 6.3 Learning and teaching methods respond to diversity, promote equality of opportunity and inclusivity. See CELT EDI Curriculum Checklist (<https://uelac.sharepoint.com/sites/celt/SitePages/documents-policies.aspx>).
- 6.4 Students are encouraged to be active in the learning process and to take responsibility for much of their own learning.
- 6.5 For apprenticeship courses, learning takes place in the workplace, normally supported by a workplace mentor who is in turn supported by the university via a trained educator with industry experience and knowledge.

## **7 Assessment**

- 7.1 Assessment methods and arrangements are fair, reliable and valid, with assessment at the appropriate level.
- 7.2 A variety of methods of assessing student learning is used.
- 7.3 Assessments measure the stated learning outcomes for each module, including skills development.



7.4 The methods and criteria for assessment are published and made available to students in advance.

7.5 External moderation of assessment takes place.

## **8 Guidance and Support**

8.1 Adequate induction is provided at the point of admission to the course and is consistent with the Policy on Student Induction.

8.2 Arrangements for the induction of apprentices includes an induction to the workplace as a place to work and learn.

8.3 There is an adequate academic guidance system in place to provide support for students which facilitates the planning, monitoring, reviewing, and recording of their learning.

8.4 Support is available to help students acquire core skills and competencies.

8.5 There is an adequate personal support system for students.

8.6 For apprenticeship courses, support is available to assist apprentices who become unemployed during the course of the apprenticeship, to find alternative employment or study.

## **9 Progression and Completion**

9.1 Progression and completion rates are kept under review and appropriate action is taken when a problem is identified.

## **10 Information**

10.1 Detailed and useful information on the philosophy, aims, objectives, structure, content, admissions, operation and assessment of the course is readily available to all staff and students involved with the course through the provision of student handbooks, course specifications and module study guides, as appropriate.

10.2 To be compliant with consumer law, any extra costs on top of the tuition fees must be provided in the "Additional costs" section of the course specification. Examples for which additional costs may be required include:

- field trips
- equipment
- materials
- bench fees
- studio hire

Confirmation will be needed of whether:

- these are mandatory or optional
- when the costs are due to be paid
- how much these extra costs are or are likely to be and, if they are unknown or uncertain, how they will be calculated

## **11 Students' and Employers' Views**

- 11.1 The views of students and employers are actively sought and taken into account in the design, delivery and outcomes of the course.
- 11.2 If a revalidation is to impact any existing students, those students must be informed of the proposed changes and be given ample time to provide their feedback and consent.
- 11.3 Offer-holder applicants to a course undergoing revalidation must be informed of the proposed changes and be given ample time to provide their feedback and consent.
- 11.4 In apprenticeship courses:
- The course has been designed and developed in partnership with employers and other stakeholders (where applicable).
  - There are clear expectations around conducting regular tri-partite progress reviews.

## **12 Regulations of Validating Bodies**

- 12.1 If the course is accredited/validated by an external body, it must also conform to the regulations of that body.

## Part 5

# Approval and Validation of Award-Bearing Courses (non-collaborative)

### 1 Introduction

- 1.1 All proposals for new courses require Initial Approval by the relevant school and university committees.
- 1.2 School Quality Committees approve all non-collaborative courses. Part 11 of this manual outlines procedures for the approval of collaborative courses.
- 1.3 After school approval, all non-collaborative courses are validated via the peer review process.
- 1.4 Education & Experience Committee formally monitor the addition of courses to the university portfolio.

### 2 The Initial Approval Process

- 2.1 Before a new course is developed, Initial Approval must be obtained. The aim is to ensure that time is spent productively on developing proposals that are viable, accord with the UEL vision and strategic plans and are likely to succeed at validation.
- 2.2 Initial Approval should be obtained eighteen months before the first intake of students. Exceptions with tighter timescales may be approved if an appropriate rationale is received.
- 2.3 Final deadlines:

Phase	Stage / Intake Point	Sep-22	Jan-23	Sep-23	Jan-24
	Schools to complete Initial Approval Form for each course and submit to QAE	October 2020	April 2021	October 2021	April 2022
	Marketing to insert detailed market analysis with projected student numbers	December 2020	May 2021	December 2021	May 2022

Initial Approval	Finance to provide costing based on projected student numbers from Marketing	December 2020	June 2021	December 2022	June 2022
	Initial Approval Forms circulated to stakeholders for 2 weeks for consideration	January 2021	July 2021	January 2022	July 2022
	Initial Approval Forms considered at post-consultation review meeting	January 2021	August 2021	January 2022	August 2022
Validation	SLTQC Validation to take place by	February 2022	May 2022	February 2023	May 2023
	Quality Audit (Peer Review) completed by	March 2022	July 2022	March 2023	July 2023

2.4 Before initial approval forms are completed, Schools and Strategic Recruitment and Marketing will use market insights to develop a list of potential areas for growth.

2.5 Initial approval activities and responsibilities:

Activity	Responsibility	Action (communications via Teams site)	When (week of)
Market insight delivered to Schools	Marketing	Share detailed insight doc to Deans and Heads of School	19/10/20
New course list for September 2022 development	Schools	Work on a proposed list of course titles to share	19/10/20 - 9/11/20
Confirm proposed new course list for September 2022	Schools	Share proposed course list for Marketing to review	9/11/20
Discuss and confirm final new course list	Schools and Marketing	Teams meeting to discuss and confirm	9/11/20
Complete Initial Approval forms for approved courses	Schools	Submit Initial Approval forms to QAE by COP 27/11/20	9/11/20-23/11/20
Input into Initial Approval forms	Marketing	Add insight (from initial phase) and projected numbers	23/11/20-7/12/20
Input into Initial Approval forms	Finance	Add financial viability assessment based on Marketing numbers	23/11/20-7/12/20
Final Initial Approval forms processed	QAE	Collation of forms and identification and completion of any gaps	7/12/20-21/12/20
Stakeholder consultation	QAE	Circulate Initial Approval forms for 14-day consultation (phased)	14/12/20-18/1/21
Post-consultation review meeting	QAE	Meeting with key stakeholders - decision on Initial Approval	25/1/21
Confirmation of Initial Approvals granted	QAE	Email confirmation of courses initially approved	25/1/21
Set-up and promotion of courses	C&S / Admissions / Marketing	Add courses to internal systems and launch on website	1/2/21 onward

2.6 As part of the development process, the Course proposer should contact staff in the following services at the earliest opportunity in order to discuss the proposal:

<i>Financial Services</i>	Advice on the financial viability of the proposal and the level of tuition fee that should be set.
<i>Strategic Planning</i>	Advice on external funding.
<i>Student Recruitment and Marketing</i>	Advice on the marketing of the proposed Course.
<i>Quality Assurance and Enhancement</i>	Advice on the validation process and compatibility of courses with regulations. Advice on alignment of QAE and PSRB processes. Completion of due diligence and MoC processes for Collaborative Partnerships.
<i>International Student Recruitment</i>	Advice on demand from international students, English language and IELTS requirements.
<i>Information Technology Services</i>	Advice on IT requirements and to assess the extent to which IT services will be able support the proposed course.
<i>Library and Learning Services</i>	Advice on the ability of Library and Learning Services to support the proposed course, including availability of funding to purchase learning resources.
<i>Facilities Services</i>	The availability of standard and specialist accommodation to support the proposed course.
<i>Centre for Student Success</i>	Advice on structuring the course to enable students to succeed, during and after their studies.
<i>Graduate School</i>	For proposals for professional doctorate courses.

2.7 The course proposer is required to complete the approval form, in collaboration with the services listed above, to confirm:

- A case for how the proposed course aligns with School and Institutional strategy. With additional student related information regarding Course set up.
- Detailed staffing strategy, high level facilities/ space/ technology/ IT requirements.
- Confirmation of any funding sources.
- Timeline for approval.
- Module level detail relating to the proposed course
- Initial market analysis completed by the proposer
- Detailed market analysis, viability of the proposed course, the target market and main competitors completed by Student Recruitment and Marketing.

- Text suitable for advertising the course.
- Detailed financials covering income and expenditure for the first 3 years. Including commentary from Financial Services and relevant finance codes.

### **3 Course Validation**

- 3.1 No proposal may proceed to validation unless it has been granted Initial Approval.
- 3.2 Once approved, the proposal is added to the validation schedule and progress in terms of validation is monitored by the School Quality Committee. The QAE Officer associated with the School will be available to provide advice and guidance and assist in the development of the proposal.
- 3.3 Once a proposal has received Initial Approval, the Course Proposer establishes a development team to assist with the development of the course.
- 3.4 Where a course has, or requires, recognition by a professional, regulatory or statutory body (PSRB), the body should be informed at the earliest opportunity. Depending on the approval requirements of the PSRB, a representative of that body can be involved in the approval process. QAE can advise on possible arrangements.

#### **3.5 Naming of Courses Involving Multiple Subjects**

- 3.5.1 Where a single honours degree combines two subjects within its course title, the title should contain either the words 'and' or 'with':
- 3.5.1.1 **And** - should be used where there is equal weighting at all levels between the two subjects, so that there are 60 credits per subject area per level.
- 3.5.1.2 If some modules contain aspects of both subjects, there must be clear indications that there is an equal amount of content from both subject areas.
- 3.5.1.3 **With** - should be used where there are a greater number of credits in one subject compared to the other, typically 90/30. The subject with the greatest credit weighting must appear first in the degree name.
- 3.5.2 Where the course contains a dissertation, it would be assumed that the topic of this would reflect both subjects taught where the degree is 'and', with a greater bias on one rather than the other for 'with'.

#### **3.6 External Advice**

- 3.7 Prior to the School Quality Committee meeting convened to consider the course for approval, the Course Proposer nominates appropriate external subject

advisers to participate in the approval process. Two external advisers are required, but this number can be increased, if appropriate, at the discretion of the Chair of the School Quality Committee. Where a substantive amount of distance or blended learning is included, at least one of the external advisers should have experience of distance learning provision.

- 3.8 The suitability of the external advisers will be determined by the Chair of the School Quality Committee subject to the following criteria:
- 3.8.1 The depth of subject knowledge.
  - 3.8.2 The relevance of subject knowledge.
  - 3.8.3 Prior experience of teaching on courses at the same level or above; and experience of distance or blended learning provision where appropriate.
  - 3.8.4 Impartiality (the nominee should not have any formal links with UEL during the last five years as a former member of staff or the last three years as an external examiner).
  - 3.8.5 Professional expertise (for vocational courses, at least one of the advisers should be a 'practitioner' drawn from a relevant business or professional background).
- 3.9 It is unlikely that any single nominee will meet all the above requirements. In making judgments about the suitability of the proposed external subject advisers, the Chair will need to consider the overall balance of expertise presented by the external advisers. The Chair may reject a nominee or require the Course Proposer to nominate additional external subject advisers in order to ensure a balance of expert advice.
- 3.10 The external adviser should receive a copy of all documentation detailed below and be asked to comment on the extent to which the documentation meets the UEL Quality Criteria.
- 3.11 Normally, comments from external advisers will be sought by correspondence and presented to a full meeting of the School Quality Committee. There is no requirement that external advisers attend a committee meeting but, at the discretion of the School Quality Committee, external advisers may be invited to attend a meeting (remotely or in person) in order to contribute to the discussion. Where an external adviser has not attended the meeting, the Course Proposer will formally notify the external adviser of the outcome of the process.
- 3.12 **Documentation**
- 3.13 The Course Proposer is responsible for ensuring that documentation is provided for the School Quality Committee's attention in advance of the meeting. It is required that documentation is circulated a minimum of 5 days in advance of the meeting. The following documentation is required for the approval of a new course.

### 3.13.1 A validation document to include:

- The context of the proposed course: This will include how the proposal meets the objectives of UEL's Strategic Plan and the School plan; the academic profile of the School and an assessment of the impact of the proposal on that profile; and any relationship of the proposal to courses run by other Schools within UEL.
- The rationale for the proposal, to include: evidence of the regional and national demand for the proposal; details of consultation with relevant employers and relevant professional bodies; the relationship of the proposal to similar provision offered elsewhere; if the course replaces one currently offered by the School, an explanation of why this is and details of consultation with students on the existing course; the target student group/expected student profile; and expected career destinations for graduates/diplomates.
- The professional context of the proposal (if relevant): This will include the influence of professional body requirements on the design of the course. (If necessary, the relevant guidelines of the professional body/bodies should be provided as an appendix).
- Course and Cluster structure diagram.
- Arrangements for the supervision and assessment of any placement element.
- School based academic and other counselling/student support arrangements.
- A statement detailing the course team's evaluation of their proposal with regard to the Framework for Higher Education Qualifications, relevant QAA Subject Benchmark Statement(s) (where applicable), the QAA Quality Code, and any professional accreditation requirements (i.e. how have they been used in the development of the Course).
- A curriculum vitae for each member of staff associated with teaching on the course.
- Resources: This should include a statement making it clear what physical resources are available to support the course (e.g. library, computer hardware and software, specialist accommodation, other specialist equipment), and how distance learning students will access the resources.
- In the case of a course reapproval, confirmation of student consultation to the proposed changes and evidence of such consultation along with transitional arrangements.

### 3.13.2 Course Specification, using the standard UEL template

### 3.13.3 Module Specifications, using the standard UEL template



- 3.13.4 For distance learning proposals and proposals that involve a blend of both distance/online and on-campus learning, the proposal must also include a learning strategy, using the standard UEL template.
- 3.13.5 Templates are available at:  
<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>.
- 3.13.6 For approval of courses to be delivered as Higher and Degree Apprenticeships additional documentation and approval requirements are outlined in this manual Part 15. It is recommended that course proposers are familiar with the whole chapter before proposing an apprenticeship course.
- 3.13.7 Where a course incorporates modules 'owned' by another School, the course leader will obtain written agreement from the School relating to the use of the modules, and this should be presented to the approval meeting. This will facilitate subsequent notifications of changes made to these modules.
- 3.14 In addition to the documentation provided by the course proposer, the School Quality Committee will be provided with a copy of the following information to assist with their deliberations:
- The UEL Quality Criteria.
  - The relevant QAA Subject Benchmark Statement(s).
  - An extract from Part 1 of the Manual of General Regulations, providing the full description of the award to which the proposed course will lead.
  - The external advisers' written comments, and the course team's response.
  - A copy of the relevant professional body(s) requirements, where appropriate.
  - A copy of the Initial Approval form.
  - Any other information relevant to the proposal.
- 3.15 **Course Approval**
- 3.16 All proposals for new courses will be considered by a full meeting of the School Quality Committee (held in person or remotely). Proposals cannot be considered by correspondence. Schools are encouraged to set schedules for approval business and monitor these through their School Quality Committee. Where deadlines shown above cannot be met, validation can only proceed with the agreement of the Head of Quality Assurance and Enhancement.
- 3.17 Where a professional, statutory or regulatory body requires it, a joint validation/accreditation event may be held, either by participation of the body in

the UEL process as part of the School Quality Committee, or by a separate bespoke event that satisfies both UEL and the accrediting body needs.

- 3.18 In order for new courses to be approved, the Quality Assurance Officer and a member of staff from another School (normally a School Quality Leader, but may be a Deputy Quality Leader, Dean of School, or Director of Education and Experience), must be present at the meeting, as specified in the standard terms of reference and constitution of the School Quality Committee. For the approval of professional doctorate courses, a representative of the Graduate School will also be invited to attend.
- 3.19 The School Quality Committee will evaluate the proposal against the Quality Criteria and other external reference points, as appropriate, as set out in section 3.13 above.
- 3.20 In the case of distance and blended learning provision, the approval event will consider additionally the strategy for distance, blended or online delivery which will include the following: methods of; delivery; induction; support; implementation of the curriculum; assessment strategy; and a plan for the ongoing development of staff.
- 3.21 For approval of courses to be delivered as Higher or Degree Apprenticeships there are additional approval requirements, outlined in Chapter 15 of this manual.
- 3.22 A School Quality Committee may not consider a course for approval unless the comments of all external advisers are available to the meeting.
- 3.23 The School Quality Committee can either: (a) approve the proposal and forward it to Quality Assurance and Enhancement for formal validation after peer review or; (b) reject the proposal and require that it be revised and re-submitted for further consideration at a future meeting. The School Quality Committee may not impose conditions of approval.
- 3.24 The School Quality Committee can ask for minor amendments to the documentation as a result of discussions at the approval meeting, to be completed before the documents are circulated for peer review. As a guide, these should take no longer than two weeks to resolve (deadline to be set at the event) and might include things like wording of learning outcomes, or clarification of student facing documentation. This would not include things like the submission of missing documentation, which would require the proposal to be resubmitted to a future meeting.
- 3.25 The minutes of the School Quality Committee will record details of the discussion about the proposal and the outcome agreed by the Committee. They will also indicate clearly the action taken in respect of recommendations of external advisers. The minutes will be forwarded to Quality Assurance and Enhancement to be included in the documentation circulated for peer review.

- 3.26 Once a course has been approved by the School Quality Committee, it can be delivered, subject to formal validation by peer review. The Servicing Officer for peer review will write to each School, following successful confirmation to notify them of formal course validation.
- 3.27 All courses are validated indefinitely; the Academic Review process provides assurances that the course remains current. A shorter period may be determined by the School Quality Committee and/or a professional body(s) if necessary.
- 3.28 **Peer Review**
- 3.29 Peer reviewers will formally validate all courses, on behalf of the Education and Experience Committee and Academic Board.
- 3.30 A subset of documentation will be circulated by QAE to a peer reviewer to judge whether due process has been followed and all relevant actions have been completed.
- 3.31 Peer reviewers complete a standard review form.
- 3.32 Peer reviewers will not 'second guess' the academic judgement of the School Quality Committee nor of the external advisers.
- 3.33 To facilitate their role, peer reviewers will receive: copies of the minutes of the meeting of the School Quality Committee; a copy of the Course specification; the external advisers' comments and School response.
- 3.34 Where peer reviewers have concerns about the completion of the process by the School Quality Committee, they will make those known to the Head of Quality Assurance and Enhancement via the review form. The Head of Quality Assurance and Enhancement may seek further information or refer the proposal back to the School Quality Committee for further consideration.
- 3.35 The Head of Quality Assurance and Enhancement will report the status of courses currently being validated (and withdrawn) to Education and Experience Committee, noting when validation is complete and any issues of institutional significance that have emerged from validation activity.

<b><u>Stage</u></b>	<b><u>Notes</u></b>	<b><u>Window / Deadline</u></b>
Prep Meeting	<ul style="list-style-type: none"> <li>• Confirm courses</li> <li>• Identify authors and key stakeholders</li> <li>• Agree timelines</li> <li>• Share templates</li> <li>• Discuss document control</li> <li>• Discuss External Advisor process</li> </ul>	1 <sup>st</sup> June to 19 <sup>th</sup> June (ideally by 12 <sup>th</sup> June)
Submit first draft of course and module specifications and cluster map	<ul style="list-style-type: none"> <li>• Initial review of specs will commence from QAE Officer and Quality Lead upon receipt so that checks can be made, and feedback given prior to submission of first draft of validation document</li> </ul>	22 <sup>nd</sup> June
CELT input	<ul style="list-style-type: none"> <li>• Discuss approach and shape of learning and teaching experience</li> <li>• Discuss learning outcomes and how these can be approached</li> </ul>	Ideally before first draft of validation documents are submitted on 31 <sup>st</sup> July (but can happen anytime up until documents are sent out to External Advisors and SLTQC members for review on 5 <sup>th</sup> October)
Student & Employer feedback	<ul style="list-style-type: none"> <li>• Obtain feedback that can be used to shape the course(s) being proposed</li> </ul>	Ideally before first draft of validation documents are submitted on 31 <sup>st</sup> July (but can happen anytime up until documents are sent out to External Advisors and SLTQC members for review on 5 <sup>th</sup> October)
Submit first draft of validation document		31 <sup>st</sup> July
Key QA reviewers to review first draft	<ul style="list-style-type: none"> <li>• Likely to include the following: <ul style="list-style-type: none"> <li>○ Quality Lead</li> <li>○ Quality Officer</li> <li>○ Head of Department</li> </ul> </li> </ul>	3 <sup>rd</sup> August – 7 <sup>th</sup> August
Planning meeting	<ul style="list-style-type: none"> <li>• To discuss issues picked up in first draft of validation documents, share good practice</li> </ul>	10 <sup>th</sup> August – 4 <sup>th</sup> September
Work on final draft		7 <sup>th</sup> September – 18 <sup>th</sup> September
External Advisors approved by SLTQC		18 <sup>th</sup> September

and Right to Work Check carried out		
Submit Final draft		21 <sup>st</sup> September
Quality Lead and Quality Officers to review final draft		21 <sup>st</sup> September – 2 <sup>nd</sup> October
Circulating of documents	<ul style="list-style-type: none"> <li>QAE officers to collate and send packs for External Advisors and SLTQC members</li> </ul>	5 <sup>th</sup> October – 9 <sup>th</sup> October
Internal review (SLTQC) and External Review (External Advisors)	<ul style="list-style-type: none"> <li>Checking that validation documentation meets quality criteria and completing pro-formas</li> </ul>	12 <sup>th</sup> October – 30 <sup>th</sup> October
Clusters to respond to pro-formas and carry out amendments/actions		2 <sup>nd</sup> November – 20 <sup>th</sup> November
Close the loop		23 <sup>rd</sup> November – 8 <sup>th</sup> January
SLTQC meeting	<ul style="list-style-type: none"> <li>Validate course(s)</li> </ul>	11 <sup>th</sup> January – 29 <sup>th</sup> January
2 <sup>nd</sup> SLTC meeting	<ul style="list-style-type: none"> <li>For any course(s) not validated at 1<sup>st</sup> SLTQC meeting</li> </ul>	1 <sup>st</sup> February – 26 <sup>th</sup> February

Fig 2 - Example timeline for Validation of Courses in time for a September 2021 intake

***Manuals, Forms and Guidance notes relevant to Part 5***

**<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>**

- Initial Approval Form
- Module Specification Template
- Course Specification Template
- Professional Doctorate Courses Specifications Template
- School Validation Document
- Validation Annex - Strategy for Distance Blended and Online Learning
- Nomination of an External Adviser for a validation/review event
- Approval pro-forma, for external advisers to complete
- External Advisor's Claim Form
- Standard Template for Staff CVs

## **Part 6**

# **Module and Course Modifications**

### **1. Introduction**

- 1.1 Modification of modules/courses is allowed where it has been identified as necessary to enhance the delivery of a course. Modifications may or may not trigger the full re-approval of a course.
- 1.2 Reasons for a modification may be, for instance; a condition of Academic Review (Part 8) or Collaborative Review (Part 11); feedback from students; feedback from a professional, statutory or regulatory body; or feedback from an External Examiner.
- 1.3 The formal process for approving modifications ensures the integrity of modules/courses and ensures adherence to the Quality Assurance and Enhancement Principles (Part 1).

### **2 Principles Governing the Approval of Modifications**

- 2.1 Modifications will not be applied retrospectively and should only be implemented at the start of the Term or academic session following their approval.
- 2.2 Where new curriculum material is being introduced in existing modules, (other than the normal up-dating of existing modules), external input will always be sought.
- 2.3 Where modifications being proposed will affect students currently enrolled on, or applying to, the course, such students must be consulted and notified of any modifications once they have been approved.
- 2.4 Once a modification has been approved, student facing documentation must be updated by the Course Leader and the revised version of the course specification lodged with Quality Assurance and Enhancement. Delta amendments via Courses and Systems must only be processed after formal approval by the relevant School Quality Committee (SQC).
- 2.5 Modifications should be considered within the parameters of any professional, statutory or regulatory body requirements.

2.6 Where a module is shared on several courses, either within a School or cross-institutionally, the School owning the module is responsible for ensuring that those impacted by the proposed modification have been consulted, including Course Leaders and Department Heads.

### 3 Types of Modification

3.1 Course modifications can be categorised in three ways:

- Changes that constitute a modification of more than 25% of the core modules of the course.
- Changes that constitute a modification of less than or equal to 25% of the core modules on the course.
- Normal and regular updating of core and optional modules that do not count towards the 25% rule.

3.2 Changes that constitute a modification that counts toward the 25% rule are as follows:

- a) any replacement of a core module;
- b) any addition, removal or allocation to a different level of a core module;
- c) any change in the credit weighting of a core module;
- d) any change to the learning outcomes of a core module (with or without a change in the title of a module);
- e) any change to the curriculum content of a core module other than routine updating (with or without a change in the title of a module);
- f) any change in the mode of delivery of a core module (e.g. from face-to-face to distance learning mode).

3.3 The following table defines the number of core modules that can be modified before the 25% limit is exceeded:

<b><i>Number of core modules on the course</i></b>	<b><i>Number of core modules that can be modified before the 25% limit is exceeded</i></b>
18-16	4
15-12	3
11-8	2
7-4	1

The 25% rule relates to all core modules irrespective of their credit weighting (ie. 15, 20, 30, 40, 45, 60, 120 credit modules all count as one module).

For courses outside the Academic Framework, assessment of modifications that constitute 25% of the course will be made on a case by case basis but will be based on the principles outlined here.



- 3.4 A running log of all course modifications should be kept by the School Quality Committee and submitted at the end of the academic year, to the Head of Quality Assurance and Enhancement.

#### **4 Changes that constitute a modification of more than 25% of the core modules of the course**

- 4.1 Modifications that constitute more than 25% of the total course require full re-approval of the course/provision.

The procedure to be followed for the re-approval of existing courses is the same as for the approval of new courses (see Part 5 of this manual) except that:

- a) all current enrolled students must be consulted, usually, but not exclusively, via the Course Committee;
  - b) transitional arrangements are specified (if applicable); and
  - c) where the reapproved course replaces a current course or courses, Student Recruitment and Marketing (SRM) will be notified in order to provide clear information on the university website and contact applicants to provide notification of course revalidation, where applicable.
- 4.2 Re-approval of on campus courses should usually be completed and approved through the Peer Review process by March of the academic year preceding the first intake on to the new course, in order that applicants can make an informed acceptance of their offer.

#### **5 Changes that constitute a modification of less than or equal to 25% of the core modules on the course.**

- 5.1 The School Quality Leader shall set a deadline, internal to the School, for early notification of all planned modifications to existing courses and modules. Based on this information, the School Quality Leader determines whether the proposed amendment(s) constitute a modification or will trigger a full course re-approval. In order to aid this process, Schools should put in place a system to log and monitor changes considered cumulatively since the last (re)approval or Academic Review of the course. The Course Modification Log will be continuously reviewed and updated by the School Quality Committee and submitted to Quality Assurance and Enhancement for monitoring.
- 5.2 The modification process is not intended to be used to introduce significant amendments that should properly be dealt with by a full re-approval process. For this reason the School Quality Leader may refuse to deal with proposed changes as modifications if it appears that the process is not being used in the spirit for which it is intended (for example, presentation of new options to consecutive meetings of a School Education and Experience Committee).

5.3 Subject to the provisions of the 25% rule, the School Quality Committee may approve the creation of a distance learning version of an existing module. The following will be required:

- A distance learning strategy – via completion of the Validation Annex - Strategy for Distance Blended and Online Learning;
- Learning materials for the module amounting to 3 weeks of content;
- Via the external expert's report, confirmation that the materials and online learning strategy meet the quality assurance requirements for distance learning.

5.4 In the following circumstances the Department Head is responsible for ensuring that a suitable external expert is nominated:

- proposal of a new module;
- changes to curriculum content in an existing module;
- addition or subtraction of learning outcomes in an existing module;
- changes to the objective of learning outcomes in an existing module;
- creation of a distance learning version of an existing module

The suitability of the external expert will be determined by the Chair of the School Education and Experience Committee subject to the following criteria:

5.4.1 The depth and relevance of subject knowledge.

5.4.2 Prior experience of teaching on courses at the same level or above.

5.4.3 Impartiality (the nominee should not normally have any formal links with the School offering the course during the last five years as a former member of staff).

5.4.4 It is possible to use a current External Examiner with the required subject knowledge.

5.5 The external expert is asked to comment, in writing, on the following issues:

5.5.1 Whether the module is an academically coherent package.

5.5.2 Whether the learning outcomes for the module are of an appropriate standard.

5.5.3 Whether the indicative reading list for the module is appropriate, up-to-date.

5.5.4 Whether the teaching and learning methods listed for the module are appropriate.

5.5.5 Whether the assessment methods and weightings listed for the module are appropriate.

5.5.6 Whether the module is an appropriate addition to the overall course and whether its place in the structure is appropriate.

- 5.5.7 For distance learning modules, confirmation that the materials and online learning strategy meet the quality assurance requirements for distance learning.
- 5.6 The Course Leader or Department Head, as appropriate, is responsible for providing the following documentation to the School Quality Committee for the consideration of modifications. All documentation should be circulated to members in advance of the meeting:
- 5.6.1 Rationale for modification including details of how the modification affects the structure of the course(s) on which it is offered, how it affects the stated aims and objectives of the course, transitional arrangements (if applicable), communication with partner institution(s) (if applicable), communication with other School(s) where offered (if applicable) and, for new modules, examples of evidence of demand etc.
  - 5.6.2 Evidence of student consultation (usually via the minutes of the Course Committee).
  - 5.6.3 Where changes to existing modules are being proposed, a copy of the existing module specification(s) and a copy of the amended module specification(s).
  - 5.6.4 Where changes to curriculum content are being proposed, the written comments of an external expert.
  - 5.6.5 Where a new module is being proposed, the curriculum vitae of the module leader involved, and the written comments of an external expert.
  - 5.6.6 A revised version of the course specification.
- 5.7 The School Quality Committee will evaluate the proposal against elements of the Quality Criteria (see part 4 of this manual) and other appropriate external reference points, as appropriate (see section 5.2 in Part 5 of this manual).
- 5.8 The School Quality Committee can either (a) approve the proposal or; (b) reject the proposal and require that it be revised and re- submitted for further consideration at a future meeting. The School Quality Committee may not impose conditions of approval.
- 5.9 The minutes of the School Quality Committee will record details of the discussion with regard to the proposal, comments of external expert where appropriate, and the outcome agreed by the committee. The School Quality Committee Servicing Officer is responsible for forwarding the relevant paperwork to the internal departments affected.
- 5.10 Once a modification has been approved by the School Quality Committee, it can be delivered at the next point of delivery of that module.
- 5.11 The Module Leader should consult Library and Learning Services or other

relevant departments to ensure availability of funding to purchase learning resources.

- 5.12 When approving modifications to modules or re-approving a module/replacing a module with an alternative, Schools should ensure that modifications are applied to all courses on which the module is offered. It is important that Department Head also consider whether such modules are offered on courses in other Schools or on collaborative courses.
- 5.13 Where modifications have been made to courses franchised to partner institution(s), the School Quality Committee will formally note the need to arrange for rolling out modifications to the partner. The School Collaborative Lead and Link Tutor will initiate discussions with the partner as to implementation and the partner will notify students of the changes usually but not exclusively through Course Committees. Once agreement has been reached on the date from which the modifications are to be implemented by the partner, the School Quality Committee will approve the timescale and arrangements for implementation. Where new core modules, or changes to curriculum content are involved, the School Quality Committee will need to satisfy itself that the partner is able to deliver the new content prior to commencement of delivery.

## **6 Normal and regular updating of core and optional modules that do not count towards the 25% rule**

- 6.1 Changes to optional modules, require the approval of the School Quality Committee but do not constitute a modification counting towards the 25% modifications rule.
- 6.2 Changes to core modules that do not involve changes to curriculum content or learning outcomes, for example the addition or removal of pre- or co-requisites; a change in the form, length or nature of assessment; the main aims or main topics of study; or module title changes, require the approval of the School Quality Committee, but do not constitute a modification counting towards the 25% modifications rule.
- 6.3 School Quality Committee may approve non 25% rule modifications, on receipt of an appropriate rationale, evidence of student consultation, and where appropriate, a revised module specification.
- 6.4 Normal and regular updating of indicative reading lists does not require approval by the School Quality Committee, any normal or regular updates to module specifications should be sent to Quality Assurance and Enhancement so that an up to date version of the module specification is accessible at all times.

## **7 Modifications to Course Titles**

### **Stage 1 – Cease recruitment to the former title**

- 7.1 Permission must be obtained from the Chief Marketing Officer, or their nominee, and the Dean/Head of School. The CMO and the Dean will confirm the basic details of how the transition to the new title will be actioned, taking into account the following factors;
- a) Recruitment considerations including obligations relating to recruitment targets
  - b) Impact on foundation year students or students for whom this course is a progression route
  - c) Impact on collaborative partner arrangements, including consideration of in-country regulatory requirements
  - d) Impact on other Schools (if modules are shared)
  - e) Impact on current students
  - f) Impact on offer holders including international students who may have been issued a CAS
- 7.2 The new title can be advertised subject to validation.

### **Stage 2 – Formally Approving the new title**

- 7.3 Proposed modifications to course titles are considered and approved by the School Quality Committee, using the standard proforma (available from the UEL website at: <https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Fo-rms-and-Guidance.aspx>)

All proposals must include a rationale for the title change. Evidence of consultation of all students and applicants affected must be provided, both through Course Committee and individual notifications, and detailed transitional arrangements supplied. The comments of an external expert are required to confirm that the proposed change is appropriate. A revised course specification should be presented to the School Quality Committee.

- 7.4 All course title changes are reported, by the School, to the Quality Assurance and Enhancement Officer responsible for approval and withdrawal, in order that Peer Review can be completed, and final approval obtained. The Quality Assurance and Enhancement Officer is responsible for informing the relevant departments to ensure that all records are updated.

## **8. Intermediate and Named Awards**

- 8.1. Where an approved course exists, it may have named or un-named intermediate awards. If it is proposed that an intermediate award should be open for recruitment as a course in its own right (e.g. a PGDip from an MSc course) approval can only be considered after permission is obtained from the Chief Marketing Officer, or their nominee, and the Dean/Head of School.
- 8.2. The School Quality Committee can create a course in its own right from an

intermediate award after considering a rationale and the course specification.

- 8.3. Where the intermediate award was previously un-named, the comments of an external expert are required to confirm the validity of the proposed change.
- 8.4. The process described in section 8.2.and 8.3 of this section can also be adapted to add intermediate awards to existing courses, or to name/re-name previously un-named intermediate awards of existing courses.

## **9. Approving a Distance Learning Version of an On-Campus Course**

- 9.1. It has been the position of the university since the introduction of Vision 2028 that there is strategic approval for courses to validate with multiple modes of delivery and multiple intakes. Where a course is currently validated On-Campus and the School wish to add a full Distance Learning mode version of the course, the following is required:

- 9.1.1. Head of School confirmation that the School wish to offer this mode of delivery.

- 9.1.2. Submission of a shortened validation proforma (template to be provided by QAE), that includes:

- 9.1.2.1. Technical details about the operation of the course

- 9.1.2.2. The DL delivery strategy

- 9.1.2.3. Support mechanisms for students provided by the course team, highlighting any additional support agreed with support services for students with Special Learning Differences (SpLDs)

- 9.1.2.4. Details of any variations from the on-campus delivery for DL students

- 9.1.3. Module specifications including any updates

- 9.1.4. An updated Course Specification

- 9.1.5. Confirmation from one or more external advisors, who are knowledgeable in the subject and distance learning, to confirm that the curriculum and assessment are achievable online.

- 9.1.6. Submission of the content for one full distance learning module on Moodle, reviewed and signed off by CELT.

## **10. Course Withdrawal**

### **Course Withdrawal Principles**

- 10.1. Course withdrawals are considered and noted by the School Quality Committee using the standard proforma, available from the UEL intranet at:

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

- 10.2. Withdrawal consists of two stages. No action to halt recruitment will be taken until Student Recruitment and Marketing (SRM) receive the details from stage 1 of the form.

- 10.3. School Management Team (SMT) consider this form; if the decision is to withdraw, the servicing officer for SMT will circulate the form to SRM.
- 10.4. SRM will take action to halt recruitment and will inform QAE to add the course to the withdrawal schedule. School Quality Committees will monitor stage 2 of the process.
- 10.5. This process is not for halting recruitment for a brief period.

#### **Course Withdrawal Process - Stage 1: Cease Recruitment**

- 10.6. Dean/Head of School confirmation is needed to provide some basic details about what is being withdrawn and when. Confirmation is also needed to assure stakeholders that the decision to withdraw has been made with due consideration to all surrounding circumstances, including the following:
  - a) Recruitment considerations including obligations relating to recruitment targets
  - b) Obligations to foundation year students or students for whom this course is a progression route
  - c) Impact on collaborative partner arrangements, including consideration of in-country regulatory requirements
  - d) Impact on other Schools (if modules are shared)
  - e) Impact on staff
  - f) Impact on students
  - g) Impact on offer holders including international students who may have been issued a CAS

#### **Course Withdrawal Process - Stage 2: Student Protection**

- 10.7. The quality assurance process ensures those affected, particularly students and offer holders have been appropriately involved with the withdrawal, and that agreed transitional arrangements are in place.
- 10.8. Arrangements for withdrawal are approved at the School Quality Committee, forwarded to QAE for due process audit and thereafter noted at the Education and Experience Committee. System and Courses Team are notified of the withdrawal when the due process check is complete.
- 10.9. Where students currently enrolled on or intermitting from the course will not be affected by the withdrawal, i.e., the course will continue as normal until all students complete, students should be notified both at the Course Committee and via individual notifications.
- 10.10. Where students currently enrolled on, or intermitting from, the course will be affected by the proposed changes, evidence of consultation of all students affected must be provided, both through the course committee and individual notifications, and detailed transitional arrangements supplied.
- 10.11. The processes described in 9.3 and 9.4 also apply to students at collaborative partners.

10.12. Note: there is no process for course suspension (this process was removed in 2016/17). A course is withdrawn and then if a decision is made to bring the course back, a rationale must be made to the Education and Experience Committee. The committee will decide whether the course needs to go through the initial approval process and/or be re-validated before teaching resumes. Where a course has been withdrawn for more than two years, it will normally require revalidation.

## **10 Study abroad**

10.1 School Quality Committee will wish to consider proposals for study abroad modules for UEL students. This is to ensure that the modules that the student plans to study map against the level, aims and learning outcomes of the student's course of study, and that appropriate arrangements are made for credit achieved via study abroad to be counted in degree classifications. Prior to the student taking modules abroad, the module content and way in which marks or grades awarded would be mapped to UEL marks needs to be agreed. This needs to take account of the mapping and grading system being used in country and its relation to the UK system, to ensure that different approaches to marking and grading and its relationship to the equivalent UEL mark are taken into account. The study abroad module will be shown on the student's transcript of study.

## **11. Involvement of External Examiners**

11.1 Modifications may be the result, either directly or indirectly, of external examiners' comments and/or annual reports. Schools are advised to keep their external examiners informed of any proposed modifications. External examiners can be used as external experts.

### ***Manuals, Forms and Guidance notes relevant to Part 6***

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

Module Specification Template  
Nomination of an External Adviser for a validation/review event  
Course Withdrawal Form  
Change of Course Title Form  
Course Modification Log Template  
Validation Annex - Strategy for Distance Blended and Online Learning



# Part 7

## Continual Monitoring Process

### 1 Introduction

- 1.1 The University of East London (UEL) is committed to the continuous enhancement of the quality of its courses and educational and pastoral experience provided for all students.
- 1.2 Annual Monitoring forms part of the process by which courses, departments and schools are monitored and reviewed thereby ensuring that quality and standards are being met. It also supports the enhancement of the student experience and learning opportunities.
- 1.3 The Annual Monitoring process may be used to satisfy professional, statutory or regulatory body (PSRB) review requirements. Where modifications to standard forms, processes, or timelines are required, these should be discussed and agreed with QAE. Where the PSRB has their own standard monitoring forms, QAE will assess whether these meet UEL requirements and may require additional information to be completed by course teams over and above the PSRB requirements.
- 1.4 Annual Monitoring forms an integral element of the evidence base for periodic Academic Review that all courses are required to undergo at least once within a six-year cycle.
- 1.5 At UEL the process by which annual monitoring takes place is through the Continual Monitoring Process (CMP).
- 1.6 The CMP encompasses all undergraduate (including foundation year, short courses and shared Modules), Postgraduate Taught, and the taught provision of Postgraduate Research courses, such as Research Masters (MRes) and Professional Doctorate courses across all modes of delivery.
- 1.7 The CMP unites, Departments, Schools and Professional Services in driving forward the continuous enhancement of the quality of courses and student experience.
- 1.8 The process supports the university to meet the expectations of the Teaching Excellence Framework (TEF) and the QAA Quality Code.
- 1.9 The QAA UK Quality Code for Higher Education, Advice and Guidance for Monitoring and Evaluation sets out the expectation for course monitoring and review, which higher education providers are required to meet:

*“Monitoring and evaluation of higher education is an essential process within providers, forming a fundamental part of the academic cycle. It can, and should, look at all aspects of the higher education experience. All higher education providers are involved in course monitoring and review processes as these enable providers to consider how learning opportunities for students may be improved.”*

## **2 Aims of the Continual Monitoring Process**

2.1 The aims of the Continual Monitoring Process are to:

- Provide a focus for quality enhancement at course, Department and School level, and promote ownership of quality assurance and enhancement processes by those responsible for delivery;
- Reflect upon and analyse provision and educational experience of students within courses, Departments and Schools;
- Evaluate the success of students on modules and courses;
- Identify good and innovative practice;
- Identify opportunities for enhancement using feedback from student surveys and student contributions to Course Committees;
- Ensure that where appropriate, actions addressing concerns are recorded and monitored in an action plan or as objectives;
- Utilise data and appropriate evidence to demonstrate that the course/ Department/School continues to meet the needs of students and employers;
- Provide assurance in terms of the maintenance of academic standards of courses and modules and ensure that their delivery continues to be consistent with published aims and objectives;
- Identify any issues of Departmental, School and institutional significance so that appropriate action can be taken and good practice disseminated;
- Support UEL in preparation for the TEF and subject level TEF
- Meet the requirements of the UK Quality Code for Higher Education
- Meet the requirements of the Education Inspection Framework (EIF) where applicable.

## **3. Scope of the Continual Monitoring Process**

3.1 All course teams are required to update the course Continual Monitoring Process (CMP) report and objectives throughout the academic year. In drawing up the report and objectives, course teams will consider a range of evidence about the quality of their provision and should also be pro-active in updating their course via innovations and changes in content, delivery and assessment.

3.2 Each course should be reported individually. However, in some circumstances (for example, where a course includes a foundation year or there is also a distance learning version of an on-campus course) then it may be agreed that

a report can cover multiple courses. Approval from Quality Assurance and Enhancement should be sought prior to a report covering multiple courses being written.

- 3.3 Where a course is closing or has been closed during the academic year under review then commentary should be included to demonstrate how the academic interests and experience of the students have been protected during the teach-out period.
- 3.4 Department CMP meetings provide a forum for consideration of the courses and modules within the Department.
- 3.5 School CMP meetings provide a forum for consideration of issues for discussion raised at Department CMP meetings.
- 3.6 Staff delivering collaborative courses are also expected to produce a Collaborative Annual Monitoring end of year report (see section 10)
- 3.7 Staff delivering apprenticeship courses are expected to produce a CMP report that meets the reporting requirements of the institutional Self-Assessment Report for apprenticeship provision, which feeds into the associated Quality Improvement Plan for apprenticeship provision.

#### **4 Structure**

- 4.1 Course CMP reports contribute towards the Department CMP Meeting and action plan by highlighting items to be considered at departmental level.
- 4.2 Quality Assurance and Enhancement is responsible for ensuring the CMP is followed and course reports are received in a timely manner.
- 4.3 School Directors for Education and Experience are responsible for supporting engagement and completion of the reports.
- 4.4 The Department CMP Meeting will consider the following:
  - Course reports within the department (including items to be considered at Department level);
  - Achievement data;
  - Areas of good practice;
  - Short courses and CPD;
  - Inclusivity;
  - Research activity;
  - Civic engagement;
  - Staffing and resources and
  - Items to be considered at School level.

A report and action plan will be developed following the meeting.

- 4.5 The Head of Department is responsible for monitoring and updating the action plan.
- 4.6 The Head of Department is responsible for ensuring the dissemination of both Department and School action plan updates to all Course Leaders
- 4.7 The School CMP Meeting will consider the following:
- Department CMP Meeting reports and action plans Including items to be considered at School level);
  - collaborative provision;
  - overview of student feedback;
  - overview of external examiner feedback and
  - civic engagement and issues to be included in the School strategic plan.

A report and action plan will be developed following the meeting.

- 4.8 The Head of School is responsible for signing off, monitoring and updating the action plan.
- 4.9 The Head of School is responsible for ensuring the dissemination of School action plan updates to all Department Heads.
- 4.10 Education and Experience Committee receives an Institutional Annual Overview Report on the robustness of CMP which also highlights issues of institutional significance arising from the process, together with proposed actions which are monitored at subsequent meetings of the Committee.
- 4.11 CMP reports for apprenticeship courses also feed into the institutional Self-Assessment Report for apprenticeship provision.

## **5 Process**

- 5.1 Quality Assurance and Enhancement is responsible for managing the process and ensuring that every course report has been recorded as received.
- 5.2 Course teams are required to take into account, and respond to, a range of evidence concerning the quality of the courses and modules throughout the year. Writing a course CMP report commences in October at the beginning of the academic year and takes place in four stages throughout the year.
- Stage 1 – Ambitions for the Year; which establish goals for both the course team and students and allows new course representatives to understand the direction of the ongoing development of the course. This should be presented at the first Course Committee of the year.
  - Stage 2 – Mid-Year Checkpoint; which reflects on progress of the ambitions of the year, and the outcomes of the Course Committee meeting. References may be made to mid-year data, such as, RAG data and mid-Module evaluation questionnaires.
  - Stage 3 – End of Year Checkpoint; which is the main point of reflection for the course team, following completion of teaching and

assessment. At this point all Course Committee meetings and module/course evaluation questionnaires can also be considered.

- Stage 4 – Outcomes and External Measures; which includes data analysis on internal and external reference points and key performance indicators. This is also the opportunity to record items for consideration at Department level and good practice/good news.

Interventions can be recorded throughout the year as they arise.

- 5.3 Report data is released throughout the year at the point the data becomes available. Guidance on extrapolation of data is provided by IT and QAE. Each course, Department and School team should use the data to reflect on strengths and areas for enhancement, using these to inform and measure interventions.
- 5.4 Each CMP report includes a section for actions and detailing what progress has been achieved in relation to the previous year's interventions. This section is designed to be completed throughout the year with both long and short deadlines.
- 5.5 Each individual course team presents their report to each Course Committee for discussion and endorsement.
- 5.6 Course, Department and School Committees play a key role in monitoring CMP objectives and interventions throughout the academic year.
- 5.7 Course Leaders are advised to review the Course Specification at the same time as writing the CMP report. This ensures that changes proposed in the CMP report are actioned and that the Course Specification remains up to date.
- 5.8 Course, Department and School Reports should be uploaded onto Moodle and shared with students directly or through student representatives.
- 5.9 Course representatives should be given the option of contributing to the process through the course committee and/or through the student submission form.

## **6 Overseeing the Continual Monitoring Process**

- 6.1 The Education and Experience Committee is responsible for monitoring the CMP to ensure that it is robust and effective at School level.
- 6.2 School Directors of Education and Experience oversee the school approach to completion and storage of CMP reports and feed back to QAE with recommendations to improve the process.
- 6.3 The Head of QAE reports to the Education and Experience Committee via the CMP overview report.

## **7 MRes**

- 7.1 The Course Leader will prepare a CMP report in respect of the MRes Course and all associated research Modules.

## **8 Monitoring Objectives and Interventions**

- 8.1 Course Continual Monitoring Reports: course teams provide updates to the course committee.
- 8.2 School and Departmental Continual Monitoring Meeting Reports: School Management Teams have oversight of the School and Department overview reports and action plans.
- 8.3 Institutional Oversight Report: Education and Experience Committee have oversight institutional overview report and action plan.
- 8.4 All reports and action plans (course, Department and School) should be reviewed by the respective owner on a regular basis to ensure that actions are considered and completed.

## **9 External Examiners**

- 9.1 Although External Examiners are not directly involved in the Continual Monitoring Process, it is good practice to provide them with a copy of the appropriate Continual Monitoring Process report and action plan for information. The report received will be appropriate to the department or awards for which the External Examiner is responsible.

## **10 Collaborative Courses**

- 10.1 Collaborative courses undertake an end of year Collaborative Annual Monitoring Process (CAM).
- 10.2 For the purposes of consistency for partners, a template for CAM reports is provided by Quality Assurance and Enhancement. Quality Assurance and Enhancement will also provide the data for the previous academic year for respective partners after 31 October.
- 10.3 The link tutor for each collaborative course can provide support to the respective course teams at the partner institution to ensure the CAM report is completed by the deadline.
- 10.4 Completed CAM reports should be submitted by partners to the Quality Assurance and Enhancement collaborative mailbox by the November deadline which will be communicated in July of each year. **Failure by partners to submit a satisfactory report (complete with all relevant appendices) by the deadline will risk the recruitment to the course the following academic year.**

- 10.5 Upon receipt of the completed CAM reports from the partner institution, Quality Assurance and Enhancement will circulate each CAM report to the respective link tutor. The link tutor is responsible for the completion of section 11 and returning the fully completed CAM report to the Quality Assurance and Enhancement collaborative mailbox.
- 10.6 Upon receipt of the fully completed CAM report, including the completed section 11, the College Quality Officer, responsible for linking with the respective School, will ensure that the completed CAM report is received and noted at the School Quality Committee.
- 10.7 The College Quality Officer will allocate a sample of the completed CAM reports to a member of the School Quality Committee for auditing. The allocation of audit samples is likely to be conducted on risk-based approach with the intention to ensure that reports have been appropriately completed and areas of good practice and enhancement have been identified.
- 10.8 The Quality Manager (Collaborations) will create an Institutional CAM Overview Report for submission to Education and Experience Committee in March.

***Manuals, Forms and Guidance notes relevant to Part 7***

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

- Template and Guidance notes for producing Continual Monitoring reports for:
  - Course (UG and PG)
  - Apprenticeship
  - Professional Doctorate
- Guidance on Continual Monitoring Process performance measures
- Guidance for Data Extraction for the Continual Monitoring Process
- CMP Student Submission Form
- Collaborative templates and guidance notes:
  - Guidance on Collaborative Review and Enhancement performance measures



## 10 Continual Monitoring Process Indicative Timetable

UG / PG	Completion Period	Section to be completed	Data	What to include in the section
UG Only	W/B 12 <sup>th</sup> October 2020	Section 1  Ambitions for the Year	<ul style="list-style-type: none"> <li>Enrolment</li> <li>First Year Recruitment</li> </ul>	<ul style="list-style-type: none"> <li>Sets the scene for the course team and the students</li> <li>Helps new course representatives understand the position in the ongoing development of the course</li> <li>Provides a reference point for developments in the academic year</li> <li>To be discussed at the Course Committee meeting in November</li> </ul>
PG Only	W/B 12 <sup>th</sup> October 2020	Sections 1a & 1b  Ambitions for the Year	<ul style="list-style-type: none"> <li>Completion</li> <li>Achievement</li> <li>PTES</li> </ul>	<ul style="list-style-type: none"> <li>As above</li> <li>Outcomes for the previous year</li> </ul>
UG & PG	W/B 11 <sup>th</sup> January 2021	Section 2  Mid-Year Checkpoint	<ul style="list-style-type: none"> <li>MEQ</li> </ul>	<ul style="list-style-type: none"> <li>Reflects on the current position of the course in relation to the initial ambitions</li> <li>Using the outcomes of the Course Committee, any RAG data and the Mid-Module MEQ as reference points</li> <li>To be reviewed at the Course Committee meeting in February/March</li> </ul>
UG & PG	W/B 28 <sup>th</sup> June 2021	Section 3  End of Delivery Checkpoint	<ul style="list-style-type: none"> <li>MEQ</li> </ul>	<ul style="list-style-type: none"> <li>Main point of reflection for the course team, after teaching and assessment are completed</li> <li>A focus on teaching, assessment and the learning environment and things that might be changed in time for the next delivery</li> <li>Reflects on student feedback from Course Committee and Course Evaluation Questionnaires</li> <li>NSS Outcomes</li> </ul>
UG Only	W/B 16 <sup>th</sup> August 2021	Sections 4, 5	<ul style="list-style-type: none"> <li>NSS</li> <li>Graduate Employability</li> <li>Progression</li> <li>Completion</li> <li>Achievement</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis based on internal and external reference points and key performance indicators</li> <li>A place to record items that need to be considered at Department level</li> <li>A place to record good news and good practice items that should be shared</li> </ul>
PG Only	W/B 16 <sup>th</sup> August 2021	Sections 4, 5	<ul style="list-style-type: none"> <li>Graduate Employability</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis of external measures</li> <li>A place to record items that need to be considered at Department level</li> <li>A place to record good news and good practice items that should be shared</li> </ul>
UG & PG	W/B 16 <sup>th</sup> August 2021	Section 6	<ul style="list-style-type: none"> <li>Interventions</li> </ul>	<ul style="list-style-type: none"> <li>A place to record activities and interventions aligned with TEF metrics for the following academic year</li> </ul>
UG & PG	W/B 31 <sup>st</sup> August 2021	<b>DEADLINE FOR SUBMISSION</b>		All CMP reports to be submitted to the QAE Mailbox: <a href="mailto:gae@uel.ac.uk">gae@uel.ac.uk</a>



## Part 8

# Periodic Academic Review

### 1 Scope of Academic Review

- 1.1 Academic Review is a systematic evaluation of the operation of an academic grouping within UEL. It involves a self-critical evaluation of performance by the grouping concerned followed by a review by a panel comprising members drawn from across UEL including a student representative, and external subject specialists drawn from other higher education institutions and from business and/or the professions.
- 1.2 Academic Review may be at School level or, in the case of a large School, cover an academically coherent grouping of Departments or courses. An Academic Review will cover: all taught courses (undergraduate, postgraduate, post-experience, professional doctorate, distance learning, and short courses); School/Department research degrees provision; and apprenticeships offered within the designated academic grouping. It is recognised that the overall management of the range of courses offered is crucial to the quality of the provision.
- 1.3 The Education and Experience Committee agrees the Academic Review schedule six years in advance, following consultation with the relevant Deans of School. There is a typical review rate of three Academic Reviews conducted in each academic year. However, this may vary as a result of other considerations. Education and Experience Committee will be consulted on any alteration to the schedule.
- 1.4 Each academic grouping is usually subject to Academic Review at least once every six years. However, the Education and Experience Committee reserves the right to conduct an Academic Review at any time.
- 1.5 An Academic Review **cannot** be used to approve new courses. The purpose of the review and structure of the review event is not designed to deal with such proposals. There are separate procedures for the approval of new courses.

### 2 Purpose of Academic Review

- 2.1 Academic Review evaluates courses offered by a School/discipline area and confirms that they continue to meet UEL's Quality Criteria and engage with relevant national benchmarks, frameworks and codes of practice.

- 2.2 Academic Review helps the School and the institution to assure the quality of the total student experience. Academic Review aims to review all aspects of the student experience and capture those which are outside the immediate confines of the course which have an impact on the quality of that experience.
- 2.3 Academic Review helps the School and the institution to evaluate the extent to which the School/discipline has been successful in achieving its stated aims and objectives within the overall context of the UEL vision.

### **3 Preparing for Academic Review**

- 3.1 The Dean of School and the Quality Manager (Validation and Review) establish a series of regular meetings with relevant staff from the academic grouping to be reviewed in order to co-ordinate preparation for the Academic Review.
- 3.2 The first meeting will determine the approximate timing of the review and discuss the requirements for external representation on the review panel.
- 3.3 The Quality Manager (Validation and Review) provides advice and guidance throughout the process.
- 3.4 The School Quality Committee will monitor a School's preparations for Academic Review.

### **4 Documentation**

- 4.1 Central to the Academic Review process is the Self-Evaluation Document (SED). The document fulfils two functions:
- 4.1.1 To provide a frank and critical appraisal of the academic grouping under review by evaluating performance and changes since the last review, the quality of the learning opportunities offered to students and the outcomes achieved by students;
- 4.1.2 To identify perceived strengths and areas for development by referring to appropriate evidence, to indicate actions being undertaken to address such areas for development and to comment on the success, to date, of such actions.
- 4.2 The Self-Evaluation Document is structured as follows:
- overall aims of the academic provision under review;
  - evaluation of the academic provision under review - learning outcomes;

- evaluation of the academic provision under review - curricula and assessment;
  - evaluation of the academic provision under review - quality of the student experience;
  - evaluation of the academic provision under review – management and delivery of apprenticeship courses (where applicable), including safeguarding and monitoring of engagement;
  - evaluation of the academic provision under review - maintenance and enhancement of standards and quality.
- 4.3 Further guidance notes on the writing the Self-Evaluation Document are available from Quality Assurance and Enhancement and are provided to the academic grouping under review at the beginning of their preparation period.
- 4.4 Course Specifications for all courses included in the review process should be made available to the panel in advance of the review either as an appendix to the Self-Evaluation Document or in electronic format.
- 4.5 Student Handbooks for all courses included in the review process should be made available to the panel in advance of the review either as an appendix to the Self-Evaluation Document or in electronic format.

## **5 Panel Membership and Selection**

- 5.1 The size of an Academic Review panel depends on the size of the provision to be reviewed. Normally, it will consist of eight people.
- 5.2 A member of staff with significant experience in quality assurance, and who is independent of the academic grouping under review is appointed as Chair of the panel (usually a member of the Education and Experience Committee or Academic Board).
- 5.3 There will normally be three external subject specialists on a panel. One of these members should be a representative from an employer or professional accrediting body. Where postgraduate research provision is included in the academic review, one of the external panel members should have experience at that level. Where apprenticeship courses are included in the Academic Review, one of the external panel members should have relevant experience and understanding of apprenticeships, including subject and practice expertise. This may also include PSRB representation where an apprenticeship leads to formal recognition by a named PSRB.
- 5.4 In order to involve the widest possible range of staff from across the institution and improve overall engagement and understanding, each review team will also include three members of UEL staff, one of whom who has not previously been involved in an Academic Review (as a reviewer), and one of whom will

be drawn from UEL services. No panel member may be closely associated with the academic grouping under review.

- 5.5 A current UEL student or an officer from the Students Union will normally form part of the panel. The student selected for each review will not be a student on one of the courses under review. Training on their role will be provided in advance by QAE.
- 5.6 Early in the process, the Dean of School (or designated co-ordinator) nominates appropriate external subject advisers to take part in the review. The external subject advisers must be from different institutions. The suitability of the external nominees is determined by the Chair of the event. The following criteria are considered:
  - 5.6.1 The depth of subject knowledge.
  - 5.6.2 The relevance of subject knowledge.
  - 5.6.3 Prior experience of teaching on courses at the same level or above.
  - 5.6.4 Impartiality (the nominee should not have any formal links with UEL during the last five years as a former member of staff or the last three years as an external examiner).
  - 5.6.5 Professional expertise.
  - 5.6.6 Prior experience as a QAA reviewer or auditor.
- 5.7 It is unlikely that any single nominee will meet all the requirements. In making judgments about the suitability of the proposed external subject advisers the Chair considers the overall balance of expertise presented by the external advisers. The Chair may reject a nominee or require the Dean of School (or designated co-ordinator) to propose additional external subject advisers in order to ensure the balance of the panel.
- 5.8 The membership of the review panel is agreed with the academic grouping under review.

## **6 Agenda for Academic Review**

- 6.1 Academic Review is usually conducted over a period of two days.
- 6.2 An Academic Review panel reports on the following areas:
  - 6.2.1 Evidence of academic standards: the match between aims and objectives and learning outcomes; evidence of achievement of learning outcomes; the match between student achievement and UEL's regulations on the standards of awards; accuracy and delivery of course specifications; accuracy of student handbooks; currency and validity of

courses in the light of developing knowledge in the discipline and practice in its application; diversity and inclusivity within the curriculum, quality of training experience and development of skills, knowledge and behaviours in a workplace setting (where review includes apprenticeship provision); and the research environment (where the review includes research degrees provision).

- 6.2.2 Quality of the student experience: teaching and learning (including the support for remote delivery where appropriate, eg. use of Moodle and interactive learning resources); student support; guidance from admission to completion; staff development (including peer review); and learning resources.
- 6.2.3 Activities to ensure and enhance standards and quality: use of external examiners; second and anonymous marking; student and employer feedback mechanisms; effective monitoring of performance; use of external reference points such as Subject Benchmark Statements, Apprenticeship Standards and other professional and regulatory body requirements; local procedures for the approval of new courses; implementation and effectiveness of the Continual Monitoring Process; procedures in place to monitor the effective management of arrangements between the employer, UEL and the apprentice and engagement with these (where review includes apprenticeship provision); and school based procedures for monitoring progress of postgraduate research students (where the review includes research degrees provision).
- 6.3 Although all panel members contribute to the discussion and decision making on all the above areas, each panel member will focus on one of the above areas and provides a written response which will be used to help prepare the final report.
- 6.4 The further documentation listed below must be made available to the panel during the review:
- Continual Monitoring Process reports (including appendices) and action plans for the three previous years. This should include the School report as well as the relevant department and course reports;
  - annual school postgraduate research reports to Research Degrees Subcommittee for the three previous years (where the review includes research degrees provision) and for one year only (where the review does not include research degrees provision);
  - external examiners' reports and responses for the three previous years;
  - minutes of school committees for the three previous years (including; Course Committees; Quality; School Management; Education and Experience; Research; and Careers and Enterprise, or their equivalents);

- evidence of the school's engagement in the observation of learning and teaching;
- academic staffing list, staff CV's and profile (giving main teaching/research interests and administrative responsibilities);
- access to Moodle sites or module folders for all modules under review (see separate guidance on contents); these will include module guides (paper or electronic) and examples of students' work including examination papers/scripts, course work, project/lab reports, project reports and dissertations;
- PGR induction programmes and evidence of postgraduate research skills development planning (where the review includes research degrees provision);
- evidence of supervision for both PGR and taught courses (where the review includes research degrees provision);
- examples of PGR annual reviews for the three previous years (where the review includes research degrees provision);
- data around key performance indicators including from student feedback mechanisms;
- evidence of action taken and outcomes in response to these, for internal and external student satisfaction surveys, including Module Evaluation Questionnaires, the National Student Survey, the Postgraduate Taught Experience Survey and the Postgraduate Research Experience Survey; (where the review includes research degrees provision);
- report and action plan from the previous periodic review process;
- evidence of apprenticeships tripartite meetings;
- Initial Assessments for apprentices;
- Apprentice Individual Learner Plans;
- minutes of employer liaison boards (where they exist);
- any other documentation referenced in the Self-Evaluation Document.

6.5 Additional documentation may be requested by the review team to assist them with their deliberations. Such documentation might include:



- A staff development statement (covering both subject development and pedagogical development and including a research profile and details of other staff development activities e.g. provision for staff induction);
  - list of research/consultancy publications (following the classification used for the research excellence framework);
  - reports by professional bodies (where appropriate);
  - student intake and progression data covering the last three intakes;
  - a description of student support/welfare services, plus any recent analysis of student use, subject to normal constraints of confidentiality in respect of counselling and similar activities;
  - marking and feedback sheets and assessment criteria.
- 6.6 The programme for the review is agreed during the preparation period. Variations to the standard programme to reflect the character of the academic grouping under review are acceptable provided that all areas described in paragraph 6.2 are adequately covered.
- 6.7 Where more than one academic grouping is being considered during one Academic Review, it may be necessary to provide feedback which discriminates between the different groupings. Occasionally this may mean holding separate meetings for different groupings. Agreement on how this will be managed is established during the preparation period.
- 6.8 The review includes at least one meeting with existing students, employers, former students and, where appropriate, those involved in placement or work-based learning or delivery of apprenticeships.
- 6.9 Where the course is delivered by distance learning, or in exceptional circumstances, student feedback can be gathered via a confidential and anonymous online survey. This method of collecting feedback must be approved by the Head of Quality Assurance and Enhancement.
- 6.10 The programme includes meetings with staff to discuss the various aspects on which the panel reports.

## **7 Arrangements for Academic Review**

- 7.1 Quality Assurance and Enhancement is responsible for:
- Convening the Academic Review panel;
  - sending out documentation to panel members;

- arranging overnight accommodation for external members;
- room bookings;
- catering arrangements;
- servicing the meeting, including making arrangements for any meetings to be carried out remotely.

7.2 The Dean of School (or designated co-ordinator) is responsible for:

- Providing the agreed documentation for circulation in advance by the deadline;
- arranging for the attendance at relevant parts of the event of relevant school and service staff;
- arranging for the attendance of any agreed external people, such as former students, employers or representatives of collaborating institutions;
- arranging for the attendance of current students.

## **8 Outcomes of Academic Review**

8.1 In reaching its judgement, the panel has regard to the UEL Manual of General Regulations & Policies, the Quality Criteria, QAA Subject Benchmark Statements and the QAA UK Quality Code for Higher Education.

8.2 The conclusions of the review represent the views of the panel. The panel may set conditions and make recommendations. Where conditions are set, the panel should specify the deadline by which these should be met.

8.3 For Academic Review to serve its purpose, it is essential that feedback be provided quickly and in sufficient detail to enable improvements to be made at an appropriate pace. Oral feedback will be provided to the academic grouping at the end of the review, followed by a full written report.

8.4 The written report highlights the strengths of the provision and identifies proposed improvements which can be fully considered and acted upon at School and institutional level.

8.5 The Academic Review panel will normally confirm that the courses under review merit continued approval.

8.6 If the review panel has fundamental concerns about the quality of provision it may decide that a second review meeting should be held. If, by the date of the second meeting, there has been inadequate improvement, the panel has the right to recommend to Academic Board that a course, or series of courses, within the scope of the review, cease to recruit until the relevant

improvements have been made. It will be for the review panel to determine how much time the School/discipline area under review is given to make the required improvements.

## **9 The Report of the Academic Review**

- 9.1 Following the review, a draft report is produced by Quality Assurance and Enhancement and will be circulated to the panel for comment. The report will then be circulated to the Dean of School and other key members of the provision under review for comment concerning factual accuracy. A confirmed report is then produced and circulated to the School and to members of the panel.
- 9.2 The Education and Experience Committee will consider the report of the review on behalf of Academic Board. The School is required to produce an action plan based on the recommendations of the review process. The Education and Experience Committee will receive the action plan; QAE will monitor the plan until all agreed actions are completed.
- 9.3 The same processes will be followed in the event of a second review meeting being required (para 8.6 above).

## **10 Joint UEL and Professional Statutory and Regulatory Body (PSRB) Reviews**

- 10.1 Where desirable and practicable, reaccreditation by a professional body may take place at the same time as the review is conducted. Agreement on how this will be managed is established during the preparation period.

### ***Manuals, Forms and Guidance notes relevant to Part 8***

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

- Frequently asked questions - Academic Review
- Guidance Notes for Panel Members
- Guidance Notes for production of Self Evaluation Document
- Documentation for base room
- Module Folder Contents List
- Event Programme
- Guidance Notes on Academic Review Statistics
- Panel Member Pro-Forma 1 – Evidence of Academic Standards
- Panel Member Pro-Forma 2 – Quality of the Student Experience
- Panel Member Pro-Forma 3 – Activities to ensure and enhance standards and quality



## Part 9

# The External Examiner System

### 1 Introduction

- 1.1 The external examiner system is the process by which we assure ourselves that the academic standards of our courses are comparable with similar courses offered elsewhere and that the assessment process has been conducted fairly, in accordance with the approved structure, content and regulations and without prejudice to any student. Detailed below are the rights and responsibilities of external examiners and the procedures for their appointment.
- 1.2 UEL retains responsibility for the appointment, briefing and payment of all external examiners, whether appointed to on-campus provision or to courses and modules delivered in collaboration with a partner. All reports are submitted to UEL.

### 2 The Rights and Responsibilities of External Examiners

- 2.1 External examiners are full members of the relevant Assessment Board. Each school will appoint a Lead External Examiner who will attend boards that confer awards<sup>1</sup> to ensure that due process is followed. Whilst the remit is different depending on the board attended, external examiners should:
  - 2.1.1 Be able to judge each student impartially on the basis of work submitted for assessment, without being influenced by previous association with the course, the staff or any of the students.
  - 2.1.2 Be able to compare the performance of students with that of their peers on comparable courses of higher education elsewhere.
  - 2.1.3 Approve the form and content of proposed assessment tasks which are prescribed as counting towards the relevant award(s) in order to ensure that all students will be assessed fairly in relation to the course/module specification and regulations and in such a way that examiners will be able to judge whether they have fulfilled the objectives of the course/module and reached the required standard.

<sup>1</sup> Attendance at boards refers to all boards whether carried out on-campus or virtually.

- 2.1.4 Attend relevant Assessment Board meetings and have access to all assessed work. They should contribute to decisions on progression/awards and ensure that those decisions have been reached in accordance with UEL's requirements and standard practice in higher education.
- 2.1.5 See samples of students' work in those modules for which they have designated responsibility, in order to assess performance across the cohort/s.
- 2.1.6 Where professional body requirements stipulate, should be involved in meeting students and mentors within placement areas, as well as reviewing practice assessment documentation.
- 2.1.7 Have the right to moderate the marks awarded by internal examiners in accordance with UEL's policies regarding assessment.
- 2.1.8 Ensure that assessments are conducted in accordance with approved regulations.
- 2.1.9 Participate as required in any reviews of decisions about individual student's awards taken during the examiner's period of office.
- 2.1.10 Report back to UEL, at least once annually or as may otherwise be prescribed, on the effectiveness of the assessments and any lessons to be drawn from them (see section five below).
- 2.1.11 Comment on the overall development of the modules or course. External examiners can be consulted on modifications up to 25% of the course design, however in order to protect their independence they should not concurrently be used as external advisers for course validation, revalidation or review.

(A full list of the responsibilities of both roles can be found in the external examiners manual.)

- 2.2 Where it is deemed to be valid and relevant, external examiners may be consulted when establishing new policies or reviewing existing ones, alongside other forms of scrutiny or consultation.

### **3 The Appointment of External Examiners**

- 3.1 External examiner appointments must be approved on behalf of the Academic Board by the External Examiner Peer Review Team of the Education & Experience Committee on the recommendation of the relevant School Education and Experience Committee. All nominations are scrutinised against clearly specified criteria agreed by Academic Board.

- 3.2 New examiners take up their appointments on or before the retirement of their predecessors. External examiners should remain available after the last assessments with which they are to be associated in order to deal with any subsequent reviews of decisions. Nominations for replacement or extension of contract should reach the External Examiners' Administrator a minimum of **three months** before the expiry date of the contract of the External Examiner being replaced.
- 3.3 Where an examiner is not in place prior to the academic session commencing the school will ensure that the outgoing examiner approves the draft assessments. Where the outgoing examiner has approved the draft assessments, the school will ensure that the new examiner is made aware that the draft assessment has been approved by the previous examiner.
- 3.4 Each school is responsible for ensuring that all modules with students registered against them are allocated to an external examiner. This should be monitored via the school-based systems in place for the School Quality Committee.
- 3.5 Normally, appointments will run from October to September. The duration of an external examiner's appointment will normally be for four years. Only in exceptional circumstances, where there is a need to ensure continuity, will an extension of up to one year be considered.
- 3.6 External examiners should hold no more than two external examiner appointments for taught courses/modules at any point in time. The External Examiner Peer Review Team will expect to see convincing arguments in support of proposals for a heavier workload for an examiner.
- 3.7 Where a module is offered at more than one centre of delivery, for example in collaboration, the external examiner should be appointed to examine the module at all centres of delivery, where possible. The examiner will be sent samples of work from each centre of delivery (separate detailed guidance is available) and will be required to comment on standards and processes at each centre.
- 3.8 External examiners covering courses/modules at a 'Franchise' partner should have access to a sample of UEL on campus materials in order to examine their comparability. Schools should ensure that the necessary arrangements are in place.
- 3.9 In approving the appointment of external examiners, the External Examiner Peer Review Team will seek to ensure that the external examiners are competent and impartial, and that the Assessment Board(s) as a whole maintains an appropriate balance and diversity in order to ensure that students are fairly assessed.

- 3.10 New external examiners must be briefed on their task as soon as possible after appointment, preferably by visiting the institution to meet staff in the relevant school (remote meetings are also acceptable if an in-person visit is not possible). The briefing will cover: the dates of examiners' meetings; the examiner's role in relation to the examining team as a whole; module specifications and teaching methods; the methods of assessment and marking scheme; and academic regulations. In addition, all new examiners will also be invited to attend an institutional induction day organised by Quality Assurance and Enhancement. The External Examiner Peer Review Team will expect to see details of the support offered to external examiners with no previous examining experience and have the right to request further detail of the support to be offered.
- 3.11 External examiners may wish to meet students and this should be facilitated by the Head of Department or department team, making clear that the role of the examiner in meeting students is to obtain general feedback on the course experience. The Head of Department should provide details of the arrangements for meeting teaching staff including module leaders/placement providers and assessors.
- 3.12 Institutional guidance to external examiners on their role is provided by an External Examiners' Manual which is accessible via the external examiner webpage and referenced in the letter of contract.
- 3.13 The fee payable to an external examiner is at the discretion of the School but should take into account the current guidelines provided by the External Examiner Peer Review Team.
- 3.14 If termination of the appointment of an external examiner is considered desirable, grounds for such a decision must be clear and incontrovertible and the decision will be made by the External Examiner Peer Review Team. Appropriate grounds will include non-fulfilment of duties, non-submission or late submission of reports, or a change in circumstances compromising the impartiality of the external examiner. Our university reserves the right to terminate an appointment if an annual report is not submitted within the first term following the session from which the report was due.

#### **4 Criteria for the Appointment of External Examiners**

The following are the minimum criteria for consideration of proposed external examiners. The notes beneath each criterion provide a checklist of issues considered both in selecting and nominating external examiners and are used during scrutiny of nominees for approval.

##### **4.1 *An external examiner's academic/professional qualifications should be appropriate to the awards/department to be examined.***

The examiner:



- Should demonstrate competence and experience in the subjects covered at the Board.
- Have relevant academic or professional qualifications to at least the level of the qualification being examined, or extensive practitioner experience where appropriate.

**4.2 *An external examiner should have appropriate standing, expertise and experience to maintain comparability of standards.***

The examiner should:

- Show evidence of knowledge and understanding of UK sector agreed reference points for the maintenance and enhancement of academic standards and assurance and enhancement of quality;
- Have sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers/professional peers as appropriate.
- Demonstrate fluency in English (or for courses delivered and assessed in a language other than English, fluency in the relevant language).

Standing, expertise and breadth of experience may be indicated by:

- The present [or last, if retired] post and place of work.
- The range and scope of experience across Higher Education/ professions.
- Current and recent active involvement in research/scholarly/ professional activities in the department of study concerned.

**4.3 *An external examiner should have enough recent external examining or comparable related experience to indicate competence in assessing students considered at the Board. The examining experience will normally be in an external context.***

The examiner should be able to demonstrate:

- Competence and experience in designing and operating a variety of assessment tasks appropriate to the subject.
- Competence and experience in operating assessment procedures.
- Awareness of current developments in the design and delivery of relevant curricula.
- Familiarity with the standard to be expected of students to achieve the award in which students are to be assessed.
- Where relevant, evidence of meeting applicable criteria set by professional, statutory or regulatory bodies.

If the proposed examiner has no previous external examiner experience at the appropriate level, the application should be supported by either:

- Other external examining experience.
- Extensive internal examining experience.
- Other relevant and recent experience likely to support the external examiner role.

Proposed examiners without experience as external examiners should, where possible, join an experienced team of external examiners and the school will allocate a mentor. Where there is only one external examiner they should work initially alongside another experienced external examiner in a related area. This initial period should include involvement in the final stages of assessment for the award.

**4.4 *External examiners should be drawn from a wide variety of institutional/professional contexts and traditions in order that the Department Award/ Department Progression Board benefits from wide-ranging external scrutiny.***

There should not be:

- More than one examiner from the same institution in the team of external examiners in a department or associated department.
- A reciprocal arrangement involving cognate programmes at another institution.
- Where a UEL department sources a new examiner from the same department and provider as an outgoing examiner, the module allocation of the new examiner must differ in its entirety from the module allocation of the outgoing examiner.

*Where restructure of departments results in there being two examiners from the same institute in the same department the examiners may continue to the end of their contract. However, their contract term should not be extended.*

In order to facilitate this, Schools should hold details of the external examiner appointments held by members of staff at other institutions.

**4.5 *Examiners should not be over-extended by their external examining duties.***

External examiners should hold no more than two external examiner appointments for taught courses/modules at any point in time. An examiner should not be allocated in excess of 15 modules.

The External Examiner Peer Review Team will expect to see convincing arguments in support of proposals for a heavier workload for an examiner.

**4.6 *There should be an appropriate balance and expertise in the team of external examiners for each department.***

The proposed examiner should complement the external examining team in terms of expertise and examining experience. There should be an appropriate balance between academic and professional practitioners. If the department contains modules associated with courses leading to a professional award at least one practitioner with appropriate experience should be in the team. The phasing of appointments to the team should be structured to ensure continuity.

Lead External Examiners should have sufficient external examining experience to take an overview of the range of awards for which the Board is responsible.

**4.7 *External examiners should be impartial in judgement and should not have previous close involvement with the institution which might compromise objectivity.***

Over the last five years, the proposed examiner should not have been:

- A member of staff, a governor, a student, or a near relative of a member of staff associated with the department or award.
- An external examiner on a cognate department or award in the institution.
- Involved as external examiner for the modules or associated awards when they were approved by another validating body.

The proposed examiner should not be:

- Personally associated with the sponsorship of students.
- Currently a member of a governing body or committee of UEL or one of its collaborative partners, or a current employee or teacher on a course leading to a UEL award at a collaborative partner institution.
- In a close personal, professional or contractual relationship with a member of staff or student in the area associated with the Board.
- Required to assess colleagues who are recruited as students in the area associated with the Board.
- In a position to influence significantly the future employment of students in the area associated with the Board.
- Significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment in the area associated with the Board.
- Likely to be involved with student placements or training of UEL students in the examiner's organisation.

## **5 External Examiners' Annual Reports**

- 5.1 The reports provided by external examiners are an integral part of the quality assurance and enhancement processes. They form part of the documentation requirements for the Continual Monitoring Process and periodic Academic Review. In all cases, a Department Committee is required to demonstrate how it has responded to the views of external examiner(s). This helps to assure existing standards and, where possible, introduce changes which will enhance the quality of the courses. The guidelines issued to external examiners concerning the format of their report are also provided below.
- 5.2 Providing the report is a contractual requirement for external examiners. Reports should be submitted within one month of the boards taking place. Reports are received by Quality Assurance and Enhancement, which authorises payment of the external examiner's fee.
- 5.3 Senior staff of Quality Assurance and Enhancement read all External Examiners' reports on receipt and identify areas where a response is required. This information, together with the original report, is sent to the relevant Head of Department and copied to the Dean of School, School Leader for Quality Assurance and Senior Administrator. In the case of reports relating to collaborative provision, Schools are responsible for sharing these with staff in partner institutions. Where fundamental issues are raised by an external examiner, the Pro Vice-Chancellor Education and Experience contacts the Dean of School directly for an immediate response.
- 5.4 Any issues of institutional significance that require a response from a member of staff not attached to a School, are identified by Quality Assurance and Enhancement and the relevant member of staff is asked to respond.
- 5.5 Where an external examiner is unable to confirm one or more of the statements in Part 1 of the report (see 6.2 below), the School will be required to submit an action plan to the Education and Experience Committee, identifying the actions that will be put in place to address the examiner's comments. The School Quality Committee must initially approve the action plan and submit it to the Education and Experience Committee for approval. The actions will then be monitored to completion by Quality Assurance and Enhancement. Where the action relates to provision at a collaborative partner, the action plan must be drawn up in collaboration with the partner.
- 5.6 Each School is responsible for ensuring that timely and adequate responses are made to all external examiner reports. The Head of Department will normally respond to the examiner or where deemed appropriate may delegate this to the course leader (the school should put the necessary mechanism in place to facilitate this). This includes responses to external examiners for collaborative provision. To this end, the School Quality Committee designs, manages and maintains School based systems for receiving, responding and

implementing any actions that arise from external examiners' reports. This will include a process to ensure that responses or feedback from collaborative partners are incorporated into the response from the School to the external examiner. The Education and Experience Committee will approve such processes, prior to their implementation.

- 5.7 All responses to external examiners are lodged with Quality Assurance and Enhancement.
- 5.8 An annual overview report of issues arising in external examiners reports is prepared by the Quality Manager (Validation & Review) for consideration by Education and Experience Committee.

## **6 The Format of External Examiners' Reports**

- 6.1 Each external examiner is asked to produce an annual report which addresses the following quality assurance issues, according to their role as Department External Examiner or Lead External Examiner. A standard report form is provided. Where modules are offered at other centres of delivery, e.g., collaborative partners, it is important that the examiner is provided with information to enable them to comment on matters relating to each centre of delivery.
- 6.2 The form is completed online and each examiner is sent a unique link to their personalised report template. The report comprises of three parts, with Part 1 requiring the external examiner to confirm that:
- The standards set within the department, (as evidenced by the modules reviewed) are appropriate at the level, in the department.
  - The marks awarded for student assessments are appropriate
  - The marks awarded for student assessments are appropriate and comparable with marks that would have been attained at other institutions with which the examiner is familiar.
  - The processes for assessment, examination and the determination of credit for modules are sound and fairly conducted, in line with university regulations and relevant Professional, Statutory and Regulatory Body requirements.
  - The students have the opportunity to achieve standards beyond the threshold level
  - The students have the opportunity to achieve standards beyond the threshold level and that this is comparable with other institutions with which the examiner is familiar.
- 6.3 Part 2 of the report gives a series of statements. The external examiner indicates the extent to which they agree with statements:

### **6.3.1 The standards attained by the students:**

- The standards of the students meet threshold benchmarks, internal, and external, including professional body requirements/standards
- The subject knowledge of our students is comparable to their peers
- The standard of academic skills of our students is comparable to their peers
- The failure rates of our students are comparable to their peers
- These comparisons above extend similarly to modules delivered at our collaborative partners.

### **6.3.2 *The design and structure of the assessment:***

- All learning outcomes are assessed appropriately
- The assessment methods are fair
- The assessment methods are inclusive
- There is an appropriate range of assessments
- Assessment methods stretch students to perform above threshold levels
- These statements above apply similarly to assessments provided by our collaborative partners.

### **6.3.3 *The general conduct of assessment:***

- I received all of the draft assessment tasks (for the modules in my allocation that ran in the current academic year)
- The nature and level of the assessment tasks was appropriate
- Suitable arrangements were made to consider my comments
- *If required by a professional/ statutory/ regulatory body.* I was involved with meeting/observing students and/or meeting work placed mentors
- *If you examine modules at a 'Franchise' partner.* I was given access to a sample of UEL on campus materials in order to examine their comparability
- Appropriate procedures are in place for the moderation of papers
- Assessment boards are conducted appropriately
- It is easy to distinguish between students at each centre of delivery
- Progression decisions were made fairly and consistently, in adherence to the regulations

### **6.3.4 *Marking:***

- I received examples of assessment for all modules
- I received an appropriate range of examples of work
- Suitable arrangements were made to consider my comments
- Internal marking is accurate
- Internal marking is consistent
- Appropriate procedures are followed for marking

- There is implementation of UEL's policy on Second and Anonymous Marking
- There are clear marking criteria
- There is appropriate use of the full range of marks
- Feedback is appropriate
- Feedback is consistent
- These statements apply similarly to marking at our collaborative partners.

#### **6.3.5 *The modules:***

- The standards of modules meets internal and external threshold benchmarks, including professional body requirements
- The content of modules is appropriate
- The structure of modules is appropriate
- Modules are up to date with current thinking in the discipline
- Modules consistently demonstrate high quality teaching standards
- The modules prepare students for employment
- The modules prepare students for further study

#### **6.3.6 *Learning Environment:***

- Students are engaged at UEL
- Students who are underrepresented in Higher Education can succeed at UEL
- Appropriate resources are in place to help students succeed
- The learning environment is stimulating for students, providing the right level of challenge
- Opportunities exist for students to engage in activities that benefit their personal development
- Opportunities exist for students to engage in activities that benefit society

#### **6.3.7 *Execution of the examiner role:***

- I have a productive relationship with the academics responsible for modules in my remit
- Administrative arrangements are in place to help me succeed in my role
- I received all the information I needed to answer the questions in this report
- I am a new examiner and I received all the support I needed to undertake my role

### **6.3.8 Previous Report:**

- Were there matters arising from previous examiner report that required a response?
- Were these matters adequately addressed
- Overall, things have improved since last year?

### **6.3.9 Further comments:**

- The examiner is asked to comment on areas of good practice that they would like to highlight.
- The examiner is asked to comment on areas that could be improved.
- There is a final comment section for general comments and may be completed if this is the examiner's final report to provide a summary of their findings over the term of their appointment.

### **6.3.10 Notification of any change in circumstances:**

- A prompt for examiners to notify UEL of any changes in circumstances that may impact on their impartiality as an external examiner is included at the beginning of the form

6.4 Part 3 of the report is completed by the Lead Examiner only (the examiner that attends the Award Board) and is asked to comment on the following:

#### **6.4.1** The first section requiring the external examiner to confirm that:

- The standards set for the award are appropriate for the qualifications at the level.
- The standards of attainment and completion are comparable with similar courses or subjects in other UK institutions with which the examiner is familiar.
- The processes for assessment, examination and the determination of awards are sound and fairly conducted in line with university regulations and relevant Professional, Statutory Body requirements.

Then there are a series of statements. The examiner indicates the extent to which they agree with statements:

- The standards of student attainment is equivalent to peers on comparable courses elsewhere
- The standard of the courses on which awards have been made are appropriate for the awards to which they lead
- Appropriate procedures are in place for operation of the assessment board



- Matters arising from previous examiner reports were adequately addressed

#### **6.4.2 Further comments:**

- The examiner is asked to comment on areas of good practice that they would like to highlight.
- The examiner is asked to comment on areas that could be improved.
- There is a final comment section for general comments and may be completed if this is the examiner's final report to provide a summary of their findings over the term of their appointment.

#### **6.4.3 School response:**

- There is a section at the end of the report for the school response.
- There is also a section for additional responses, where a UEL service/department may be asked to respond to a particular point.

## **7 Exceptional Circumstances**

- 7.1 There may be times when an examiner is unable to undertake their duties, due to unforeseen circumstances. In these situations, the school should ensure that another examiner looks at the modules. The school should look to re-allocate the modules to an existing examiner (with the relevant expertise). If this is not possible then the school should source a new examiner.
- 7.2 If an examiner is unable to attend an assessment board the school should ensure that the examiner is involved in some way, either by submitting their comments via email or phone, or attending virtually, eg. By Skype or MS Teams.

### ***Manuals, Forms and Guidance notes relevant to Part 9***

<https://www.uel.ac.uk/about/about-uel/governance/external-examiner-system>

- External examiner manual
- External examiner website



## Part 10

# Approval and Quality Assurance of Short Courses

### 1. Introduction

#### 1.1 Principles of Short Course Approval

All **credit rated** Short Courses must follow the formal approval and monitoring processes described below.

All **non-credit rated** Short Courses that are an integral part of a recognised HE course must also be approved using the formal process:

- For example:
  - A preparatory or access course to facilitate progression to a HE qualification as a condition of entry.
  - Short periods of study within a course which generally takes place in vacation time, and are normally for students to catch up with others on the course.
  - Bridging courses, e.g., between completion of a foundation degree and the BA or in order to facilitate students transferring in at an advanced stage (e.g., as part of an articulation arrangement).

It is recommended other types of **non-credit rated** Short Courses also follow these processes, however this will not be necessary or appropriate in all cases. In deciding whether to formally approve a non-credit rated Short Course, please contact Quality Assurance and Enhancement. This will enable the activity being proposed to be logged for reporting purposes and a decision to be made regarding a process for setting up the course.

Factors that will be taken into consideration include:

- Whether the course is to be repeated
- If there is a need to register the participants via UEL records systems

- Whether the participants will require access to other UEL services e.g., Library and Learning Services

1.2 The university is required to report on any activity that falls into the definitions of:

### **Continuing Professional Development**

Training courses for learners already in work who are undertaking the course for purposes of professional development/up-skilling/workforce development.

### **Continuing Education**

Training courses for learners that might be employed or unemployed who are undertaking the course for the purpose of continuing their education. This includes courses to develop/enhance specific employability or professional skills and courses that may feed learners into higher education (level 4 and above).

For more information on these types of activity please see: Definitions of Continuing Professional Development and Continuing Education, on the QAE forms and guidance page:

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

1.3 The **School Quality Committee** is responsible for the validation and quality assurance procedures applicable to courses developed and delivered by UEL Schools. Specifically, these are:

- Non-credit rated Short Courses delivered by UEL staff at UEL and off campus;
- Credit rated Short Courses delivered by UEL staff at UEL and off campus;
- Courses offered by distance learning (not in collaboration with external partners);
- Courses delivered in partnership with UEL services.

Details of the approval process are provided in section 5 below.

Details of documentation requirements are provided in section 4 below.

1.4 **The Short Course Panel** is responsible for the approval of Short Courses involving delivery by a collaborative partner; or for the accreditation of externally designed courses; details are provided in section 6 below. Specifically, these are:

- Short Courses delivered in collaboration with external partners;
- Recognition, approval and accreditation of externally designed Short Courses.

## **2 Accreditation**

- 2.1 Short Courses enable the allocation of credit for learning that is achieved outside UEL's main provision of credit-rated courses that lead to recognised awards.
- 2.2 In determining the appropriate credit-rating for a Short Course, the amount of credit and level of credit need to be determined. Credit is allocated on the basis of 10 hours of notional student study time for each credit. In this context, 'study time' incorporates formal contact time, assessment, and other student learning time.
- 2.3 Credit rating can only be applied to those courses which have study time equivalent to a minimum of 4 credit points (40 hours) up to a maximum of 40 credits (400 hours) for courses at levels 3, 4, 5 and 6 or 30 credits (300 hours) at level 7. Courses of less than 40 hours cannot be credit-rated.
- 2.4 Where a Short Course enables a student to accumulate credit to the value of an UEL award, the student will be entitled to receive this award, the award will be unnamed (details may be found in Part 1 of the Manual of General Regulations, Descriptions of Awards).
- 2.5 Short Courses are reviewed as part of the Periodic Academic Review process (details may be found in Part 8 of this manual).

## **3 Criteria for Approval**

- 3.1 The Quality Criteria (Part 4 of this manual) should be used as a basis for determining the suitability of the proposal for approval.

## **4 Documentation Requirements**

- 4.1 All requests for the approval of a Short Course should be submitted on the Short Course Proforma (available at <https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>). All boxes must be completed and relevant documentation attached (see 4.2 below).
- 4.2 The documentation to be included with the Short Course Proforma is as follows:
  - Module specification(s);
  - External Adviser comments (see 4.3 below);
  - Confirmation of financial viability (see 4.4 below);
  - Report on facilities and resources;
  - Where the Short Course is to be delivered by non-UEL staff, staff CVs should be included;

- For distance learning proposals, evidence via the report of the External Adviser, that materials and support meet the quality assurance requirements for distance learning proposals.

4.3 A proposal for a Short Course must have been submitted to an External Adviser prior to submission to the School Quality Committee or Short Course Panel. The Chair of the relevant Committee / Panel will be responsible for approving the adviser after reviewing their nomination form. Advisors will be appointed based on:

- The depth of subject knowledge;
- The relevance of subject knowledge;
- Impartiality (the nominee should not have any formal links with UEL during the last five years as a former member of staff or the last three years as an External Examiner);
- Professional expertise.

4.4 The proposal must be accompanied by approval from a Finance Manager of the financial viability of the proposal.

4.5 For credit rated Short Courses, appropriate arrangements for the assessment of students and appointment of External Examiners will be made to ensure that the output standard is appropriate to the level/credit rating proposed.

4.6 For non-credit rated Short Courses where there is a qualification awarded, an External Examiner will need to be appointed and the moderation process outlined; an External Examiner is not required for Short Courses where no academic credit or qualification is being awarded.

4.7 Documentation should include a report from the course proposer that the facilities and resources for delivery are appropriate. The purpose of the report is to ensure that the physical resources/accommodation are appropriate for delivery, and that any required pastoral care and learning support services are available to students. Where the Short Course is to be delivered by non-UEL staff, staff CVs should also be included

## **5 Procedures for the approval of Short Courses delivered by UEL staff**

5.1 The School Quality Committee, is responsible for the approval of any Short Courses, whether credit-rated or non-credit rated, that are to be delivered by UEL Schools.

5.2 The proposal will be submitted to a full meeting of School Quality Committee. Proposals cannot be considered by correspondence. The Quality Assurance Officer and internal external from another School (normally a School Quality Leader) will be present at the meeting, as specified in the standard terms of reference and constitution of the School Quality Committee. The leader of the proposed course must be present to answer any queries.

- 5.3 School Quality Committee will reach a decision about whether the proposal can be approved on the basis of the documentation and the External Adviser recommendations. For credit rated courses, the following issues should be agreed:
- The credit rating;
  - The level of credit;
  - The appropriateness of the proposed assessment.
- 5.4 The School Quality Committee can either (a) approve the proposal or; (b) reject the proposal and require that it be revised and re-submitted for further consideration at a future meeting. The School Quality Committee may not impose conditions of approval.
- 5.5 The minutes of the School Quality Committee will record details of the discussion with regard to the proposal and the outcome agreed by the Committee.
- 5.6 The minutes of the School Quality Committee and approved Module Specification(s) shall be lodged with Quality Assurance and Enhancement for formal noting of the approval of the Short Course on the Course Register and at Education and Experience Committee.
- 5.7 School Quality Committee is responsible for ensuring that the School has in place a method for monitoring the quality of its Short Courses, seeking student feedback and acting to make improvements where appropriate. Schools may find it appropriate to prepare Continual Monitoring reports for Short Courses, incorporate evaluation in Department Continual Monitoring report, or prepare one report to cover all Short Courses offered during the academic session. Issues arising from Short Courses should also be addressed in the School Continual Monitoring Report.
- 6 Procedures for the approval of Short Courses delivered in collaboration with external partners**
- 6.1 Following receipt of an expression of interest from a potential collaborative partner, and agreement to proceed, a representative from the academic school (the course proposer) will be designated to support the partner. All Short Courses carrying credit need to be associated with an academic School.
- 6.2 The Short Course Proforma will be completed (see section 4 above).
- 6.3 Proposals will be considered by the Short Course Panel, which will be convened by Quality Assurance and Enhancement. The panel will be constituted of two members from Education and Experience Committee and / or Validation Process Peer Reviewers plus the Head of Quality or a Quality Manager. The Head of Quality Assurance and Enhancement or Quality Manager will act as Chair. The course proposer and partner representative should be in attendance.

- 6.4 The minutes of the panel will record details of the discussion with regard to the proposal and the outcome agreed by the panel.
- 6.5 Quality Assurance and Enhancement will formally note the approval of the Short Course on the Course Register and at Education and Experience Committee.
- 6.7 The panel will determine whether the proposal can be approved and will determine the following, as appropriate:
- The credit rating;
  - The level of credit;
  - The appropriateness of the proposed assessment.
- 6.8 Following the decisions of the panel, the chair will then:
- Confirm that the proposal has been approved.  
**or**
  - Issue a statement of conditions to be met pending approval.  
**or**
  - Notify the partner that the proposal has been unsuccessful and that further work is not justified.
- 6.9 Where conditions of approval are set, the deadline for submission of responses to approval conditions shall be determined by the panel. Short Courses may not be offered until all conditions have been satisfied. The following standard conditions will be set where appropriate:
- **External Examiner Nominations** - that the Short Course proposer should take action to ensure that an external examiner is nominated and approved to cover delivery of the approved Short Course(s) (see the Quality Manual Part 9);
  - **Memorandum of Cooperation** - that the final memorandum of cooperation is agreed and signed by the parties;
  - **Local laws and regulations** – that the partner presents verifiable evidence to confirm that government approval to deliver the courses(s) has been obtained.

Such standard conditions will be set along with any other outstanding matters that Short Course proposer needs to address prior to commencement of the Short Course.

- 6.10 If conditions are imposed, it is the responsibility of the Short Course proposer to ensure that the conditions are satisfied within the time scale specified.
- 6.11 The response to conditions of approval should be submitted to Quality Assurance and Enhancement which will arrange for it to be considered.



- 6.12 The Chair of the panel will be responsible for formally determining that the conditions of approval have been satisfied.
- 6.13 Where the proposal is in collaboration with a partner, a memorandum of cooperation or equivalent legal contract will be required. The contract will include, inter alia, details of arrangements for registration, monitoring, assessment, student feedback, financial arrangements, and mechanisms for managing the course or collection of courses.
- 6.14 Where a course confers academic credit or a qualification, an External Examiner will be appointed and the relevant UEL Assessment Board will ratify the results. The External Examiner will be appropriately remunerated for the additional elements of work associated with the course.

## **7 Transcripts/Certificates of Attendance**

- 7.1 Transcripts and certificates for credit rated Short Courses will be produced by the Student Registry.
- 7.2 For the production of certificates for any other kind of Short Course, the student registry should be contacted in the first instance for advice.

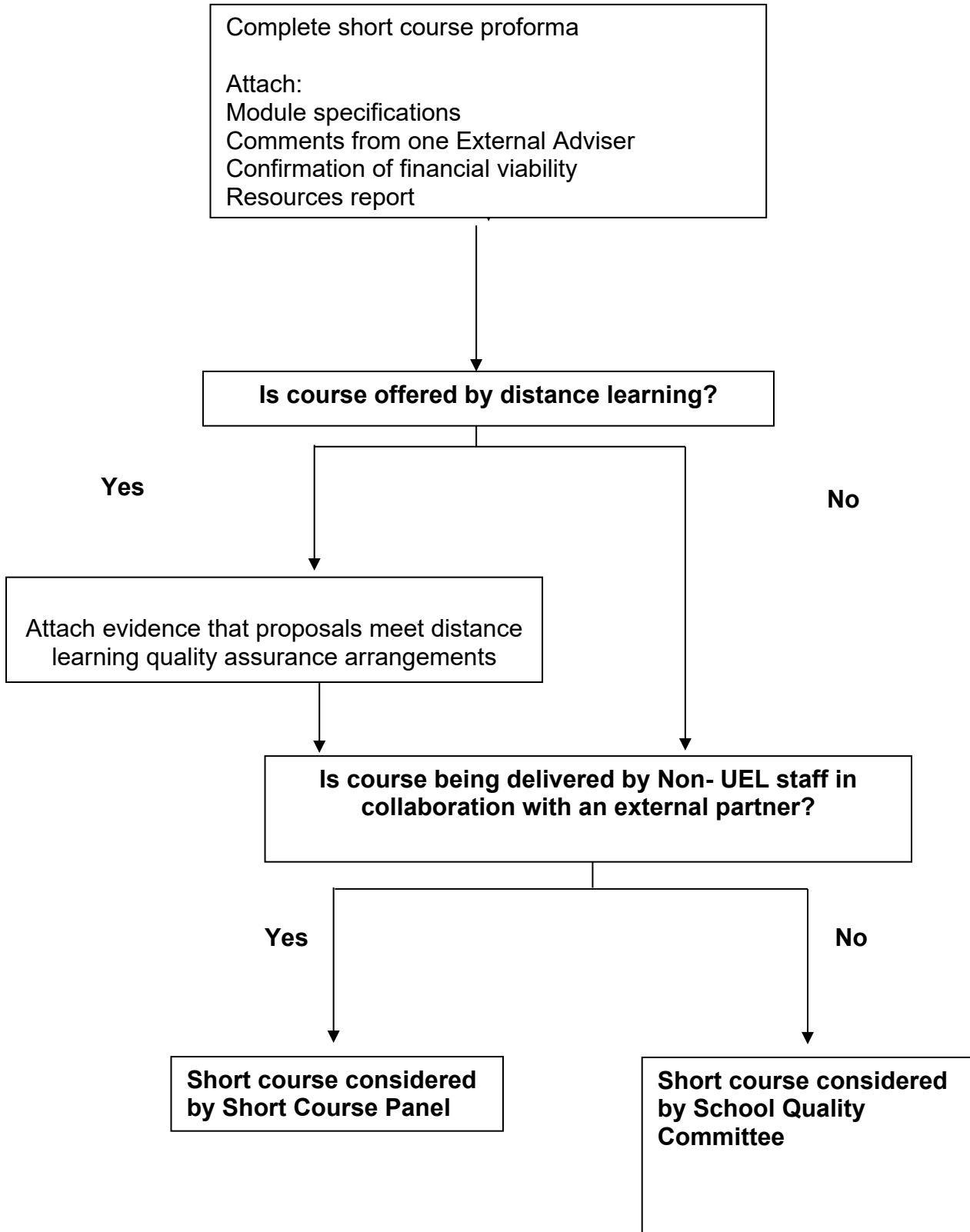
## **8 Modification and Withdrawal of Courses**

- 8.1 Modifications to Short Courses require the approval of the School Quality Committee. School Quality Committee may approve changes that do not involve changes to the curriculum content, on receipt of an appropriate rationale and where appropriate, a revised module specification. Such changes include for example a change in the form, length or nature of assessment (for credit rated Short Courses), Short Course title changes without any changes in curriculum content or learning outcomes and changes in standard start dates for the Short Course.
- 8.2 The following modifications to Short Courses require the full re-approval of the Short Course:
- Any allocation to a different level of a module that is part of a Short Course;
  - Any change in the credit weighting of a module that is part of a Short Course;
  - Any change to the learning outcomes of a module that is part of a Short Course (with or without a change in the title of the module / Short Course);
  - Any change to the curriculum content of a module that is part of a Short Course other than routine updating (with or without a change in the title of the module);
  - Any change in the mode of delivery of a module that is part of a Short Course.

The procedure to be followed for the re-approval of a Short Courses is the same as for the approval of new Short Courses.

- 8.3 Normal and regular updating of indicative reading lists does not require approval by the School Quality Committee.
- 8.4 Short Course withdrawals are considered and validated by the School Quality Committee at the time the decision is made to withdraw the Short Course, using the standard proforma (available from Quality Assurance and Enhancement and at <https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>). Such proposals must include a rationale for the withdrawal of the Short Course. Where students currently enrolled on the Short Course will be affected by the proposed changes, evidence of consultation of all students affected must be provided and detailed transitional arrangements supplied.

## SHORT COURSE APPROVAL FLOWCHART



**Manuals, Forms and Guidance notes relevant to Part 10**

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

- Checklist for courses delivered off site (*School use*)
- Definitions of CPD and CE
- Operational procedures for credit rated courses
- Operational procedures for non-credit rated courses
- Proforma for approval of short courses
- External Adviser approval proforma – non-credit rated courses
- External Adviser approval proforma – credit rated courses
- Short course approval flowchart
- Short course withdrawal form

# Part 11

## Collaboration with Other Institutions

### 1. Introduction

1.1. UEL is involved in a range of collaborative academic partnership relationships, each relationship is categorised as one of the following models of collaboration:

- 1.1.1. **Franchise:** UEL may license whole courses, or stages of courses, designed by UEL and delivered on campus at UEL, to be delivered by a partner institution at their premises. Core modules will be as set out in the UEL course specification for the course, save that differences in curriculum content in core modules may be permitted to reflect cultural and regional differences as long as learning outcomes remain consistent. The partner institution may be permitted to develop a different set of optional modules, as long as they enable the course learning outcomes to be met. Additional optional modules would need to be approved through the UEL approval procedures. Where there is justification for doing so, and in-country regulations do not prohibit, it is possible for franchise courses to have a different course title to the on-campus UEL course. UEL retains ultimate responsibility for updating course content and course content will be reviewed as part of the Departmental academic review;
- 1.1.2. **Validation:** UEL may accredit a course developed by another institution as equivalent to a UEL award, or leading to the award of a specific number of credits. The partner institution has responsibility for updating course content and course content will be reviewed as part of the partner institution's collaborative review;
- 1.1.3. **Joint:** A course delivered jointly by UEL and at least one other institution. Delivery of the course may take place at UEL, the partner institution's premises, both at UEL and the partner institution's premises or by distance learning. Responsibility for updating course content is shared and course content will be reviewed as part of the Departmental academic review;
- 1.1.4. **Distributed Delivery:** (*also known as 'flying faculty'*) A course of study whereby course delivery and assessment is undertaken by UEL staff at the partner institution site. The partner institution may provide certain specialist resources, as approved by the University. UEL retains ultimate responsibility for updating course content and course content will be reviewed as part of the Departmental academic review.

- 1.2. Partnerships categorised as either franchise, validation or joint will adhere to one of the following methods of course delivery:
  - 1.2.1. **Partner On Campus:** The course is delivered on site at the partner institution, or through blended delivery, the partner institution is responsible for the management of teaching and assessment;
  - 1.2.2. **Joint:** Course delivery is split between UEL and the site of the partner institution. Responsibility for teaching and assessment is split between UEL and the partner institution, normally each institution takes responsibility for elements of the course which are delivered at its teaching site. The split in responsibility for delivery of the course will be agreed at validation;
  - 1.2.3. **Distance learning:** A course of study whereby a student would not normally attend a UEL campus or that of a partner institution. Attendance may be required for residential sessions, for study support or for assessment purposes. The partner institution may manage elements of delivery, support and/or assessment, as agreed at validation.
- 1.3. Each course delivered in collaboration with a partner institution will lead to one of the following award types:
  - 1.3.1. **Single award:** A course of study leading to the award of a UEL qualification. UEL have sole responsibility for the issuing of the award certificate;
  - 1.3.2. **Double award:** A course of study leading to the award of both a UEL qualification and that of a partner institution. Each institution shall be responsible for the issuing of the award certificate of that institution;
  - 1.3.3. **Joint award:** A course of study leading to the award of a single certificate awarded jointly by UEL and another partner institution. Responsibility for the issuing of the award certificate shall be agreed between the two institutions prior to the commencement of the course.
- 1.4. The academic framework, assessment and feedback policy apply to the various models as follows:
  - 1.4.1. For **franchise and distributed delivery** agreements, all will apply;
  - 1.4.2. For **joint and validation** agreements, the assessment and feedback policy applies. The academic framework would normally be expected to apply with scope for negotiation. Deviations from the academic framework and/or the assessment and feedback policy must be approved by the Education and Experience Committee of UEL.
- 1.5. UEL's academic framework requires that course teams incorporate our principles of Mental Wealth (<https://www.uel.ac.uk/about/about-uel/mental-wealth>). All undergraduate courses delivered in collaboration with a partner institution are, unless granted an exemption, required to incorporate the principles of Mental

Wealth within their curriculum. Mental Wealth is not a requirement of postgraduate courses delivered in collaboration with a partner institution and the partner institution will be given the option of whether or not they wish to adopt UEL's Mental Wealth principles.

- 1.6 UEL has ultimate responsibility for the quality of all courses leading to a UEL award. Where a course leads to a double or joint award responsibility for quality may be shared with each institution having ultimate responsibility for the quality of its own award.
- 1.7 In some circumstances UEL staff are contracted to teach on courses designed, validated and delivered at another institution. In this context it is usually the partner institution that takes responsibility for the quality of the course offered and UEL's quality assurance procedures do not apply.
- 1.8 In the context of this section of the Quality Manual, the term 'institution' is used to describe any educational establishment (e.g. college of further education, college of higher education, university) within the UK or overseas. It also embraces industrial, commercial or public sector organisations that wish to offer courses in collaboration with UEL or purchase a course from it.

## 2. Summary of the Approval Process

- 2.1. Before UEL can offer courses in collaboration with a partner institution, an institutional approval and course approval process must be completed (see Process Flow Appendix A). The criteria for approval are as follows:
  - 2.1.1. The arrangement is consistent with the UEL vision and strategy and policy on collaboration;
  - 2.1.2. There is evidence to suggest that there will be adequate resources available to support the collaborative arrangements proposed;
  - 2.1.3. The proposal has academic benefit for UEL and is financially viable;
  - 2.1.4. The partner institution is of appropriate standing and is capable of providing a suitable learning environment for the delivery of courses of study leading to UEL awards;
  - 2.1.5. There is confirmation from official sources that official recognition will be granted, or of the limitation or conditions applying in respect of recognition (overseas courses only);
  - 2.1.6. There is no evidence to suggest that the partner institution will be prepared to place quality and standards at risk for financial gain.
- 2.2. All course proposals, irrespective of the model of collaboration, must be accorded partnership proposal and business case approval (managed by AEPO via the Academic Partnerships Oversight Group). QAE will then manage the **initial approval process**. Once this is granted, development teams can proceed with the detail of the development, and a validation event can be arranged.

- 2.3. For institutions with which UEL has not worked before, **institutional approval** is required. This includes proposals where partner institutions assist in, or facilitate the delivery of a UEL course by distance learning.
- 2.4. Discussions will also take place with the partner institution with regard to the **memorandum of co-operation**, to agree the commercial and financial terms, the operation of an academic calendar, the allocation of responsibilities between UEL and the partner institution and the implementation of UEL policies and procedures (see 10 below). No course can run without a signed memorandum of co-operation being in effect.
- 2.5. The **course approval** process comprises a planning meeting, at which an initial review of documentation takes place, and if a decision is made to proceed, is followed by the validation event, normally involving a site visit. Following the event, the proposal will be approved, approved subject to conditions, or not approved. Where conditions are set a deadline will be imposed. Peer Review, acting on behalf of Academic Board, will formally validate the proposal, having considered the report of the approval panel. The course may not run until all conditions are met and validation has been completed.
- 2.6. Any deviation from the usual process flow for collaborative approvals detailed at Appendix A must be approved by the Head of Quality Assurance and Enhancement and by the Academic Partnerships Oversight Group.

### **3. Initial Approval**

- 3.1. Before a new collaborative course is developed, initial approval must be obtained. The aim of initial approval is to ensure that time is spent productively on developing proposals that are viable, accord with the UEL vision and strategic plans and are likely to succeed at approval and validation. No proposal may proceed to validation unless initial approval has been obtained.
- 3.2. The following timelines should usually be adhered to when applications for initial approval are being made:
  - 3.2.1. For courses where it is proposed that **delivery will begin in September**, initial approval should be obtained from the Academic Partnerships Oversight Group, chaired by the PVC Careers and Enterprise, no later than February;
  - 3.2.2. For courses where it is proposed that **delivery will begin in February**, initial approval should be obtained from the Academic Partnerships Oversight Group, chaired by the PVC Careers and Enterprise, no later than July.
  - 3.2.3. Any proposal that sits outside the timelines set out in 3.2.1 and 3.2.2 cannot be progressed without the approval of both the Head of Quality Assurance and Enhancement and the Academic Partnerships Oversight Group.



- 3.3. Applications for initial approval for proposals relating to collaborative partnerships are completed using the collaborative initial approval form.
- 3.4. Where a proposal is for a new collaborative partnership, the course proposer should contact the Academic Partnerships' Business Development Manager the earliest opportunity for advice in completing the form.
- 3.5. Where a proposal is for an existing collaborative partnership, the course proposer should contact their Academic Partnerships' Account Manager at the earliest opportunity for advice in completing the form.
- 3.6. Once completed, the collaborative initial approval form will be submitted to Quality Assurance and Enhancement.
- 3.7. Quality Assurance and Enhancement will post the form online for a 10 day consultation period with the following stakeholders:
  - The proposing School;
  - Facilities Services;
  - Academic Registry;
  - Strategic Planning;
  - Quality Assurance and Enhancement
  - Library and Learning Services.

If major concerns are raised as part of the consultation process, Quality Assurance and Enhancement will put the proposal on hold and seek a resolution.

- 3.8. At the end of the ten-day consultation period Quality Assurance and Enhancement will consolidate the feedback from the relevant stakeholders and forward the proposal to the Academic Partnerships Oversight Group, chaired by the PVC Careers and Enterprise, for consideration and final approval.
- 3.9. Once initial approval has been granted, the proposal is added to the validation and review schedule and progress in terms of course approval is monitored by Quality Assurance and Enhancement. The College Quality Officer associated with the School(s) will be available to provide advice and guidance and assist in the development of the proposal.

#### **4. Institutional Approval**

- 4.1. Where a proposal is to work with an institution with whom UEL do not have existing collaborative provision, then it will be necessary to undertake institutional approval.
- 4.2. The purpose of institutional approval is to:
  - 4.2.1. Confirm there is strategic alignment and consistency with the UEL vision;
  - 4.2.2. Ensure that the collaborative arrangement is financially viable;
  - 4.2.3. Ensure that the partner institution is financially stable;

- 4.2.4. Ensure that the partner institution has appropriate mechanisms for governance;
  - 4.2.5. Ensure that the partner institution is of appropriate standing and unlikely to put standards and quality at risk;
  - 4.2.6. Ensure that the partner institution has effective quality assurance mechanisms;
  - 4.2.7. Ensure that the partner institution has appropriate resources and policies for student support;
  - 4.2.8. Ensure that where government approval is required, this has been obtained or is likely to be obtained.
- 4.3. The level of scrutiny required will be determined on the basis of the complexity and volume of provision as well as perceived risk. Nevertheless, initial enquiries will cover the following areas:
- Public and legal standing of the prospective partner institution in their own country and in the case of a partner institution in the UK, via reports of public bodies;
  - Standing of prospective partner institution in the light of experience of other UK institutions;
  - The financial stability of the prospective partner institution;
  - The ability of the prospective partner institution to provide the human and physical resources to operate the provision successfully;
  - The ability of the prospective partner institution to provide an appropriate and safe working environment for students;
  - The ownership of the prospective partner institution, its governance and management structures, its range of business interests and links, and its appropriateness to support the proposed arrangement;
  - The ability of the prospective partner institution to manage processes for quality assurance and to meet the expectations of the UK Quality Code.
- 4.4. As part of the institutional approval process Quality Assurance and Enhancement will undertake due diligence checks in liaison with UEL's Governance and Legal and Finance teams.
- 4.5. UEL reserves the right to withdraw Institutional Approval, the withdrawal of Institutional Approval would result in the immediate termination of the partnership.

### **Due Diligence**

- 4.6. Quality Assurance and Enhancement will work with the prospective partner institution to gather relevant information. Normally, the following information will be gathered for a UK based institution which is a publicly funded body:
- 4.6.1. A brief history of the institution including details of its ownership.
- 4.6.2. Documents which help to determine the nature of the institution:
- mission statement;
  - strategic plan;
  - prospectus.
- 4.6.3. Details of the institution's governance and management structure including membership and terms of reference of its governing body and important internal committees, including a diagrammatic representation of the organisational and internal structure.
- 4.6.4. Relevant financial information:
- budget statements;
  - management accounts;
  - audited published financial statements including income and expenditure account, balance sheet, cash flow statement and notes to the accounts.
- 4.6.5. A detailed description of the academic and administrative resources available at the institution to support the collaborative arrangements proposed (to include provision for welfare, support services and pastoral care available to students).
- 4.6.6. Evidence about the quality of provision at the institution:
- reports from funding bodies;
  - reports from external quality assurance bodies;
  - details of any other UK HEI or educational bodies with which the institution has, or has previously had, collaborative arrangements, if applicable.
- 4.6.7. Staff development policy and details for monitoring the performance of teaching staff.
- 4.7. If the proposed collaboration is with an organisation which is privately funded, or of charitable status, the following documentation will be required in addition to those listed in 4.5 above:
- 4.7.1. The constitution of the institution which gives it legal status, e.g. Articles of Association, Trust deed, Act of Parliament;
- 4.7.2. Audited accounts (including director's notes) for the preceding 3 financial years;

- 4.7.3. Corporate plan/business plan/financial forecasts;
  - 4.7.4. A list of names under which the organisation/institution trades;
  - 4.7.5. Litigation and disputes, i.e. details of any proceedings (civil, criminal or arbitration), dispute or complaint, any order or judgement, if relevant;
  - 4.7.6. A written statement from prospective institution confirming the organisation's/institution's ability to enter into contract with UEL;
  - 4.7.7. Liability insurance e.g. copies of valid insurance certificates;
  - 4.7.8. Health and safety policy;
  - 4.7.9. Equality and diversity policy, including policy on disabled students;
  - 4.7.10. Employment policies and profile (to include details of staff numbers broken down separately for academic and administrative staff);
  - 4.7.11. Policy on modern slavery;
  - 4.7.12. Safeguarding policy;
  - 4.7.13. Policy on the admission of students and a profile of the student body;
  - 4.7.14. Quality assurance arrangements currently in place for: curriculum development, approval, monitoring and review of courses, collection and evaluation of student feedback, management and administration of assessment processes, feedback to students on assessed work, tracking students' progression and achievement, student consultation and representation systems;
  - 4.7.15. Independent evidence of the institution's reputation and standing, including checking any previous association of the institution with another UK higher education institution;
  - 4.7.16. Documentation about any legal or regulatory requirements (including the institution's legal capacity to award 'Joint' or 'Double' awards, if relevant) to which the institution must conform.
- 4.8. For UK based institutions intending to recruit international students, an accreditation report from one of the approved accreditation bodies and evidence of sponsor status from the UKVI will be required.
- 4.9. If the collaboration is with an overseas institution the following information will be required in addition to that identified in 4.5 and 4.6 above:
- 4.9.1. Details of government approval/accreditation/recognition of the institution (copies of approval letters or certificates issued by the local ministry of education, the national quality assurance agency, etc);

- 4.9.2. Academic Partnerships will obtain any information on the institution or on the cultural, legal, financial and political environment of the country in which the institution is based, which might impact on UEL's ability to exercise its responsibilities, particularly in relation to academic standards and quality, available from government offices or agencies in that country or the British Council;
- 4.9.3. An evaluation of the implications of any language issues provided by the course proposer.
- 4.10. Quality Assurance and Enhancement will present financial information from the prospective partner institution to the Assistant Director of Financial Management for an assessment of the financial stability of the institution and an overview of the financial costs/benefits to UEL. The Assistant Director of Financial Management or delegated member of staff will prepare a written report providing the necessary assurance to the University as to the financial standing of the institution.
- 4.11. Quality Assurance and Enhancement will present documentation relating to the governance and legal standing of the prospective partner institution to the Assistant Director for Governance and Legal for an assessment of the governance and legal standing of the institution. The Assistant Director of Governance and Legal or delegated member of staff will prepare a written report providing the necessary assurance to the University as to the governance and legal standing of the institution.
- 4.12. A member of academic staff from the School with whom it is proposed that the prospective partner institution will collaborate, or a member of Academic Employer Partnerships, will conduct a visit of the premises at the institution and complete a site visit report to include a recommendation as to the suitability of the facilities for delivery of the proposed course(s). Where the member of staff conducting the site visit does not have specialist knowledge in the relevant subject area(s) they will ensure that they are provided with a comprehensive list of necessary facilities for delivery the proposed course(s) in order that they can confirm whether the institution has the necessary facilities.
- 4.13. A member of the Quality Assurance and Enhancement team responsible for collaborations will review the reports detailed at 4.10 to 4.12 and make an assessment of the likely risk posed to UEL should it enter into partnership with the institution. They shall oversee the production of an institutional approval report for submission to the Academic Partnerships Oversight Group making a recommendation as to whether institutional approval should be granted.
- 4.14. Academic Partnerships Oversight Group has ultimate responsibility for granting institutional approval.

## **5. Course Approval**

- 5.1. Once institutional approval and initial approval has been granted, a proposal may proceed to course approval. All collaborative courses will be evaluated through a process that will normally include an approval event, usually at the location of delivery, before they are offered to students. The purpose of the approval event is to confirm that:

- 5.1.1. The partner institution is able to provide a suitable learning environment for the delivery of courses of study leading to UEL awards;
  - 5.1.2. Adequate resources are available to meet both the academic and support needs of the students;
  - 5.1.3. The arrangements for collaboration set down in the memorandum of co-operation are appropriate, understood and accepted by all parties.
- 5.2. The following timelines should be adhered to when undertaking course approval:
- 5.2.1. For courses where it is proposed that delivery **will begin in September**, the course approval event should have taken place no later than May;
  - 5.2.2. For courses where it is proposed that **delivery will begin in February**, the course approval event should have taken place no later than October.
  - 5.2.3. Any proposal that sits outside the timelines above 5.2.1 and 5.2.2 cannot be progressed without the approval of both the Head of Quality Assurance Enhancement and the Academic Partnerships Oversight Group.
- 5.3. Where a new course is proposed for an existing partner institution which has undergone a successful collaborative review a decision will be made by UEL's Quality Assurance and Enhancement team as to whether it is necessary for the approval event to take place at the site of delivery. In making this decision the following shall be taken into consideration:
- 5.3.1. The model of collaboration (validated courses will normally require the approval event to take place at the partner institution);
  - 5.3.2. The partner institution's track record in quality assurance (including completion of UEL's annual Collaborative Annual Monitoring process);
  - 5.3.3. Whether the proposed course is in a cognate subject area to those already approved for delivery at the partner institution;
  - 5.3.4. How recently the partner institution has been visited by UEL as part of a course approval event.
- The Head of Quality Assurance and Enhancement is responsible for making the final decision as to the location of the approval event. Where it is agreed that the approval event is not required to take place at the site of delivery alternative arrangements will be made for the validation panel to meet with the course team, this may include the use of video conference facilities.
- 5.4. The approval (validation) panel will be constituted to include a range of expertise enabling it to evaluate institutional issues as well as those that are course-specific. It will be responsible for reviewing:

- Academic infrastructures;
  - Academic and professional achievements and aspirations;
  - Quality of teaching staff;
  - Learning experience of students;
  - Availability and use of resources (including teaching accommodation, computing, laboratory, library and media facilities);
  - Procedures for assuring quality and arrangements for collaboration.
- 5.5. Where a proposal involves new courses with more than one UEL School in the same academic year, a joint event will be considered. Advice will be sought from the Head of Quality Assurance and Enhancement regarding the maximum number of courses to be considered at a single event and in one day.
- 5.6. Where the provision to be approved is offered at multiple locations, the Chair and servicing officer will take advice from the Head of Quality Assurance and Enhancement on the process to be followed. Site visits to all sites will be required prior to the panel approval event, and a report of these visits presented to the approval panel. The approval panel will need to see the CVs of all staff involved in delivery at all locations, and will review the likely consistency of the student experience at different locations as part of its remit.
- 5.7. Where a course that has, or requires, recognition by a professional, statutory or regulatory body, is the subject of the approval, the professional, statutory or regulatory body will be informed of the proposals at the earliest opportunity and the validation panel will set a condition that the course team obtain approval from the professional, statutory or regulatory body to deliver such courses. Where appropriate, depending on the approval requirements of that body, a representative will be invited to attend the panel event.

### **Documentation Requirements**

- 5.8. The following documentation (using standard UEL templates, available at <https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx> and from Quality Assurance and Enhancement) are required for both the planning meeting and the approval event for a collaborative course:
- 5.8.1. Course specification (for a franchised course the most up-to-date version of the course specification is required);
- 5.8.2. Validation document, to include:
- The context of the proposed course: the way in which the proposal meets the objectives of UEL's strategic plan and the School plan; the academic profile of the School and an assessment of the impact of

the proposal on that profile; and any relationship of the proposal to courses run by other Schools within UEL;

- Information about the partner institution, including their previous experience in the subject area, their areas of experience/expertise and the way in which the collaboration with UEL will further their strategic objectives;
  - The rationale for the proposal: to include evidence of the regional demand for the proposal; details of consultation with relevant employers and relevant professional bodies; the relationship of the proposal to similar provision offered elsewhere; the target student group/expected student profile;
  - A curriculum vitae for each member of staff; key management staff and staff teaching on the proposed course(s);
  - Statement of Resources: the physical resources that are available to support the course (e.g. library, computer hardware and software, specialist accommodation, other specialist equipment, course management and administrative resources) and , where applicable, how any blended learning approach is delivered and how distance learning students will access the resources;
  - The academic and administrative staff support infrastructure for distance learning students;
  - For validated courses only, a statement detailing the course team's evaluation of their proposal with regard to the Framework for Higher Education Qualifications, relevant QAA Subject Benchmark Statement(s) (where applicable), the UK Quality Code for Higher Education, and any professional accreditation requirements (i.e. how have they been used in the development of the course).
- 5.8.3. For collaborative distance learning provision, a detailed schedule for completion of all distance or blended leaning materials for the course;
- 5.8.4. A draft student handbook, using the latest UEL template, which at a minimum must include the following information:
- Course structure diagram;
  - Module specifications (using the standard UEL template);
  - Arrangements for the supervision and assessment of any placement element;
  - Local academic and other counselling and support arrangements for students.
- 5.8.5. For approval events that are not taking place at the site of delivery, the approval panel will be provided with a comprehensive report of physical resources available at the partner institution. Additional photographic or video evidence of resources may also be required.



5.9. In addition, the approval panel will be provided with a copy of the following information to assist with their deliberations:

- The UEL Quality Criteria;
- The relevant QAA Subject Benchmark Statement(s);
- An extract from Part 1 of the Manual of General Regulations, providing the full description of the award to which the proposed course will lead;
- A copy of relevant sections of the QAA UK Quality Code for Higher Education (i.e. Partnerships Section);
- Relevant documentation articulating professional body accreditation requirements;
- Any other information relevant to the proposal.

### **Criteria for Validation of Franchise, Joint and Validated Courses**

5.10. The purpose of the approval process for franchise, joint and validated courses is to ensure that the quality of the student experience will be comparable to that offered by UEL for the same or similar course. The approval panel must ensure that:

5.10.1. There are adequate physical resources available to support the course;

5.10.2. There are adequate human resources available to support the course;

5.10.3. The proposed course team has a clear understanding of, and commitment to, the aims and objectives of the course and an implementation plan for delivery;

5.10.4. There are adequate arrangements for student support and pastoral care;

5.10.5. There are adequate course management and administrative arrangements in place to support the course;

5.10.6. There is a clearly defined memorandum of co-operation between UEL and the partner institution.

5.10.7. In the case of franchise courses, the aims and objectives, structure, content and assessment of the course will have already been validated, and thus these will not normally form a line of enquiry during the approval of the franchise arrangement.

5.11. In the case of joint courses, where it is determined that UEL will have ultimate responsibility for the quality of the course, the approval event will also be responsible for the approval of the course. The course will be evaluated against the Quality Criteria to ensure that the academic standard is commensurate with the proposed award and that the quality of the student experience is likely to be appropriate.

5.12. If the partner institution has authority to award its own degrees, the two institutions may decide to take joint responsibility for the quality of the course. In these circumstances a joint validation process may be negotiated provided that the

principles underlying the UEL's quality assurance procedures are observed and the process ensures that the UEL's Quality Criteria for courses are met. A memorandum of co-operation between the two institutions will be required.

- 5.13. Where an approval event incorporates the approval of new courses, they will be evaluated against the Quality Criteria to ensure that the academic standard is commensurate with the proposed award and that the quality of the student experience is likely to be appropriate.

### **Requirements for the Approval of Distance Learning Provision**

- 5.14. An approval event by panel will take place where a partner institution undertakes elements of the following:
- Course and module design;
  - Learning materials design and production;
  - Content delivery and delivery support;
  - Assessment.
- 5.15. The approval event will consider, in addition:
- The schedule of availability and readiness of any print or online learning materials;
  - The system of delivery of the course;
  - Support infrastructure, roles and responsibilities of academic and support staff;
  - Student access to UEL systems, support and guidance services.
- 5.16. The approval panel will make recommendations relating to the timing of the review and updating of the academic content of courses offered by distance learning, given the implications and costs of updating.

### **Panel Composition**

- 5.17. Quality Assurance and Enhancement will assign a Chair to the approval event. The Chair will normally be a member of staff with significant experience in quality assurance, who has undertaken Chair's training and who is independent of the School(s) proposing the course. Any exceptions will be agreed by the Head of Quality Assurance and Enhancement .
- 5.18. Prior to the planning meeting, the course proposer will nominate appropriate external subject advisers to participate, normally by attendance, in the approval event. At least one external adviser is required but this number can be increased, as appropriate, at the discretion of the Head of Quality Assurance and Enhancement. Where approval of collaborative distance learning courses is included, at least one external adviser should have experience of distance learning provision.
- 5.19. The suitability of the external advisers will be determined by the Chair of the approval panel subject to the following criteria:
- 5.19.1. The depth and relevance of subject knowledge;

- 5.19.2. Experience in the management of collaborative activity;
  - 5.19.3. Prior experience of teaching on courses at the same level or above. At least one external panel member must have current experience of working in UK Higher Education;
  - 5.19.4. Impartiality (the nominee should not have any formal links with UEL or the partner institution during the last five years as a former member of staff or student and the last three years as an external examiner);
  - 5.19.5. Professional expertise (for vocational courses, at least one of the advisers should be a 'practitioner' drawn from a relevant business or professional background).
- 5.20. In making judgments about the suitability of the proposed external subject advisers, the Chair will need to take into account the overall balance of expertise presented by the external advisers. The Chair may reject a nominee or require the course proposer to nominate additional external subject advisers in order to ensure a balance of expert advice.
- 5.21. Where more than one course is being considered for approval, the membership of the approval panel will be constituted to ensure that the full range of issues can be adequately appraised.
- 5.22. For the approval of professional doctorate and Doctor of Philosophy PhD courses, a Research Degree Leader from another School will also be invited to attend the approval event.

### **Planning Meeting**

- 5.23. Prior to the approval event, a preliminary planning meeting will take place between the Chair of the panel, a member of Quality Assurance and Enhancement staff (acting as the servicing officer), key members of the partner institution (this normally includes the proposed course leader, the partner institution's Head of Quality and other key stakeholders) and key staff members from the School proposing the collaborative course (this normally includes the Department Head, Collaborative Leader and other key stakeholders). The School Collaborative Leader and a representative from Academic Partnerships shall be invited to attend the meeting, and in the case of professional doctorate and Doctor of Philosophy PhD validations, the School Research Degree Leader also. The purpose of the preliminary planning meeting is to:
- Identify and consider any outstanding issues relating to institutional approval;
  - Identify any outstanding resourcing issues that may need to be resolved before the approval event proceeds;
  - Identify major issues for consideration during the approval event;
  - Consider the adequacy of the documentation;
  - Discuss the course for the approval event;

- Ensure that there is agreement to the financial and commercial terms of the memorandum of co-operation;
  - Discuss the membership of the approval panel.
- 5.24. A course proposal will not proceed to validation until the Chair is satisfied that the documentation is adequate. If the documentation presented at the planning meeting is inadequate, or there are outstanding resourcing issues that need to be resolved prior to validation, the Chair of the panel may convene subsequent planning meetings before the approval event.
- 5.25. A short report providing the outcomes of the planning meeting and the proposed course for the approval event shall be prepared and circulated to panel members and other relevant staff by Quality Assurance and Enhancement.

### **Approval Event**

- 5.26. Quality Assurance and Enhancement will be responsible for convening the approval panel, sending out documentation to panel members and servicing the approval event (including the provision of regulatory advice etc.). In addition, the servicing officer will arrange for overnight accommodation for external members (where applicable), room bookings, catering arrangements and any arrangements for remote access to the panel meeting.
- 5.27. The course proposer is responsible for:
- Providing the agreed documentation by the deadline;
  - Arranging for the attendance of staff at relevant parts of the event;
  - Arranging for the attendance of any agreed external people, such as potential students and potential employers;
  - Ensuring that everyone involved is well briefed about the proposal.
- 5.28. The programme for the approval event will depend on the outcomes of the preliminary planning meeting but would typically include, where appropriate:
- Rationale for the proposal;
  - Aims and objectives of the course;
  - Admissions policy
  - Course content and structure;
  - Teaching and learning;
  - Assessment;
  - Student support and guidance;
  - Administrative arrangements for the registration and assessment of students;
  - Management of the collaborative partnership including the consideration of written agreements (e.g. memorandum of co-operation).
- 5.29. There will normally be a private meeting of the panel at the beginning of the approval event to enable members of the panel to raise issues that they would like to cover during the event and to enable the Chair to plan how and when various

issues will be raised. There will also be a private meeting of the panel at the end of the approval event at which the outcome of the event will be determined.

- 5.30. It is likely that the panel will wish to hold meetings with staff involved in the course (staff from both UEL and the partner institution) and potential students, where applicable. A tour of resources available to support the course is also likely.

### **Outcomes of the Approval Event**

- 5.31. At the end of the approval event the panel will reach a decision about the course. The panel may reject the course, approve the course without conditions, or set conditions of approval. Approval is valid for a period of five years, but if the course has not commenced within three years of the date of approval, re-approval will be required before the course can commence.
- 5.32. Where conditions of approval are set, the deadline for submission of responses to approval conditions shall be determined by the panel. Courses may not be offered until all conditions of validation have been satisfied. The Education and Experience Committee has agreed the following standard conditions for panels:
- **External Examiner Nominations** - that the course proposer should take action to ensure an external examiner is nominated and approved to cover delivery of the approved course(s) (see the Quality Manual Part 9);
  - **Academic Calendar** - that the proposed academic calendar aligns with UEL's calendar of assessment board dates and has been agreed with UEL's Academic Partnerships;
  - **Access to UEL's Online Resources** – the provider work with the School(s) to identify key e-journals and e-books, that are necessary for the students on the course(s) to access, and ensure that they are available either via the provider's own resources or UEL's Library and Learning Services;
  - **Establishment of Partnership Monitoring Committee** for the partnership, comprising representation from all UEL Schools/course teams and partner institution representatives; (for use where more than one School is involved with the partner institution. Where a committee already exists, the requirement will be to update the constitution to incorporate the additional course/School);
  - **Staff Development** –that a programme of staff development to be offered to partner institution staff in the first year of delivery is presented by the School (for use when validating a course with a new partner institution);
  - **Local laws and regulations** – that the partner institution presents verifiable evidence to confirm that government approval to deliver the course(s) has been obtained; (for use when validating a course with a partner institution outside of the UK where applicable);

**and either**

- **Memorandum of Co-operation** - that the final memorandum of co-operation is agreed and signed by the parties; (for use when validating a new partner institution which does not have a pre-existing memorandum of co-operation);

**Or**

- **Course Schedule** – that an updated Course Schedule is agreed and signed by both parties including the addition of any new courses and/or locations of delivery.

Such standard conditions will be set along with any other outstanding matters that course teams need to address prior to commencement of the course(s).

- 5.33. If conditions are imposed, it is the responsibility of the course proposer to ensure that the conditions are satisfied within the time scale specified.
- 5.34. The response to conditions of approval should be submitted to Quality Assurance and Enhancement who will arrange for it to be considered.
- 5.35. The Chair of the event will be responsible for formally determining that the conditions of approval event have been satisfied.
- 5.36. Following the approval event, the Course Proposer, the Dean/Head of School and a representative of the partner institution will receive a draft report for comment to check factual accuracy. The report is also circulated to members of the approval panel for comment. The confirmed report will then be produced and circulated.
- 5.37. The report and course specification will be submitted to Peer Review so that the decision can be endorsed and the course can be offered.
- 5.38. For new partner institutions, or partner institutions where significant new development has taken place, a Partner Enhancement Meeting will take place after one year of operation to ensure that that systems are operating effectively and to address any misunderstandings or concerns developing with the partner institution in the first year. This meeting will be led by a member of the Quality Assurance and Enhancement team and involve key staff from the relevant Schools and the partner institution.

**6. Validation of the Delivery of a Course at an Alternative or Additional Location**

- 6.1. The purpose of the validation process will be to ensure:
  - 6.1.1. That the physical resources/accommodation at the alternative institutional location are satisfactory;
  - 6.1.2. That the arrangements for the pastoral care and support services available to students are satisfactory;

- 6.1.3. That the arrangements for co-operation between all institutions involved, including UEL, are clearly articulated in a memorandum of co-operation.

## 6.2. Due Diligence

- 6.2.1. Quality Assurance and Enhancement will undertake the due diligence process and request the following supporting documentation (as a minimum) from the partner is provided prior to the event taking place:

- List of Resources
- Buildings Insurance
- Employers Liability Insurance
- Health and Safety Policy
- First Aid Policy
- Fire Safety Policy
- Safeguarding Arrangements
- Any additional documentation deemed necessary for Approval as requested by Quality Assurance and Enhancement

- 6.3. The site visit will take place at the proposed site of delivery. The panel will use the information provided prior to the event to feedback comments prior to the visit. The following will be reviewed at the site visit:

- First Aid arrangements
- Fire Safety Arrangements
- Personal and Protective Clothing (where applicable)
- Teaching, Accommodation and Learning Resources
- Access Arrangements
- Security of Assessment Arrangements
- Any additional requirements as deemed necessary by Quality Assurance and Enhancement

- 6.4. **Site Visit Type A** – A site visit type A will be conducted under the following circumstances:

- Approval of delivery of a UEL course by UEL staff at new premises where UEL staff are responsible for all the academic elements of delivery (including admission, teaching and assessment). This type of arrangement is commonly referred to as distributed delivery;
- Approval of a change of premises for delivery of an approved course by a partner institution;
- Approval of new premises for the delivery of an element of an approved course by a partner institution.

- 6.5. The site visit will usually be conducted by a servicing officer appointed by Quality Assurance and Enhancement and a representative of the responsible School. The purpose of the site visit will be to ensure the suitability of the academic environment in which the course will be offered. Approval of any changes in staffing will be the

responsibility of the UEL academic School, in line with the process for approving changes in staffing at partner institutions. A report will be presented to Peer Review. Where required, an external adviser will be invited to join the visiting panel.

6.6. **Site visit type B** – A site visit type B will be conducted under the following circumstances:

- A validation event is being conducted to consider the approval of a course for delivery at multiple locations and it is not logistically possible to visit all locations at the event. In such instances the site visit will be conducted prior to the validation event and a report from the visit will be presented to the validation panel;
- Approval of an additional new premises for the delivery of an approved course by a partner institution, where the new premises will be used for the standalone delivery of the course; approval for the delivery of Doctor of Philosophy (PhD) and/or Master of Philosophy (MPhil) provision by a partner institution.

6.7. The process will require initial approval, followed by a planning meeting and a site visit. Documentation will comprise a validation document, a course specification (where relevant) and a draft student handbook.

6.8. The site visit will usually be conducted by a Chair, external adviser, and servicing officer appointed by Quality Assurance and Enhancement. The number of external panel members can be adjusted, as appropriate, at the discretion of the Chair of the approval panel. Representatives of the responsible School may be required to attend at the discretion of the Chair. The purpose of the site visit will be to ensure the suitability of the academic environment in which the course will be offered, including the staff team, academic resources, pastoral care and support services. A site visit report will be presented to the Peer Review.

## 7. **Approval of Revalidated Franchised Courses**

7.1. Where a partner institution has approval to deliver a franchised course and the School subsequently revalidate the on-campus version of the course it is necessary that the School ensure that the partner institution is capable of delivering the revalidated version of the course. Partner institutions have up to one year from the date of the first delivery of the revalidated on-campus course to implement the new course and if approval is not obtained within this timeframe then recruitment to the franchised course will be placed on hold until this approval has been obtained.

7.2. In order to approve the partner institution to deliver the revalidated course the following documentation should be presented to the School Quality Committee for approval:

- 7.2.1. A statement or report on proposed arrangements to support delivery of the revalidated course, this statement should include:



- Confirmation that existing physical resources (previously approved) adequately support delivery of the new course;
  - Evidence of staff expertise to deliver the new course – staff CVs should be appended to the statement or report;
  - A brief statement relating to the assessment strategy, particularly around the use of formative assessment;
  - Proposals for dealing with ethical approval for dissertation, where relevant;
  - details of assessment board arrangements (linked to the number of intakes) and how they will align to the UEL calendar of assessment boards;
  - Details of transitional arrangements, where relevant;
  - A schedule of staff development to be offered to the partner institution in relation to delivery of the new course.
- 7.2.2. A draft student handbook - to include at a minimum the new module structure, module specifications (clearly listing Module Leaders/Tutors) and the academic calendar;
- 7.2.3. A revised course specification - listing the partner information;
- 7.2.4. For courses delivered in a language other than English, the module specifications presented for approval should be in the language of delivery and include the updated reading list. Evidence of external examiner approval of the updated reading list should also be included.
- 7.3. Should the School Quality Committee approve the partner institution to deliver the revalidated version of the course the following documentation should be presented to Peer Review for consideration:
- 7.3.1. Minutes of the School Quality Committee where the proposal was considered;
- 7.3.2. The revised course specification;
- 7.3.3. External examiner comments regarding reading lists (if applicable).
- 7.4. Approval by Peer Review is confirmation that the partner institution may deliver the revalidated version of the course.

## **8. Repeat Due Diligence**

- 8.1. All collaborative arrangements are subject to a financial review by the Assistant Director of Financial Management or delegated member of staff (a financial review of new collaborative arrangements would normally be undertaken as part of institutional approval, see 4 above). The financial review allocates a risk rating to each partner institution of Low, Low/Medium, Medium/High or High and due diligence checks will be repeated for the ratings as follows:
- Low – further periodic monitoring every three years;

- Low/Medium – further periodic review every two years;
- Medium/High – further periodic review every year;
- High – adequate risk mitigations to be put in place or this could lead to a decision to terminate or not proceed with the proposed collaboration.

Exceptions (extensions) to the above schedule may be considered but only with the advice of Assistant Director of Financial Management.

- 8.2. Where possible, the Financial Management team will undertake an investigation by obtaining information direct from a Credit Reference Agency e.g. Dun and Bradstreet. Quality Assurance and Enhancement will contact partner institutions as necessary to obtain a latest set of audited accounts.
- 8.3. Where a partner institution does not provide their audited accounts to UEL on request they will automatically be rated as a financial high-risk and Quality Assurance and Enhancement will notify Academic Partnerships who will update the risk register accordingly and initiate the Special Measures Process if relevant.

## **9. Special Measures Process**

- 9.1. Where the relationship with a partner institution has been identified as constituting a significant risk, Quality Assurance and Enhancement will inform Academic Partnerships who will update the risk register accordingly and initiate the Special Measures Process if relevant. Academic Partnerships shall keep and update the risk register detailing any actions agreed at the Academic Partnerships Oversight Group and report back with progress made against these conditions.
- 9.2. UEL stakeholders can identify a collaborative partner institution as a risk from the following criteria, including, but not limited to:
- Financial Due Diligence;
  - External Examiner Reports;
  - Collaborative Annual Monitoring Process.
- 9.3. Where a partner institution has been identified as a risk by a stakeholder, Quality Assurance and Enhancement will notify Academic Partnerships. The relevant Academic Partnerships Account Manager will update the risk register accordingly. If this results in the partner institution becoming a high-risk partnership, then the Special Measures Process (see process flow Appendix C) will be initiated.

## **10. Memorandum of Understanding**

- 10.1. A memorandum of understanding notifies a non-committal intention to collaborate, and it will normally be prepared using the standard UEL memorandum of understanding template. Academic Partnerships will work with the relevant parties to obtain information required to draft the memorandum of understanding. For prospective overseas partner institutions a memorandum of understanding will

normally be signed during the early discussions with the prospective partner institution and is particularly useful in setting out the timeframes and proposal for collaboration. Details may vary but can include the particular fields of study and methods of delivery e.g. distance learning, which might be the subject of the collaboration. It is signed by the Vice-Chancellor or a named representative. The formal written agreement, following validation, will be the signed memorandum of co-operation.

## **11. Memorandum of Cooperation**

11.1. All forms of collaboration require a written agreement (usually known as memorandum of co-operation) setting out the responsibilities of each contributing institution. Normally, a single memorandum of co-operation exists for one partner institution, covering a number of courses, although there may be circumstances where different written agreements between the same partner institution are required to reflect the provision.

11.2. The purpose of the memorandum of co-operation is to:

11.2.1. Define the means by which the quality of the student experience will be assured, and the academic standards of the course maintained;

11.2.2. Ensure that collaborative arrangements are clearly set out and operate smoothly, and that clear channels of authority, accountability and executive action are identified.

11.3. The memorandum of co-operation will normally address the following issues:

- The names of the institutions or bodies which are parties to the agreed memorandum;
- The allocation of responsibility for the oversight and maintenance of academic standards and the quality of learning opportunities, and procedures for resolving any differences which might arise in respect of the course between the institutions;
- Procedures and responsibilities for the initial validation, approval and subsequent periodic review of the course, including provision for the implementation of changes to the course required by validation, periodic review and annual monitoring in the partner institution;
- Procedures and responsibilities in respect of course management and monitoring. If these are to be divided between institutions, the arrangements will need to be specified;
- Learning, teaching, assessment and examination arrangements, and the responsibilities of parties involved;
- Recruitment, selection and admissions;
- Selection, appointment and development of staff;
- Provision of an appropriate learning environment including all necessary physical resources;
- Provision for student support and guidance;
- Responsibilities in respect of all administrative arrangements, such as student registration, notification of decisions relating to student

progression and assessment and the nomination, appointment and remuneration of external examiners;

- Provision for student appeals and complaints;
- Arrangements for marketing and publicity;
- Confidentiality, indemnity and liability;
- Details of the financial and payment arrangements;
- Duration and termination of the memorandum of co-operation.

- 11.4. Academic Partnerships will draft the memorandum of co-operation in close association with all relevant parties. The financial details of the collaborations will be developed by the Assistant Director of Financial Management in negotiation with the Academic Partnerships and Dean/Head of School.
- 11.5. The Head of Academic Partnerships (or nominee) in liaison with the UEL School, will introduce the financial details to the partner institution, and lead on the discussions on the financial terms of the agreement. The proposed final version should be circulated to Quality Assurance and Enhancement and Legal and Governance to confirm. There must be written agreement between all parties on at least the financial and commercial terms within the memorandum of co-operation prior to any course approval event and, following course approval, the memorandum of co-operation must be signed before delivery of the course(s) may commence.
- 11.6. Once the memorandum of co-operation has been finalised and the course approval event has been undertaken, Academic Partnerships will arrange for signatures by all contributing parties. The memorandum of co-operation will normally be signed by the Deputy Vice-Chancellor (Careers and Enterprise) on behalf of UEL.
- 11.7. Memoranda of Co-operation are reviewed a minimum of every five years by Academic Partnerships, in line with UEL's Collaborative Framework. Course Schedules may be reviewed more frequently i.e. every year.
- 11.8. The Dean/Head of School has executive authority for the effective delivery of collaborative arrangements within the School. They must ensure that monitoring and quality assurance arrangements are operating effectively.

## **12. Language of Instruction**

- 12.1. In normal circumstances the language of instruction for a UEL award shall be English. Exceptionally, and only where there is good reason, an award offered in collaboration with another institution may be taught and assessed in a language other than English.
- 12.2. In these circumstances, both teaching and assessment must take place in the same language.
- 12.3. The course approval panel will review the proposal to teach and assess in a language other than English. The panel should include a minimum of one external fluent in the proposed language of delivery and assessment. The course approval panel will consider the following:

- How individuals with the necessary expertise in the appropriate language, subject knowledge and assessment methods will be identified and employed;
- How suitable external examiners fluent in both English and the relevant language, will be identified and involved in the assessment process;
- How communication between the UEL and overseas course team and academic staff will be facilitated;
- How the quality and accuracy of student materials – e.g., assessment or teaching materials, policies and regulations - translated into the native language will be assured; and how updated versions of such will be made available;
- How material required for UEL quality assurance and enhancement processes (e.g. CAM reports, course committee minutes, external examiner reports) will be made available to both local staff and students and UEL authorities and committees;
- If translation is used, how the reliability and validity of the assessment judgments arising from the marking of translated assessments will be assured;
- If translation is used, an assurance that students at the partner institution will not be used as translators of examination scripts or coursework.

12.4. For the guidance of course teams developing provision and for validation panels, the additional detail of the arrangements that will apply is set out in the ‘code of practice for the validation and delivery of taught courses in a language other than English’.

### **13. Modifications to Collaborative Courses**

13.1. The School Quality Committee is responsible for approving modifications to collaborative courses involving change to 25% or less of the course, using the procedures set out in Part 6 ‘Course Modifications’ of this Quality Manual.

13.2. Arrangements for the process of modifications that constitute more than 25% of a collaborative course will be considered on a case-by-case basis.

### **14. Withdrawal of Franchised Courses On-Campus**

14.1. There may be occasions where Schools have established relationships with partner institutions for the delivery of franchised courses but wish to withdraw the on-campus version of the course. Such scenarios can result in the following issues:

- 14.1.1. The in-country regulatory requirements of the provider may not allow for the partner institution to deliver a franchised course that is not delivered at the home institution;
- 14.1.2. Over a period of time the course content may become outdated;

- 14.1.3. Course content would not automatically be considered under the remit of collaborative review but would also not be considered as part of the Departmental academic review.
- 14.2. Where the on-campus version of the course is being revalidated it would be appropriate for the School to liaise with the partner institution to consider whether they might adopt the revised version of the course.
- 14.3. When completing the course withdrawal form, the School will be required to comment on the implications that the withdrawal of the on-campus version of the course will have on each partner institution, including any in-country regulatory requirements. The School should contact Quality Assurance and Enhancement for guidance if they are unsure how to complete this section of the form.
- 14.4. When withdrawing on-campus versions of franchised courses Schools must make one of the following proposals for how to proceed with each franchised version of the course delivered by a partner institution:
  - 14.4.1. The partner institution will take over responsibility for ensuring currency of course content and the course will be redefined as validated on the collaborative register;
  - 14.4.2. The course will be withdrawn at the partner institution.
- 14.5. Where the School wishes to transfer responsibility for the course content to the partner institution it must, through the School Quality Committee, assure itself of the suitability of the course team at the partner institution to maintain the currency of the course. In order to approve the course team at the partner institution to undertake this role the School Quality Committee should receive the following:
  - 14.5.1. The CVs of the course team at the partner institution;
  - 14.5.2. Written confirmation from the partner institution that they have agreed to the proposed change to the course status;
  - 14.5.3. A statement from the UEL Department Head confirming the suitability of the course team at the partner institution to undertake this role.
- 14.6. Following confirmation of the suitability of the course leader at the partner institution, Quality Assurance and Enhancement will update the collaborative register to redefine the course delivered by the partner institution as validated.

## **15. Partnership Monitoring Committees**

- 15.1. A Partnership Monitoring Committee will be established where a partnership involves more than one UEL School. The purpose of the committee is to ensure a consistent approach to the academic and administrative support and management of the partnership and establish communication mechanisms across all parties and levels of the partnership. The role of the committee will include discussion of a common approach to partnership management activities, agreed approaches to assessment and moderation, the monitoring of external examiner reports and

CAM action plans, marketing materials, the application of policy updates, and a course of staff development.

## **16. Termination of Collaborative Partnerships**

16.1. In the event that either party wishes to terminate the collaborative partnership the following steps will be undertaken:

16.1.1. **Step 1:** Where a decision is made to terminate a collaborative partnership, or a communication is received from a partner institution advising of their intention to terminate the partnership, the Quality Manager (Collaborations) should be advised of this as soon as possible. Academic Partnerships will liaise with Governance and Legal to ensure that the memorandum of co-operation is formally and correctly terminated.

16.1.2. **Step 2:** The Quality Manager (Collaborations) or nominee will arrange a Termination Meeting with key stakeholders from the managing School(s) to discuss arrangements for the termination. The minutes of the Termination Meeting will record the exit strategy for the phasing out of the collaborative course(s). The exit strategy will be submitted to the Education and Experience Committee for monitoring.

16.1.3. **Step 3:** Academic Partnerships will coordinate a communication to be sent to existing students studying on UEL course(s) at the partner institution informing them of the termination of the collaborative partnership.

16.1.4. **Step 4:** Academic Partnership Oversight Group and the Education and Experience Committee will continue to receive updates on the numbers of students remaining on course(s) at the partner institution. When all students at the partner institution have completed or run out of opportunities to complete their course of study it will be noted at Academic Partnerships Oversight Group and the School Quality Committee and the partner institution will be removed from the Collaborative Database.

16.2. Arrangements for withdrawal or suspension of courses offered in collaboration are as detailed in Part 6 'Course Modifications' of this Quality Manual.

## **17. Collaborative Review**

17.1. Collaborative Review of the partnership and the courses offered by the partner institution is undertaken every five years. However, in exceptional circumstances Education & Experience Committee may request a review of collaborative arrangements at an earlier date (exceptional review) should evidence come to light that quality and/or standards may be at risk in a collaborative arrangement or should a review panel indicate that they believe a follow up review is necessary. The review normally takes place at the location of delivery of courses. Collaborative review meetings may take place remotely under exceptional circumstances.

- 17.2. Where a partner institution is in termination and is due to undergo a collaborative review in the final year of operation of the course, the review will normally be brought forward by one year. This will allow the panel to make conditions and recommendations in relation to the teaching out of the courses and the management of student experience through the period of transition.
- 17.3. The purpose of the collaborative review is to:
- Undertake an academic review of the courses offered by the partner institution (franchised courses are subject to academic review at UEL and therefore course content would not be reviewed as part of the collaborative review process);
  - Provide an opportunity to review the nature of the collaborative relationship, and resolve any problems that might exist;
  - Review the academic and administrative infrastructure of the partner institution to ensure that it continues to be able to offer a suitable learning environment for students;
  - Review student achievement to ensure that the quality of student experience continues to be adequate;
  - Encourage the further development of the partner institution's own quality assurance procedures.
- 17.4. The scope of the collaborative review will to some extent be determined by the nature of the collaboration; for franchise courses the focus will be on achievement of academic standards and delivery of the approved course, the quality of the student experience and activities to assure and enhance standards and quality; for validated courses a review of the course specification and course content will be included.
- 17.5. During the year prior to the collaborative review event, an informal preparatory meeting with the partner institution, academic link tutors and other key stakeholders from the School, Academic Partnerships and the partner institution will take place. Discussion will be led by Quality Assurance and Enhancement and include the purposes of the review, requirements of the partner institution and Schools in the review, and identification of issues that may impact on the review.
- 17.6. As part of the event planning, a planning meeting will take place between the Chair of the review, a member of Quality Assurance and Enhancement (acting as the servicing officer), the academic link tutors and administrative link persons at UEL and the partner institution. The School Collaborative Leader will be invited to attend the meeting.

### **Panel Composition**

- 17.7. The size of a Collaborative Review Panel will depend on the size of the partner and breadth of courses offered.



- 17.8. A member of staff with significant experience in quality assurance, and who is independent of the collaborative partner and school under review is appointed as Chair of the panel.
- 17.9. A current UEL student or an officer from the Students Union will normally form part of the panel.
- 17.10. Early in the process, the Dean/Head of School (or designated coordinator) nominates appropriate external subject advisers to take part in the review. The external subject advisers must be from different institutions. The suitability of the external nominees is determined by the Chair of the event. The following criteria are taken into account:
- 17.10.1. The depth of subject knowledge;
  - 17.10.2. The relevance of subject knowledge;
  - 17.10.3. Prior experience of teaching on courses at the same level or above;
  - 17.10.4. Impartiality (the nominee should not have any formal links with UEL during the last five years as a former member of staff or the last three years as an external examiner);
  - 17.10.5. Professional Expertise;
  - 17.10.6. Prior experience as a QAA reviewer or Audit with collaborative arrangements
- 17.11. It is unlikely that any single nominee will meet all the requirements. In making judgments about the suitability of the proposed external subject advisers the Chair takes into account the overall balance of expertise presented by the external advisers. The Chair may reject a nominee or require the Dean/Head of School (or designated coordinator) to propose additional external subject advisers in order to ensure the balance of the panel.
- 17.12. It is the responsibility of the collaborating institution to confirm that they are satisfied that there are no conflicts of interest with regards external subject advisors.

### **Documentation**

- 17.13. The self-evaluation document is the key document for the collaborative review process and will be the basis for the panel's enquiries. This document should be produced jointly by the relevant School(s) and the partner institution. The self-evaluation document is essentially a self-study by both parties of the means used to assure quality and standards in that collaborative link, and the effectiveness of those means. It describes and reviews organisational changes since institutional approval and evaluates the operation of the course(s) since the last approval/review and identifies the future direction of the partnership. The self-evaluation document should:

- Describe the collaborative link including a summary and explanation of the development of the link over the period under review;
- Analyse the strengths and weaknesses of the link;
- Summarise any issues raised about the quality and operation of the link during the period being reviewed and how these have been addressed;
- Provide a view of the effectiveness of the means by which the UEL Schools assure themselves of the quality of the learning opportunities and student support offered through the link;
- Provide a view of the effectiveness of the means by which the UEL Schools assure themselves of the standards of credits and/or awards gained through the link;
- Identify any other issues which the course team's own evaluation of the link has raised and how these are to be addressed;
- Address any external developments which have affected, or will affect, the link;
- Provide an index of the evidence that it cites and that will be available to the review team.

17.14. The supporting documentation listed below must be made available to the panel during the review:

- Student handbook(s);
- Course specification;
- Report from the previous validation/review event;
- Collaborative Annual Monitoring Process reports and action plans for the three previous years;
- External examiner's reports for the three previous years;
- Report on the observation of learning and teaching;
- A staff development statement (covering both subject development and pedagogical development);
- Reports by professional bodies (where appropriate);
- Student intake and progression data covering the last three intakes;
- A description of student support/welfare services, plus any recent analysis of student use, subject to normal constraints of confidentiality in respect of counselling and similar activities;
- Examples of students' work to reflect the range of levels and attainment – including examination papers/scripts, coursework, project/lab reports scripts, project reports and dissertation;
- Marking and feedback sheets and assessment criteria;
- Relevant extracts from the memorandum of co-operation;
- Any other documentation referenced in the self-evaluation document.

### **Programme for the Collaborative Review**

17.15. The collaborative review process is normally conducted over a period of one to two days, depending on the scale of the provision that is to be considered as part of the review.

- 17.16. The programme for the review is agreed during the preliminary planning meeting and includes a meeting with students, a tour of the physical resources available to support the link and meetings with staff from both UEL and the partner institution to discuss the various aspects of the link.
- 17.17. The meeting with students should include existing students and where possible, former students.
- 17.18. Where the course is delivered by distance learning, or in exceptional circumstances, student feedback can be gathered via a confidential and anonymous online survey. This method of collecting feedback must be approved by the Head of Quality Assurance and Enhancement.

### **Outcomes of the Collaborative Review**

- 17.19. A review panel may either:
- 17.19.1. Approve the continuing collaborative delivery of the course(s) without conditions;
  - 17.19.2. Approve the continuing collaborative delivery of the course(s) with conditions and/or recommendations;
  - 17.19.3. Withhold approval.
- 17.20. A review panel may decide that they would like to approve the continuing collaborative delivery of the course(s) but have significant concerns which they do not feel can be entirely resolved through the setting of conditions. In such instances the review team may decide to approve the continuing delivery of the course(s) for a shorter period of time (usually one year). Following such an outcome a further review will be arranged within the stipulated timeframe.
- 17.21. Following the review, a report will be produced which will be submitted to the Education and Experience Committee, so that the decision of the review panel can be endorsed. Partner institutions will then work with Schools to prepare an action plan based on the outcomes of the review process. The status of the action plan is monitored until completion by the relevant School Quality Committee.
- 17.22. Following consideration of the collaborative review report the Quality Manager (Collaborations) will write to the partner institution, copied to the School, confirming the outcome of the collaborative review and to confirm the period for which the courses will be reapproved (normally five years).

## **18. Financial Arrangements**

- 18.1. The Assistant Director of Financial Management and the relevant Dean/Head of School shall be responsible for ensuring that the financial arrangements are appropriate. Prospective partner institutions will normally bear all costs incurred for course approval and collaborative review events. This includes travel costs, accommodation costs and external adviser honorariums.

- 18.2. The financial agreement made with the partner institution will provide safeguards against financial temptations on the part of the partner institution to compromise academic standards, or to register more students than can properly be accommodated.
- 18.3. Any fees paid by the partner institution must be sufficient to cover the full costs of assuring the quality and the standards of the course(s).

## **19. Certification**

- 19.1. Certification and/or records of achievement for all UEL courses delivered under a collaborative arrangement shall make clear the place of registration and the language of instruction where this is not English.
- 19.2. In all circumstances where a partner institution is active in the delivery of a UEL award, certification and/or records of achievement will make reference to all active partner institutions.
- 19.3. If the record of achievement is the only document to provide details of the partner institution, the place of registration and/or the language of instruction and assessment, then the award certificate must make reference to the existence of the record of achievement.

**Manuals, Forms and Guidance notes relevant to Part 11**

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx>

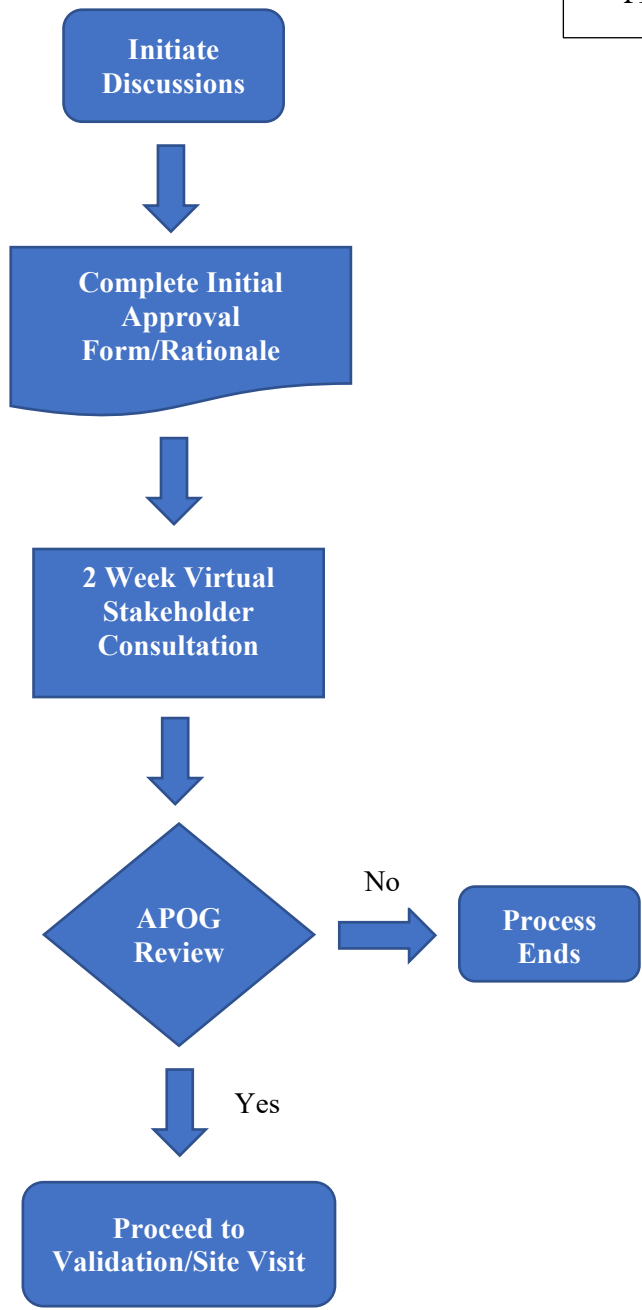
- Code of Practice for delivery in languages other than English
- Collaborative Initial Approval Form
- Collaborative Self Evaluation Document (SED) Guidance and Template
- Collaborative Student Handbook
- Collaborative Validation Document
- Course Withdrawal Form
- Guidance Notes on Course Specification
- Module Specification Template
- Nomination of an External Adviser for a validation/review event
- Partnership Monitoring Committee Terms of Reference and outline agenda
- Professional Doctorate Course Specification Template
- Site Visit Site Visit Report Form
- Undergraduate/Postgraduate Course Specification Template

**New Partnerships  
Approval Process**

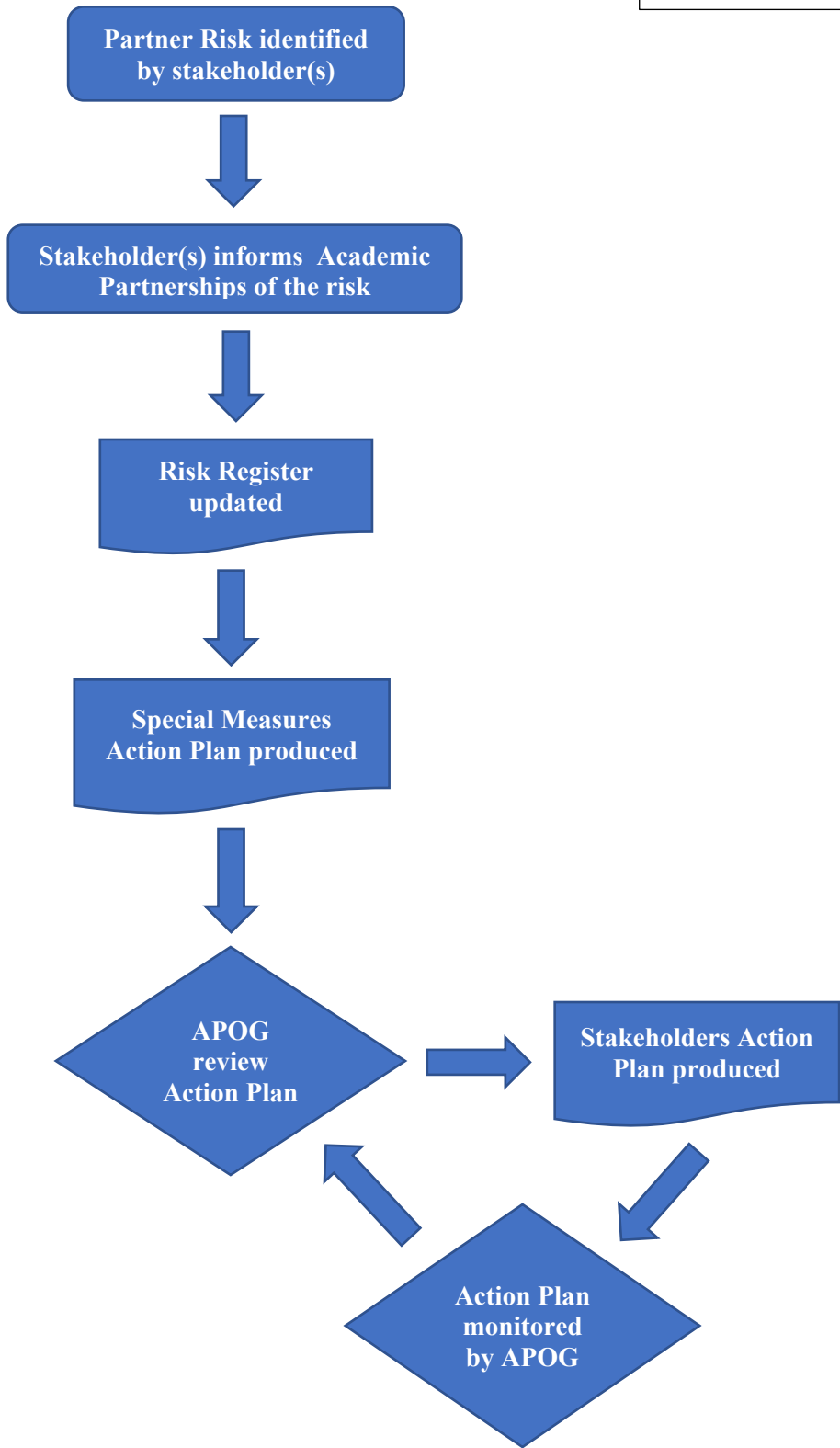


**Appendix B**

**Existing Partnerships  
Approval Process**



**Special Measures  
Process**





## **Part 12**

# **Admission with Advanced Standing or Progression Arrangements with Partner Institutions**

### **1 Introduction**

- 1.1 This part of the manual details the quality procedures for entry with advanced standing (articulation) and progression relationships.
- 1.2 In the context of this section of the manual, the term 'institution' is used to describe any educational establishment (e.g. college of further education, college of higher education, university), or public or private agency providing education.

### **2 Articulation Agreement**

- 2.1 An arrangement whereby the University guarantees students consideration for admission (but not guaranteed entry) onto a UEL award with advanced standing, after successful completion of an award at another institution. This arrangement recognises credit awarded by the partner institution as contributing towards a University of East London award.
- 2.2 In these circumstances UEL is not responsible for the quality of a course offered by a partner because it does not lead to a UEL award. Nevertheless, UEL is responsible for:
  - 2.2.1 ensuring that the academic achievements of students completing these courses are appropriate for entry to specified University courses;
  - 2.2.2 ensuring that students taking these courses are not misled in any way about the character of the courses, or their prospects for future admission to a UEL course, by virtue of inappropriate information distributed by the collaborating institution;
  - 2.2.3 maintaining regular communications with the collaborating institution to encourage the success of the partnership.

### **3 Articulation Approval Form**

- 3.1 The Articulation Approval Form is designed to ensure that each proposal is considered on the basis of the risk that it poses to UEL. Each proposal will consider the following risks:
- 3.1.1 Location of the collaborating institution: Institutions located within the UK are identified as Low Risk and institutions located within the EU or International are identified as high risk;
  - 3.1.2 Publicly or privately funded: Proposals for articulations from institutions that are publicly funded are identified as low risk and institutions that are privately funded are identified as high risk;
  - 3.1.3 Status of awarding body: Proposals for articulations from recognised UK awarding bodies (e.g. Pearson) are identified as low risk and proposals for articulations from non-recognised UK awarding bodies are identified as high risk
- 3.2 Depending upon the combination of the above criteria, an institution will be required to complete a low or high-risk mapping of the proposed courses

3.2.1 Low-risk mapping to be completed in the following risk analysis outcomes

A	Low Risk		A	High Risk		A	Low Risk		A	Low Risk		A	High Risk
B	Low Risk		B	High Risk		B	Low Risk		B	High Risk		B	Low Risk
C	Low Risk		C	Low Risk		C	High Risk		C	Low Risk		C	Low Risk
<b>LOW</b>			<b>LOW</b>			<b>LOW</b>			<b>LOW</b>			<b>LOW</b>	

3.2.2 High-risk mapping to be completed in the following risk analysis outcomes

A	High Risk		A	High Risk		A	Low Risk
B	High Risk		B	Low Risk		B	High Risk
C	High Risk		C	High Risk		C	High Risk
<b>HIGH</b>			<b>HIGH</b>			<b>HIGH</b>	

- 3.3 The Proposer will ensure that the necessary Appendices have been completed by a member of staff suitably qualified to make judgements as to the equivalent levels of the courses.
- 3.4 When undertaking Low Risk Mapping, Schools are required to indicate which modules potential applicants to the specified UEL course would be exempt from undertaking and the equivalent modules at the partner institution which map against the exempted modules on the UEL course. The completed form should indicate the equivalent credit of the modules at the partner institution in the Framework for Higher Education Qualifications (<https://www.qaa.ac.uk/docs/qaa/quality-code/qualifications-frameworks.pdf>). A new Low Risk Mapping table should be completed for each pair of courses being mapped.

- 3.5 When undertaking High Risk Mapping, Schools are required to complete a table for each module on the UEL course to be exempted indicating how either the Learning Outcomes or Content of the module are met by the modules at the partner institution. It is likely that no one module at the partner institution will map directly against the UEL module, if this is the case the School should clearly indicate all of the modules at the partner institution that have been considered for the purposes of mapping the Learning Outcomes or Content.

#### **4 Articulation Approval Process**

- 4.1 Each new articulation arrangement will have a Proposer. The Proposer is responsible for liaising with relevant stakeholders (including Academic Partnerships, Student Recruitment and Marketing, International Student Recruitment and the School) and coordinating the completion of the Articulation Approval Form.
- 4.2 The completed Articulation Approval Form would be submitted to QAE in the first instance. QAE will review to ensure all sections are fully completed prior to the start of the approval process (Appendix A).
- 4.3 The completed Articulation Approval Form, including mapping, is considered by the School Quality Committee (SQC) in the first instance. The SQC will consider the mapping to ensure there is appropriate evidence that the relevant Learning Outcomes/Content of the UEL course is covered by the partner institution course with the necessary credit at the relevant level.
- 4.3.1 For courses with professional, statutory and regulatory body (PSRB) requirements, revisions to the course specification clarifying the status of the PSRB accreditation in relation to students joining the course via an advanced standing arrangement should be included in the submission to SQC.
- 4.4 An officer from QAE and member of staff from another School (normally a School Leader for Quality Assurance, but may be a Deputy Quality Leader, Head of School) must be present at the meeting.
- 4.5 The SQC will either unconditionally approve the proposal or reject the proposal with feedback. The SQC may not impose conditions of approval, with the exception of a condition relating to the signing of the Memorandum of Co-operation.
- 4.6 Following approval from the SQC, Quality Assurance and Enhancement (QAE) will circulate the Articulation Approval Form to Admissions who will consider the suitability of the proposal for entry with advanced standing and ensure that systems can be set up to support the enrolment of articulating students. Upon completion of consultation with Admissions, QAE will ensure that the Articulation Approval Form is submitted to APOG for consideration.

- 4.7 APOG will review the Articulation Approval Form, including feedback from Admissions, and confirm the outcome of the proposal. A proposal can be Approved to move forward or Rejected:
- 4.7.1 APOG Approval: the Proposer and Academic Partnerships are informed of the outcome and the Articulation Agreement can be produced;
- 4.7.2 APOG Rejection: the Proposer and Academic Partnerships are informed of the outcome and of any actions required before the proposal can be reconsidered.

## 5 Articulation Agreement

All articulation collaborative partnerships require a written Articulation Agreement outlining the agreement and responsibilities between the two institutions. Academic Partnerships will draft the Articulation Agreement in association with the relevant parties following receipt of APOG minutes confirming approval of the proposal.

- 5.1 The purpose of the Articulation Agreement is to:
- define the means by which the integrity of the collaborative arrangement shall be assured;
  - ensure that the collaborative arrangements are clearly set out and operate smoothly, and that clear channels of authority, accountability and executive action are identified;
  - detail the requirements for entry onto the UEL course(s) under the agreement.
- 5.2 The Articulation Agreement will, as appropriate to the nature of the arrangement and standing of the partner, include details of the way in which the arrangement will be managed and students admitted to UEL courses, proposed arrangements for monitoring, and arrangements governing information and publicity.
- 5.2 Once the advanced standing arrangement has been validated and the Articulation Agreement finalised, Academic Partnerships will arrange for signature by all contributing parties. The Agreement will be signed by the Vice-Chancellor, Pro-Vice Chancellor (Careers and Enterprise) or Provost on behalf of UEL. **There are no other authorised signatories.**
- 5.3 Articulation Agreements will have a duration of four (4) years following approval of the articulation mapping. The Articulation Agreement will outline the responsibility of each institution to inform the other of any changes to their course at which point it will be necessary for the School to undertake a further mapping exercise. If further courses are to be added to the Articulation Agreement at a later date, the duration of the agreement will not change from the date of the original agreement.

- 5.4 Deans/Heads of School have executive authority for the effective delivery of collaborative arrangements and for ensuring that the terms of the Articulation Agreement are observed.

## **6 Financial Arrangements**

- 6.1 The Dean/Head of School or his/her nominee and the Head of Academic Partnerships or his/her nominee are responsible for liaising with the Assistant Director of Financial Management concerning any financial arrangements.
- 6.2 Any financial agreement made with the collaborating institution shall provide safeguards against financial temptations to compromise academic standards; or to register more students than can properly be accommodated by the partner institution.

## **7 Renewal of Articulation Arrangements**

- 7.1 Six months prior to the expiry of the Articulation Agreement, QAE will contact the Dean/Head of School or his/her nominee to request a decision on whether the arrangement is to be renewed.
- 7.2 Should the arrangement not be renewed then no action will be required, and the articulation arrangement will come to an end on the expiration of the Articulation Agreement. Where the arrangement is to be renewed, an Articulation Approval Form should be completed and submitted to QAE in the first instance. This form will be considered via the Articulation Approval Process (section 4).
- 7.3 If there have been no changes to either the UEL or partner institution courses, then no further mapping is required. However, where there are changes to either the UEL or partner institution courses, a revised mapping exercise should be undertaken.
- 7.4 Following confirmation of reapproval, Academic Partnerships will draft a revised Articulation Agreement in association with the relevant parties. Academic Partnerships will arrange for signature by all contributing parties. The Articulation Agreement may be signed by the Vice-Chancellor, Pro Vice-Chancellor (Careers and Enterprise) or Provost on behalf of UEL. **There are no other authorised signatories.**

## **8 Progression Agreement**

- 8.1 An arrangement whereby the University guarantees students consideration for admission (but not guaranteed entry) after successful completion of an award at another institution. This arrangement does not recognise credit as contributing towards a University of East London award.
- 8.2 In these circumstances, UEL is not responsible for the quality of the course offered within a Progression arrangement as it does not contribute towards an award from the University of East London. Nevertheless, UEL is responsible for:

- 8.2.1 ensuring that the academic achievements of students completing these courses are appropriate for entry to specified UEL courses;
- 8.2.2 ensuring that students are not misled in any way about the character of the specified UEL courses, or guaranteed consideration, but not guaranteed entry to a UEL courses, by virtue of inappropriate information distributed by the collaborating institution;
- 8.2.3 maintaining regular communications with the collaborating institution to encourage the success of the partnership.

## **9 Progression Approval Form**

- 9.1 The Progression Approval Form is designed to ensure that each proposal is considered on the basis of the suitability of the specified course(s) delivered by the collaborating institution for admission to a specified UEL course.
- 9.2 Consideration of a proposed Progression arrangement will include:
  - 9.2.1 the academic credibility of the proposed courses at the collaborating institution;
  - 9.2.2 the appropriateness of the collaborating institution as a partner for UEL;
  - 9.2.3 the strategy for promoting and developing the partnership between the collaborating institution and UEL
  - 9.2.4 identification of potential risks and the management and mitigation thereof.

## **10 Progression Approval Process**

- 10.1 Each new progression arrangement will have a Proposer. The Proposer is responsible for liaising with relevant stakeholders (including Academic Partnerships, Student Recruitment and Marketing, International Student Recruitment and the School) and coordinating the completion of the Progression Approval Form.
- 10.2 The completed Progression Approval Form would be submitted to QAE in the first instance. QAE will review to ensure all sections are fully completed prior to the start of the approval process (Appendix B).
- 10.3 QAE will circulate the Progression Approval Form to stakeholders for a seven (7) day consultation period. Upon completion of the seven (7) day consultation period, QAE will ensure that the Articulation Approval Form is submitted to APOG for consideration.
- 10.4 APOG will review the Progression Approval Form, including stakeholder comments, and confirm the outcome of the proposal. A proposal can be Approved to move forward or Rejected:

10.4.1 APOG Approval: the Proposer and Academic Partnerships are informed of the outcome and the Progression Agreement can be produced;

10.4.2 APOG Rejection: the Proposer and Academic Partnerships are informed of the outcome and of any actions required before the proposal can be reconsidered.

## 11 Progression Agreement

11.1 All collaborative partnerships require a written Progression Agreement outlining the agreement and responsibilities between the two institutions. Academic Partnerships will draft the Progression Agreement in association with the relevant parties following confirmation of Approval to proceed from the APOG.

11.2 The purpose of the Progression Agreement is to:

- define the means by which the integrity of the collaborative arrangement shall be assured;
- ensure that the collaborative arrangements are clearly set out and operate smoothly, and that clear channels of authority, accountability and executive action are identified;
- detail the requirements for entry onto the UEL course(s) under the agreement.

11.3 The Progression Agreement will, as appropriate to the nature of the arrangement and standing of the partner, include details of the way in which the arrangement will be managed and students admitted to UEL courses, proposed arrangements for monitoring, and arrangements governing information and publicity.

11.4 Once the Progression Agreement has been finalised, Academic Partnerships will arrange for signature by all contributing parties. The Agreement may be signed by the Vice-Chancellor, Pro-Vice Chancellor (Careers and Enterprise) or Provost on behalf of UEL. **There are no other authorised signatories.**

11.5 Progression Agreements will have a duration of four (4) years following approval. The Progression Agreement will outline the responsibility of each institution to inform the other of any changes to their course at which point it will be necessary for the School to undertake a review of appropriateness for students to progress onto a UEL course. If further courses are to be added to the Progression Agreement at a later date, the duration of the agreement will not change from the date of the original agreement.

11.6 Deans/Heads of School have executive authority for the effective delivery of collaborative arrangements and for ensuring that the terms of the Progression Agreement are observed.

## **12 Financial Arrangements**

- 12.1 The Dean/Head of School or his/her nominee and the Head of Academic Partnerships or his/her nominee are responsible for liaising with the Assistant Director of Financial Management concerning any financial arrangements.
- 12.2 Any financial agreement made with the collaborating institution shall provide safeguards against financial temptations to compromise academic standards; or to register more students than can properly be accommodated by the partner institution.

## **13 Renewal of Progression Arrangements**

- 13.1 Six months prior to the expiry of the Agreement, QAE will contact the Dean/Head of School or his/her nominee to request a decision on whether the arrangement is to be renewed.
- 13.2 Should the arrangement not be renewed then no action will be required, and the progression arrangement will come to an end on the expiration of the Progression Agreement. Where the arrangement is to be renewed, the Progression Approval Form should be completed and submitted to QAE in the first instance. This form will be considered via the Progression Approval Process (section 10).
- 13.3 Following confirmation of reapproval, Academic Partnerships will draft a revised Progression Agreement in association with the relevant parties. Academic Partnerships will arrange for signature by all contributing parties. The Progression Agreement will be signed by the Vice-Chancellor, Pro Vice-Chancellor (Careers and Enterprise) or Provost on behalf of UEL. **There are no other authorised signatories.**

## **14 Termination of Articulation and Progression Agreements**

- 14.1 Proposals for termination of an Articulation or Progression Agreement, ahead of the expiry of its four (4) year term, will be considered by the APOG. Schools should complete the Articulation/Progression Termination Form stating the final date at which students at the partner institution will be granted entry to the UEL course(s) via the Articulation or Progression Agreement. The completed Articulation/Progression Termination Form would be submitted to Academic Partnerships who will ensure that it is considered by APOG.
- 14.2 Upon confirmation of approval from APOG, Academic Partnerships will draft a termination letter notifying the partner institution of UEL's intention to terminate the agreement. The termination letter may be signed by the Vice-Chancellor, Pro-Vice Chancellor (Careers and Enterprise) or Provost on behalf of UEL. **There are no other authorised signatories.**

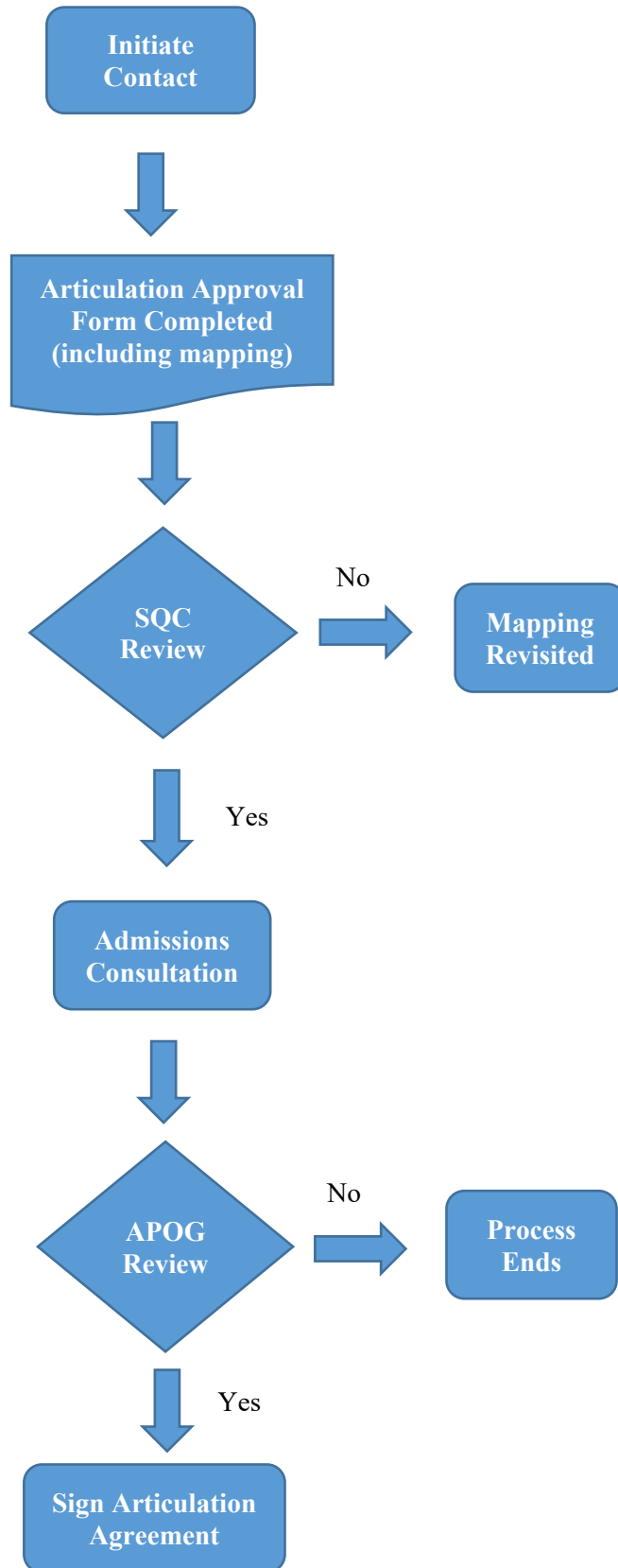
### ***Manuals, Forms and Guidance notes relevant to Part 12 -***

<https://uelac.sharepoint.com/sites/QualityAssuranceandEnhancement/SitePages/Forms-and-Guidance.aspx#articulation-and-progression-agreement-proposals>



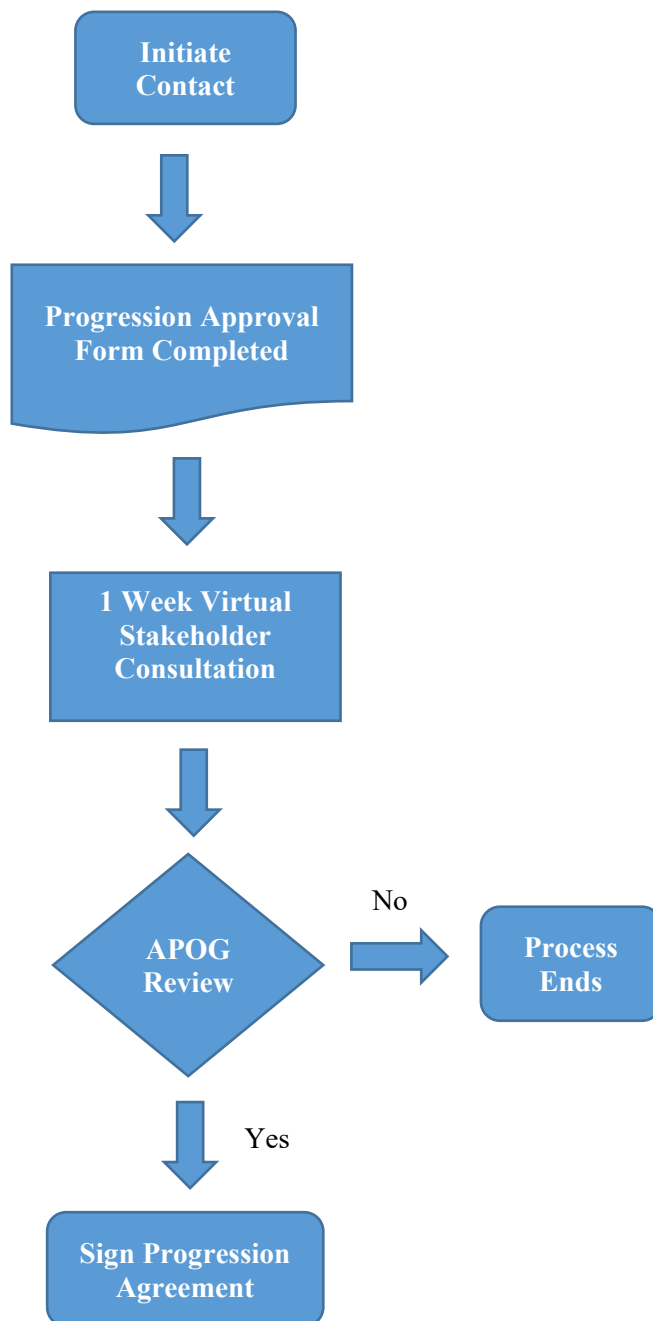
- Articulation Approval Form
- Progression Approval Form
- School Minutes Template
- Articulation/Progression Termination Form

**Articulation Approval  
Process**



**APPENDIX B**

**Progression Approval  
Process**





## **Part 13**

# **Annual Audit of Delegated Responsibilities and Policies**

### **1 Introduction**

- 1.1 Each year, the Education and Experience Committee undertakes an audit process to evaluate the effectiveness and implementation of UEL's policies and operation of the quality assurance and enhancement procedures that have been delegated to Schools, as they pertain to taught and postgraduate research courses.
- 1.2 An audit team is appointed to conduct each of the audits, which will culminate in the submission of a report to the Education and Experience Committee, highlighting examples of good practice, areas where further development is required and making recommendations for improvements to procedures and policies.

### **2 Process**

- 2.1 The Education and Experience Committee determines a specific UEL policy and/or a specific delegated quality assurance and enhancement responsibility for each audit each year. The Education and Experience Committee reserves the right to audit further areas of activity as it sees fit.
- 2.2 An audit team comprising members of staff from Schools/Services is appointed (exact constitution to be determined depending on the activity or policy to be audited). The Quality Manager (Validation and Review) co-ordinates the process on behalf of the Education and Experience Committee for the audit of taught provision; the Head of the Graduate School co-ordinates the process for the audit of research provision.
- 2.3 Each auditor is asked to scrutinise a sample of activities related to the quality assurance and enhancement activity/UEL policy which is the subject of the audit. Quality Assurance and Enhancement provides advice and guidance for the auditors.
- 2.4 Each auditor is required to comment on:

- 2.4.1 awareness, understanding and ownership of the UEL policy and the delegated quality assurance and enhancement procedure amongst School staff;
- 2.4.2 availability of evidence that the UEL policy and the delegated quality assurance and enhancement procedure is being implemented effectively;
- 2.4.3 examples of good practice in the operation and implementation of the UEL policy and the delegated quality assurance and enhancement procedure;
- 2.4.4 areas where improvements in the operation and implementation of the UEL policy and the delegated quality assurance and enhancement procedure could be made;
- 2.4.5 a declaration of confidence in the School's operation and implementation of the UEL policy and the delegated quality assurance and enhancement procedure.

### **3 Conclusions and Report to the Education and Experience Committee**

- 3.1 The Quality Manager (Validation and Review)/Head of the Graduate School convenes a meeting of the auditors to discuss the findings of the audit and to agree a final report for presentation to the Education and Experience Committee.
- 3.2 The report submitted to the Education and Experience Committee details the following:
  - 3.2.1 a brief statement on the audit teams' level of confidence in each School's operation and implementation of the UEL policy and the delegated quality assurance and enhancement procedure. Where an audit team lacks confidence in a School, the reason/s supporting this judgement will be clearly stated;
  - 3.2.2 examples of good practice to be disseminated across the institution;
  - 3.2.3 recommendations for improvements to delegated quality assurance and enhancement procedures and UEL policies as a result of the audit process;
  - 3.2.4 any recommendations for amendments to the process for future years.

## Part 14

# Managing Relationships with Professional, Statutory or Regulatory Bodies

### 1 Introduction

- 1.1 Schools have responsibility for identifying professional, statutory and regulatory bodies (PSRBs) responsible for the professional regulation and accreditation of courses, and for making application to such bodies.
- 1.2 Where professional accreditation of a courses is sought, procedures are followed as defined by, or agreed with, the accrediting body. Course approval processes and academic review panels can include professional body representation where it is the preferred method of accreditation of the PSRB. Alternatively, documentation can be submitted following the approval or review event.
- 1.3 Schools are responsible for ensuring that PSRB registers are accurate, updated regularly and that QAE are informed of additions or changes to the register in a timely way.
- 1.4 Quality Assurance and Enhancement (QAE) maintains a central register of PSRB details.
- 1.5 Education and Experience Committee has oversight of the central register of PSRB details.

### 2 Accreditation/Reaccreditation Process

- 2.1 Where a course has, or requires, recognition by a PSRB and is the subject of approval or re-approval, the relevant body should be informed of the proposals at the earliest opportunity, depending on the approval requirements of that body. Where appropriate, a representative of that body will be involved in the approval process.
- 2.2 Each PSRB is allocated a designated academic link contact within the School.
- 2.3 The School Quality Committee (SQC) takes responsibility for managing School PSRB activity, in conjunction with the Head of School. Once detailed requirements of reapproval/review by the PSRB are known, SQC will receive details and make arrangements for the exercise of its oversight, including the provision of a timeline in preparation for the review. Support will be provided by the School Administration.

- 2.4 The school are responsible for informing SQC and QAE of any changes, updates or new PSRB activity. Copies of accreditation reports should be provided to SQC/QAE and also stored within the School.
- 2.5 The School and QAE have a responsibility for keeping records on required exemptions to the University Regulations including the Assessment and Feedback Policy
- 2.6 Documentation for the application or renewal of accreditation or prescription requiring sign off at institutional level by the University Executive Board (UEB) must be received a minimum of three weeks before the submission deadline. The UEB representative will take advice from the Head of QAE and the Head of School.
- 2.7 SQCs are responsible for monitoring action plans at meetings until completed and the oversight of continuing requirements.
- 2.8 Courses validated at collaborative partners are subject to these requirements.

### **3 PSRB Reports**

- 3.1 A copy of all PSRB reports must be submitted to QAE at the earliest opportunity.

### **4 Joint Activity**

- 4.1 Where it is identified that a PSRB requires joint approval, validation, or review to take place, this can be achieved by devising specific processes, in a way that meets both UEL principles and PSRB requirements.



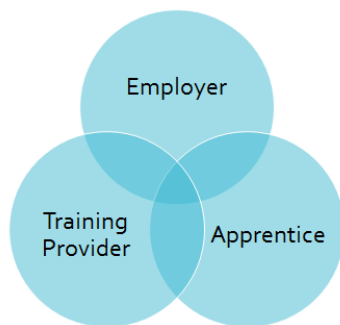
# Part 15 - Quality Assuring Apprenticeships

## 1. Introduction

UEL has a range of apprenticeships across its 6 academic schools. Quality assurance of apprenticeship provision is very much aligned with that of other UEL courses, and the content of this chapter should therefore be read alongside other chapters in this Manual, eg, chapter 5 *Approval and Validation of Award-Bearing Courses*.

## 2. Conditions that must be in place for an apprenticeship

- 2.1. Apprenticeships are usually a three-way agreement between an employer, a training provider and a learner (the 'apprentice'). UEL is the training provider and will be contracted by an employer to deliver training that meets a specific apprenticeship standard. The learner/apprentice works for the employer organization while also undertaking a minimum of 20% off the job training at UEL. On occasion provision may be sub-contracted from UEL to another party, but more usually the tri-partite relationship, as below, is in effect.



- 2.2. The training provided by UEL, which leads to a UEL award, coupled with managed work-based learning, prepares the apprentice to undertake an end point assessment (EPA). On successful completion of the EPA an apprenticeship is awarded.



### 3. Conditions that must be in place to comply with external requirements

3.1 To provide apprenticeship training UEL must be on the right external registers:

- UEL is already a registered provider on the Register of Training Organizations (ROTO)
- For each new apprenticeship additional registrations need to be made e.g., registration with the Education and Skills Funding Agency (ESFA) on the Register of Apprenticeship Training Providers (RoATP).
- Where providing End Point Assessment (EPA) or delivering an integrated degree apprenticeship, UEL must be registered on the Register of End-Point Assessment Organisations (RoEPAO) for each standard.

3.2 Academic and Employer Partnerships Office (AEPO) need to be aware of a new apprenticeship proposal as soon as possible in order to help obtain the correct registrations. AEPO will provide advice on how to comply with the ESFA Funding Rules for Training Providers, Apprenticeship Service requirements, and creating contracts between:

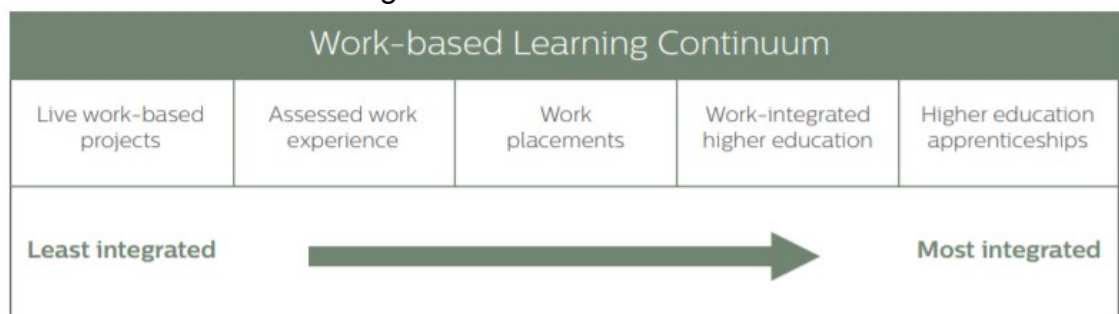
- ESFA and training provider
- Employer and training provider
- Apprentice, training provider and employer
- EPAO and training provider where appropriate

### 4 Setting Academic Standards at Validation/Review

4.1 Apprenticeship courses must fulfill both the requirements of the university academic award, and the occupation that the apprenticeship leads to, known as the Apprenticeship Standard. They must also meet all current ESFA Funding Rules. All Apprenticeship courses must comply with QAA guidance, or Ofsted requirements (for sub-degree level awards).

Achievement of the university academic award will be obtained in the normal way, i.e. by accumulation of academic credit in line with university regulations. Achievement of the Apprenticeship will be via an End Point Assessment (EPA). The Apprenticeship Standard will define whether the EPA is integrated into the degree or must be conducted by a separate End-Point Assessment Organization. Whether the EPA is integrated or not, it will still have to be conducted by an independent third party, who has not been involved in the training or employment of the apprentice and has no other conflict of interest.

- 4.2 The Apprenticeship Standard acts as a primary reference point in the validation and review of UEL apprenticeship courses. It defines an occupation by outlining a role profile and the Knowledge, Skills and Behaviours (KSBs) that an apprentice will need to learn.
- 4.3 Input from a range of sources including staff, apprentices, employers and PSRBs form an essential part of the design, approval, monitoring and review of apprenticeships.
- 4.4 The Quality Assurance Agency UK Quality Code, advice and guidance: work-based learning, describes apprenticeships as the most integrated form of work-based learning.



- 4.5 Courses with this level of integrated work-based learning must use the context of day to day activities in the workplace as the site for the development of knowledge and understanding, and the development of skills and professional behaviours, rather than just a site for their application. This can also be referred to as work-integrated learning.
- 4.6 A course of study can be specifically designed to meet an apprenticeship standard, or an existing course can be used for this purpose. The validation process will need to verify that courses include provision for 20% off-the-job training and constitute an appropriate preparation to enable apprentices to meet the Apprenticeship Standard.
- 4.7 Where apprenticeships include PSRB recognition as an outcome of successful completion, PSRBs should be appropriately involved in the validation process.
- 4.8 Learning outcomes for apprenticeship courses should be mapped to demonstrate the relationship between the role profile and KSBs specified in

the Apprenticeship Standard. They will also need to demonstrate alignment with the Frameworks for Higher Education Qualifications (FHEQ). It may be useful to reference level descriptors such as the SEEC Credit Level Descriptors (2016), which are specifically designed to encompass learning from work settings.

- 4.9 Validation and review panels will consider whether the apprenticeship provides equal opportunities for a high-quality learning and training experience; for example, by considering the range of working contexts and the variety of employment settings within which the apprenticeship will be undertaken. This should include the relationship between the structure of courses, approaches to learning, teaching and assessment in relation to work patterns, geographical location(s) and the specific requirements of work required.
- 4.10 Validation and review panels must include at least one External Advisor who brings both practice expertise, subject expertise and relevant experience and understanding of apprenticeships. They may also include PSRB representation where an apprenticeship leads to formal recognition by a named PSRB.
- 4.11 Validation documents should clearly outline how the apprentice will be supported in the workplace to develop the duties and KSBs specified within the apprenticeship standard. It may be helpful to include:
  - 4.11.1 How many employers intend on sending apprentices to the provider, and if these employers are levy or non-levy paying.
  - 4.11.2 Proposed workplace mentoring arrangements.
  - 4.11.3 How workplace mentors will be inducted and supported in undertaking the role by both employers and providers.
  - 4.11.4 How the interaction between workplace mentor, apprentice and higher education provider tutor will be structured and the proposed schedule and arrangements for tripartite meetings between the apprentice, employer and higher education provider.
  - 4.11.5 How the working environment is appropriate to enable apprentices to develop the required duties and KSBs for the relevant Apprenticeship Standard, including matters of pastoral support, Safeguarding, Prevent duty, equality and diversity and health and safety.
  - 4.11.6 How Safeguarding, British Values and Prevent are embedded in the curriculum.
  - 4.11.7 Review panels will examine whether the support needs of apprentices are being met.

## **5 Recruitment, selection and admission**

- 5.1 The UEL Academic and Employer Partnerships Office (AEPO) support the recruitment, selection and admission process, by ensuring that UEL publishes accurate information about its apprenticeship offer, signposting apprentices, employers and UEL staff to the information they need to make good decisions and helping them to engage with apprenticeships processes. This may include:
  - 5.1.1 The type and level of apprenticeships offered.
  - 5.1.2 The different locations and modes of learning that are supported and how these are organized by both the provider and employer.
  - 5.1.3 Signposts to external organizations that provide information about apprenticeship vacancies such as the 'Find an Apprenticeship Service' and the UCAS website.
  - 5.1.4 Apprenticeship vacancies (in some cases, and only in partnership with the employer offering the vacancy).
  - 5.1.5 How recruitment and selection of apprentices works explaining both the role of the employer and the university's admission requirements, including exit requirements for Level 2 English and Maths, and Accreditation of Prior Learning where appropriate.
- 5.2 An initial assessment of every new apprentice must be conducted to ensure the recognition of any prior learning and to ensure that learning on the apprenticeship can be classified as new learning. The KSBs set out in the apprenticeship standard will be used when undertaking the assessment.
- 5.3 Information on conducting an initial assessment:
  - 5.3.1 All apprentices must have an initial assessment before they commence their apprenticeship. Where possible the employer will also be involved in conducting the initial assessment.
  - 5.3.2 The initial assessment will establish the individual level of competence with regard to the Knowledge, Skills and Behaviours outlined in the apprenticeship standard.
  - 5.3.3 The initial assessment will be used, where appropriate, as a basis for adjusting the content and/or duration of the apprentices training course.
  - 5.3.4 This may involve identifying, for example; additional support for subject specific skills in English or Mathematics, whether the focus for the apprentice should be on developing subject knowledge vs practical skills, or identifying in which areas the apprentice may be able to achieve more stretching targets towards a higher degree classification.
  - 5.3.5 The apprentice can be involved in negotiating these aspects of their course along with the employer and UEL. Learning agreements, signed by all parties articulate what has been agreed.

- 5.3.6 Where an apprentice is shown to have prior knowledge such that they can apply for accredited prior learning, the standard policy and process for the accreditation of prior certificated or experiential learning will apply.

## **6 Learning, teaching and apprentice development**

- 6.1 The AEPO/CELT can provide advice, guidance and templates in order to meet the learning, teaching and development requirements of degree apprenticeships.
- 6.2 In order to demonstrate the integration of on and off-the-job learning and training. The Course Leader is responsible for ensuring that for each apprentice there is:
  - 6.2.1 An Apprentice Individual Learner Plan (ILP) within the apprentice Commitment Statement
  - 6.2.2 Evidence of tripartite (employer/UEL/learner) meetings, including when they took place, what was discussed and solutions to potential challenges
- 6.3 An apprentice's progression through their apprenticeship must be tracked, across all forms and locations of delivery and interventions and or adjustments to delivery must be managed and recorded.
- 6.4 In some apprenticeships, formally recorded quarterly or yearly reviews between UEL, the employer and the apprentice are requirements of the standard.
- 6.5 All staff who teach and manage/enable learning, or are involved in assessment, including those staff who are not employees of UEL and/or are not based at UEL, must be appropriately qualified, supported and developed. They must have undertaken appropriate training and be competent to undertake their various roles and responsibilities
- 6.6 All staff and employers who teach on apprenticeships that can come into contact with learners under 18 must have attended UEL's Safeguarding training and currently hold the appropriate Disclosure and Barring Service (DBS) certification.
- 6.7 Apprentices should be supported by workplace mentors. Arrangements between UEL and employers should cover the roles and responsibilities of workplace mentors. UEL are responsible for ensuring that workplace mentors are competent to undertake the role.
- 6.8 Where an Apprenticeship Standard is an Integrated Degree Apprenticeship, (ie. the EPA is included within the degree award, as specified in the EPA plan) UEL will conduct the EPA as an integrated aspect of the degree, meeting the requirements of the relevant apprenticeship Assessment Plan by demonstrating the independence of the process.

- 6.9 One of the key factors required for the RoEPAO is that EPA is carried out by assessors who have relevant practice-based experience and/or expertise. Academic 'subject' expertise may not be sufficient to demonstrate that assessors are equipped to assess the professional competence of apprentices to fully undertake the requirements of the associated job role.
- 6.10 There may be a need for assessment to be sufficiently flexible to allow for the authentic reflection of learning through work-based activities and expectations.

## **7 External examining**

- 7.1 When appointing external examiners for apprenticeships, the examiner team must have an appropriate level of practice-based expertise. The required balance of subject and practice expertise might be achieved through the appointment of two external examiners, one a subject expert and the other with practice expertise.
- 7.2 EPA plans for integrated Degree Apprenticeships will necessarily include reference to external examiners, as the EPA is conducted as an integrated aspect of the qualification.

## **8 The apprentice experience**

- 8.1 The overall experience of apprentices will be enhanced by providing clear and accessible information, including signposting to support services. Communication activity between the university, the employer, the apprentice and any sub-contractor(s) is also essential in order to ensure all parties are aware of the support available.
- 8.2 Accurate and timely information will help to inform the inter-relationship between on-the-job and off-the-job learning and training to ensure that supervision, monitoring and feedback supports the apprentice appropriately. This is particularly important where apprenticeships do not follow the standard academic year cycle; communications and information should be provided at an appropriate time in the apprenticeship. In particular, it is critical to establish clear expectations regarding the arrangements (including training) for workplace mentoring, together with the requirements for off-the-job learning and training.
- 8.3 Care must be taken when designing courses and scheduling assessment activity to ensure that there is recognition of an appropriate work/study/life balance. Furthermore, consideration should be given not only to academic work cycles, but employer work cycles which may affect the ability of apprentices to study effectively.
- 8.4 UEL should have in place plans to help develop employers' use of the workplace as a learning environment. This will include providing staff development, training mentors and, where appropriate, workplace

assessors, as well as providing information and induction for line managers and other staff working with the apprentice.

- 8.5 Opportunities will be provided for apprentices and employers to feedback, through engagement activity such as surveys, forums, course committees, and tripartite meetings. All apprentices are asked to complete the Apprenticeship Survey six weeks into learning, which is delivered online. In their second semester, apprentices are also invited to an online School focus group which will be attended by apprentice representatives, academics, professional staff, and employers. Feedback will be considered as part of the evidence within the Continuous Monitoring Process. Actions taken to respond to that feedback will be detailed and disseminated via student and employer feedback mechanisms.

## **9 Managing provision with others**

- 9.1 ESFA Funding Rules point out that the due diligence enquiries and the formal agreements adopted for any one arrangement should be proportionate to the volume, complexity and nature of the activity, to the type of delivery organization or support provider involved, and to the associated risks.
- 9.2 Contracts between UEL and the employer will establish clear expectations such as:
  - 9.2.1 The role(s) of the employer in supporting apprentice learning and training.
  - 9.2.2 Arrangements for the exchange of information in relation to the apprentice.
  - 9.2.3 Access to employer resources when engaging in off-the-job learning
  - 9.2.4 Arrangements for workplace mentoring, such as induction, training, employer-provider communication, involvement in end point assessment
  - 9.2.5 The funds and additional staff available to employers to cover the workload of apprentices carrying out work experience placements.
  - 9.2.6 Protocols for addressing issues.
  - 9.2.7 Arrangements for integration of on-the-job and off-the-job training, such as identification of relevant work projects, and arrangements for involving employers in higher education course evaluation, monitoring and enhancement to be further formalised in written agreements.
- 9.3 Discussions and negotiations with employers about the contents of the contract need to have concluded before the start of the apprenticeship. At this stage the university will also need to confirm that the employer has sufficient capacity and opportunities to support the apprentice in the



workplace to meet the needs of the standard and whether any additional support is required.

- 9.4 A key element of apprenticeship support in the workplace is the role of the workplace mentor. The criteria for the selection of mentors should be clearly articulated in order to ensure that they are able to fully support the apprentice in the workplace and facilitate their learning. UEL is responsible for ensuring the mentors are appropriately inducted into their role by the higher education provider to undertake the role, providing training in coaching and mentoring, providing an insight into how people learn in the workplace and an overview of the course structure and assessment methodologies.
- 9.5 Should an apprentice become unemployed during the course of the apprenticeship, UEL should support the apprentice to find further employment or to transfer on to an alternative course of study.

## **10 Monitoring and review**

- 10.1 Standard monitoring and review processes will be in place for apprenticeship courses, Additional arrangements will be in place to evidence that the standard requirements for conducting apprenticeships are being met, and for the employer, workplace mentors, and any subcontractors to provide their input. The Continuous Monitoring Process (CMP) Report that is completed annually for each course at UEL has been adapted for apprenticeships to ensure all appropriate evidence is recorded and reviewed. For each apprenticeship the appropriate Continuous Monitoring Process Report – Apprenticeships form should be completed.
- 10.2 Tripartite meetings are meetings between UEL, employer and apprentice. These meetings ensure that feedback can be given and received from all parties. All apprenticeships are required to have regular tripartite meetings. UEL will record the evidence of these. Tripartite meetings will ensure the apprenticeship meets the needs of the individual apprentice, employer and university, and are held at regular intervals. Best practice for their operation involves:
  - 10.2.1 Meetings take place at the apprentice's place of work or remotely on a 12 weekly basis. The frequency of these meetings is set within the employer agreement and may be specified by the apprenticeship standard.
  - 10.2.2 Meetings are undertaken by the course lead and visits to the employer should coincide with the tripartite meetings.
  - 10.2.3 All tripartite meetings should be recorded (and shared with both employer and apprentice). The School must keep records of the meetings somewhere that can be accessed swiftly in the event of an audit.

- 10.2.4 All tripartite meetings should review English and Maths development in the context of everyday work.
- 10.2.5 All tripartite meetings should address any Safeguarding issues apprentices may be experiencing.
- 10.3 There may also be a requirement for external monitoring and review, course teams should ensure that all those involved in the apprentices' learning and training experiences are included in those processes.

## **11 Specific information relating to Ofsted**

- 11.1 Apprenticeships with a final aim of Level 5 or below fall within the quality assurance remit of Ofsted Ofsted will inspect provision based on the Education Inspection Framework (EIF). This framework is described in the Further education and skills inspection handbook. Found at:  
  
<https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook-eif>
- 11.2 Any UEL apprenticeship with an aim of Level 5 or below will need to be prepared for inspection at 48 hours' notice.
- 11.3 The chair of the Education and Experience Committee is the lead contact for UEL with regards to Ofsted.
- 11.4 As of July 2019 the university established an Ofsted readiness working group under the supervision of the Education and Experience Committee. It is the remit of that group to ensure the university is making sufficient progress towards ensuring the requirements of the EIF are embedded in UEL policies and processes.
- 11.5 Schools with current provision in scope for inspection are members of the working group. Schools that are considering new provision that would be in scope for inspection will be identified during the initial approval process, the validation process will then take into account the requirements of the EIF.

## **12 Approval of Delivery of Educational Training for Higher and Degree Apprenticeship Standards linked to an UEL Award.**

### **12.1 Approval Stages**

- 12.1.1 Initial Approval must be obtained via the standard process described in part 5 of the Quality Manual.
- 12.1.2 Validation via the school quality committee or Quality Assurance and Enhancement organized approval event.
- 12.1.3 If the approval involves the validation of a new course or revalidation of an existing course – see section A.

- 12.1.4 Or
- 12.1.5 If the approval is linked to a currently validated UEL course (without modifications that would prompt a revalidation) – see section B.
- 12.1.6 Final Approval noted by Education and Experience Committee on behalf of Academic Board.

**13 Section A – If the approval involves the validation of a new course or revalidation of an existing course.**

- 13.1 Two external advisors must be appointed as detailed in the Quality Manual Part 5 section 4. At least one of these advisors must have substantive practical expertise.
- 13.2 A member of the Academic and Employer Partnerships Office and a Senior Member of Registry Staff (Assistant Registrar) should be invited to attend the approval event.
- 13.3 The documentation requirements are the same as in the Quality Manual Part 5 section 5.
- 13.4 The following additional documentation will be required:
  - 13.4.1 A mapping of modules against the Knowledge, Skills and Behaviours within the Higher / Degree apprenticeship standard.
  - 13.4.2 A schedule for completion of the course, 80% to 20% on and off-the-job training, EPA Plan and the associated apprenticeship standard, for a typical apprentice.
  - 13.4.3 Arrangements for all staff who teach and manage/enable learning, including those staff who are not employees of UEL and/or are not based at the UEL, to be appropriately qualified, supported and developed.
  - 13.4.4 Specific detail on the course specification aimed at helping apprentices understand the structure of their course and/or any additional requirements/non-applicable sections as compared to standard students.
  - 13.4.5 Confirmation of how any gateway requirements for the Apprenticeship will be met (e.g., mandatory qualifications, evidence of attendance, practice portfolios, formal reviews).
  - 13.4.6 Confirmation from the Academic & Employer Partnerships Office (AEPO) that registrations have been completed (e.g., RoTAP, RoEPAO) where relevant.
  - 13.4.7 Details of how it is anticipated the End Point Assessment will be achieved.
  - 13.4.8 Details of how Safeguarding, British Values and Prevent are embedded in the curriculum.

13.5 In addition to the information provided to School Quality Committee in the Quality Manual Part 5 section 5.2, the following documentation will be provided to assist with deliberations:

13.5.1 The associated Higher Apprenticeship Standard and Assessment Plan

13.5.2 This chapter of the Quality Manual

13.5.3 The QAA Characteristics Statement for Higher Education in Apprenticeships

13.6 The approval process will be as outlined in the Quality Manual Part 5 section 6. The approval event will consider additionally:

13.6.1 The system of delivery of the course and apprenticeship.

13.6.2 Support infrastructure, roles and responsibilities of academic and support staff.

13.6.3 Apprentice access to UEL systems, support and guidance services.

13.7 Peer Review

13.7.1 The approval process will be as outlined in section 7 above. Peer reviewers will additionally receive a copy of the mapping document.

13.8 Appointing an External Examiner

13.8.1 Within the team of External Examiners appointed to review Higher and Degree Apprenticeship Modules there must be substantive practice expertise.

**14 Section B – If the approval is linked to a currently validated UEL course (without modifications that would prompt a revalidation)**

14.1 A minimum of one External Advisor with substantive practice expertise must be appointed. Modifications to the course can also be sought under the 25% rule (see Part 6 of the Quality Manual)

14.2 A member of the Academic and Employer Partnerships Office and a Senior Member of Registry Staff (Assistant Registrar) should be invited to attend the approval event.

14.3 The following documentation will be required:

14.4 An approval document to include:

14.4.1 The context and rationale for the Higher / Degree Apprenticeship

14.4.2 A mapping of the modules of the course against the Knowledge, Skills and Behaviours within the Higher / Degree Apprenticeship Standard.

14.4.3 All module specifications including any amendments.

- 14.4.4 A schedule for completion of the course and the associated apprenticeship standard for a typical apprentice.
  - 14.4.5 Arrangements for all staff who teach and manage/enable learning, including those staff who are not employees of UEL and/or are not based at the UEL, to be appropriately qualified, supported and developed.
  - 14.4.6 Resources:
    - 14.4.6.1 A statement making it clear what physical resources are available to support the course (e.g. library, computer hardware and software, specialist accommodation, other specialist equipment), and how apprentices will access the resources.
    - 14.4.6.2 A statement making it clear what resources are available to support the apprentice's Health and Wellbeing, and Pastoral care.
  - 14.4.7 Confirmation of how any gateway requirements for the Apprenticeship will be met (e.g., mandatory qualifications, practice portfolios, formal reviews).
  - 14.4.8 Details of how it is anticipated the end point assessment will be achieved.
  - 14.4.9 Confirmation from the Academic & Employer Partnership Office that registrations have been completed (e.g., RoTAP, RoEPAO) where relevant.
  - 14.4.10 An amended course specification. There should be a different course specification for any apprenticeship or non-apprenticeship version of a course.
  - 14.4.11 If there are modifications to curriculum content - Via the external adviser's report, confirmation that; assessment design, materials, and support, have been considered against quality assurance requirements, the Apprenticeship Standard, and the associated Assessment Plan.
  - 14.4.12 Details of how Safeguarding, British Values and Prevent are embedded in the curriculum.
- 14.5 In addition to the information provided by the course proposer, the following documentation will be provided to assist school quality committee with their deliberations:
- 14.5.1 The associated Apprenticeship Standard and Assessment Plan
  - 14.5.2 This chapter of the Quality Manual
  - 14.5.3 The QAA Characteristics Statement for Higher Education in Apprenticeships
  - 14.5.4 If there are modifications to curriculum content - The external advisor's written comments.

- 14.5.5 The approval process will be as outlined in the Quality Manual Part 5 section 6.
- 14.6 The approval event will consider additionally:
  - 14.6.1 The system of delivery of the course and apprenticeship
  - 14.6.2 Support infrastructure, roles and responsibilities of academic and support staff
  - 14.6.3 Apprentice access to UEL systems, support and guidance services
  - 14.6.4 Employer's review of the apprenticeship course
- 14.7 Peer Review
  - 14.7.1 The approval process will be as outlined in section 7 above. Peer Reviewers will additionally receive a copy of the mapping document
- 14.8 Appointing an External Examiner
  - 14.8.1 Within the team of External Examiners appointed to review Apprenticeship Modules there must be substantive practice expertise.

# Part 16

## Student Engagement

### 1. Introduction

This chapter outlines the key principles that underline student engagement in quality assurance processes at UEL.

### 2. Principles

- 2.1 ***We are committed to ensuring student representation at UEL is a collaborative partnership in which the University, its students and the Students' Union have a shared responsibility for promoting an environment which empowers the student/learner voice***

At UEL student engagement in quality assurance and enhancement means students participating in partnership with staff and each other in the life of the University; academically, socially, culturally and in decision-making. This includes making their voices heard through the student representation systems and feedback processes available.

- 2.2 ***We are committed to embedding student engagement opportunities into our quality assurance systems***

We aim to provide opportunities for students to engage with all aspects of quality assurance and enhancement within UEL.

- 2.3 ***We aim to provide both formal and informal opportunities for students to provide feedback in relation to their whole student experience***

For student engagement activity to be meaningful it is important that our system represents the diversity of our student population and allows for individual and collective representation. In response to this, we adopt a diverse approach to collecting student feedback that allows for the collection of individual and collective student feedback through a variety of formal and informal methods to ensure all students have the opportunity to participate.

- 2.4 ***We aim to ensure that student feedback is used to inform enhancements as part of an integrated, evidence-based approach***

We understand the importance of listening to our students to assess our approaches and develop enhancements to the student experience. We are therefore committed to utilising feedback gathered throughout our quality assurance processes.

**2.5 *We aim to provide student feedback mechanisms that are responsive, with feedback provided to students in a timely manner***

We recognise the importance of a dynamic student feedback system which includes effective mechanisms for responding to feedback received ('closing the loop'). Therefore, we aim to embed timely 'closing the loop' activity in all student feedback processes, such as 'you said, we did' posters and face-to-face feedback in class. Such feedback should include details of activity taken in response to the feedback to enhance the student experience as well as explanations of any limitations that exist.

**2.6 *We will provide support and training to empower students to actively participate in our quality assurance and enhancement system.***

Effective student engagement in quality assurance and enhancement activity is not possible without adequate support and training being provided to students. Working with UELSU, we are committed to providing a comprehensive training package for students and additional support as required.

**3. Student Engagement In Practice**

3.1 The following opportunities exist for student engagement in the UEL quality assurance and enhancement system:

- a) Student representation at UEL includes representation, via trained UEL Students' Union (UELSU) representatives at Course, School and Institutional level;
- b) UELSU Officers contributing to the development of academic policy via membership of working groups, institutional committees and project groups;
- c) Course Committees meet once per term and are the primary formal mechanism for course level feedback;
- d) The Student Experience Forum considers student feedback in relation to the non-academic student experience;
- e) Students' views are actively sought and taken into account in the design, delivery and outcomes of courses through the Course Approval Process (Quality Manual, Part 5), Module Process (Quality Manual, Part 3), Course Modification Process (Quality Manual, Part 6) and Course Withdrawal Process (Quality Manual, Part 6). Views are sought via a number of mechanisms including Course Committees, survey responses, Course level focus groups and discussions between Course Leaders and students.



Evidence of such consultations form part of the approval documentation scrutinised;

- f) The Academic Review Process (Quality Manual, Part 8) incorporates student engagement activity through the inclusion of a student representative appointed by UELSU usually forming part of the panel and the inclusion of at least one meeting with existing students and former students. Student feedback received through internal and external surveys such as Module Evaluation Questionnaires, the National Student Survey and the Postgraduate Taught Experience Survey will be included in the documentation presented to the review panel;
- g) The Collaborative Review Process (Quality Manual, Part 11) incorporates student engagement activity through the inclusion of a student representative appointed by UELSU usually forming part of the panel and the inclusion of at least one meeting with existing students. Student feedback received through internal and external surveys will be included in the documentation presented to the review panel;
- h) Students have the opportunity to give feedback on each module anonymously through the Module Evaluation Process;
- i) Students have the opportunity to provide anonymous feedback at course and institutional level through internal surveys and external surveys such as the National Student Survey, the Postgraduate Taught Experience Survey and the Postgraduate Research Experience Survey;
- j) Short Course Processes (Quality Manual, Part 10) provide students with the opportunity to feedback during their course and where a short course is to be withdrawn;
- k) The Continual Monitoring Process (CMP) aims to identify opportunities for enhancement and includes the use of feedback from student surveys, student contributions to course committees and course teams to do this:
  - Course-level reports should be uploaded onto Moodle and shared with students directly or through student representatives.
  - Course-level reports will be discussed at course committees and Course Representatives will be given the opportunity to contribute to these.
  - Representatives from the UEL Students' Union will be committee members for School CMP meetings.For full details of the Continual Monitoring Process see Part 7 of the UEL Quality Manual;
- l) The External Examiner System (Quality Manual, Part 9) provides that students have access to external examiner reports via Moodle and that issues raised by external examiners are discussed at Course Committees;
- m) Collaborative Partners are expected to comply with UEL polices and ensure that there are adequate opportunities for student engagement; actual practice may be contextualised to the partner.

3.2 Feedback should be provided to students in a timely manner and can include the following approaches :-

- a) 'You Said, We Did' posters;

- b) Course Committees;
- c) Continual Monitoring Process reports;
- d) Announcements on module and course Moodle sites;
- e) Module guides;
- f) Where course or module modifications take place, students affected by the changes will be notified of any modifications once they have been approved.

#### **4. Further Information and Resources**

4.1 Further information and resources are available at:

- a) Student Engagement in Quality Assurance and Enhancement Policy:  
<https://www.uel.ac.uk/about/about-uel/governance/policies-regulations-corporate-documents/student-policies>
  
- b) Student Engagement at UEL intranet pages:  
(<https://uelac.sharepoint.com/LearningandTeaching/Pages/students-area.aspx>)

## **Appendix 1**

### **Principles underlying the approval, validation and review processes**

The following principles should be observed in all approval, validation and academic review processes.

- 1 Approval, validation and review should be rigorous and fair. Subject to the condition for rigour, the procedures should also be economical of time and other resources.
- 2 Decisions about procedures and decisions about the outcome should be communicated swiftly to all those involved, and the procedures and decisions themselves should be available for public scrutiny.
- 3 Approval, validation and review are to be undertaken in terms of a partnership between those under evaluation and peers drawn from: UEL colleagues and, as appropriate, by colleagues from elsewhere in higher education; professional and other accrediting bodies; industry, commerce, employment; and wider society.
- 4 The resources and expertise of the relevant accrediting bodies should be used where appropriate, both formally and informally.
- 5 All members of a panel/school quality committee have equal standing.
- 6 The Chair of the panel shall normally be a Head of School, Department Head or current or former member of the Education & Experience Committee. He/she shall be answerable for her/his conduct of the event to the Education & Experience Committee. For a validation event, the Chair shall not be a member of the school running the proposed programme nor should the chair have management responsibilities for the programme. For Academic Review, the Chair shall not be a member of the relevant school nor have line management responsibility for the Head of School.
- 7 For approval and validation, the programme team, comprising all staff substantially involved with the programme, should be involved in the process, although individual staff may not necessarily be present for the whole event. For Academic Review, all staff in the school/department group should take part, although it is unlikely that any member of staff shall be present for the whole event.
- 8 Students must be involved in Academic Review and also, where possible, in approval validation (perhaps students from related programmes, or potential applicants to the proposed programme).
- 9 During the event, panel decisions on the agenda for the next session of the event should be communicated to all relevant parties before, or at the start of, each session.
- 10 The panel will normally communicate its decision on the outcome of the event at the end of the meeting, and in writing as soon as possible thereafter. However the final decision rests with Academic Board, which normally acts in this respect

through its sub-committees.

- 11 Conditions and recommendations resulting from validation and review of a programme shall clearly identify:
  - What action is required or recommended;
  - who is responsible for taking that action or ensuring that it is taken;
  - the time-scale for action;
  - the method for reporting back on the action taken and for judging its success;
  - in the case of conditions, the consequences of the condition not being met.
- 12 There will be no conditions implemented by school quality committees for (re)approvals.
- 13 There shall be downward and upward accountability within the process so that solutions to problems identified can be formulated and implemented.
- 14 Panel membership shall normally be chosen so as to spread the involvement in validation and review activity across the institution.
- 15 The approval, validation and review process and outcomes will themselves be monitored by those taking part and by the Education & Experience Committee, in order to facilitate the review of the process as a whole as well as of particular events.
- 16 A programme team may appeal against a decision of an approval, validation or review panel on the grounds that the proper procedures and guidelines had not been followed. The procedure for considering such appeals is detailed in Appendix 2.
- 17 Any proposed departures from, or extensions to, these principles should be justified at the preliminary planning stage of approval, validation or review and, if necessary, referred to the Education & Experience Committee for agreement.

## Appendix 2

### Appeals against decisions of approval, validation and review panels

- 1 An appeal against a decision of a School-based (re)approval, validation or review panel can be made on the grounds that proper procedures and guidelines as outlined in the Quality Manual have not been followed. Examples of such grounds include improperly constituted panels, inadequate guidance documents etc.
- 2 Appeals may only be lodged on procedural grounds. Appeals may **NOT** be lodged against the academic judgement of a School Learning and Teaching Quality Committee/panel.
- 3 Appeals shall be heard at a full meeting of the Education & Experience Committee.
- 4 The notice of appeal, and the grounds on which it is based, shall be made in writing to the chair of Education & Experience Committee within 14 days of the School Learning and Teaching Quality Committee, validation and review event or, if the appeal is against validation or review panel's decision in relation to response to a condition of approval, within 14 days of formal receipt of the panel's decision by the programme team. The grounds for appeal must be circulated with the main papers for a Education & Experience Committee meeting at which the appeal is to be heard: late circulation shall not be acceptable under any circumstances.
- 5 The Education & Experience Committee shall have full minutes/report of the committee/event in question. These shall also be circulated with the main papers for the meeting at which the appeal is to be heard. Late circulation will not be acceptable under any circumstances.
- 6 At the meeting of the Education & Experience Committee which hears the appeal, the following people may attend the meeting to present the case:  
  
School Based Approval- Programme leader  
Validation Event - Programme leader and Head of School  
Academic Review - Head of School
- 7 The chair of the panel against whose decision the appeal is lodged shall have the right of reply. The Education & Experience Committee will then discuss the matter in open debate. Discussion shall be terminated at the discretion of the chair of the Education & Experience Committee.
- 8 The Education & Experience Committee will then vote on the appeal. The following shall be excluded from voting:
  - a) Members of the School Learning and Teaching Quality Committee, validation or review panel in question;
  - b) those submitting the appeal, even if they are members of the Education & Experience Committee;

- c) other members of the Education & Experience Committee who are members of the same school/unit or otherwise associated with the case.
- 9 In the event of the appeal being upheld, by a simple majority of those eligible to vote, the School based approval, validation or review event in question shall be undertaken again ***ab initio***.
  - 10 In the event of the appeal being rejected, the original decision shall stand.
  - 11 In the event of the deadlock, the original decision shall stand.
  - 12 The decision of the Education & Experience Committee shall be final.