# Handbook for External Examiners for taught programmes

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If you require this handbook in an alternative format, please contact Nadine Grimmett in the Learning and Teaching Enhancement Office (tel: 01225 386117, email: n.grimmett@bath.ac.uk)

Learning and Teaching Enhancement Office August 2014
1. Introduction

1.1 You have been invited to join the University of Bath as an External Examiner because of your expertise and experience in your subject, in learning, teaching and assessment. The University is grateful to you for taking on this role.

1.2 This handbook is intended to help you to understand and fulfil your role as an External Examiner at the University of Bath. It sets out the University’s expectations, provides further information on our procedures and signposts relevant University ordinances, regulations, codes of practice and policies, and indicates the kind of support you may expect.

1.3 Your departmental contacts will provide you with an induction to the programme and your role but this information is supported by the external examiner induction web pages at: http://www.bath.ac.uk/quality/external-examiners/index.html.

1.4 Formal information on External Examining of taught programmes at the University of Bath is set out in our Quality Assurance Code of Practice Statement 12 (QA12: http://www.bath.ac.uk/quality/documents/QA12.pdf). Other key reference documents are listed in section 6 below.

1.5 The details of procedures described in this handbook may be varied under the terms of an Institutional Agreement where a programme of study is delivered as a collaborative arrangement with another institution. However, where the University is the awarding body, the appointment and functions of the External Examiner remain the University’s responsibility.

1.6 This handbook is reviewed annually and updated with changes arising from revisions to the QA Code of Practice (http://www.bath.ac.uk/quality/cop/statements.html) the New Framework for Assessment (http://www.bath.ac.uk/registry/nfa/index.htm) and other requirements e.g. from public or regulatory bodies such as the QAA. The update replaces the previous edition on 1 August each year. Please check each year for revisions. Where there have been significant changes these will be indicated on the first (index) page. The handbook is available to view or download from this link: http://www.bath.ac.uk/quality/documents/QA12-external-examiner-handbook.pdf

Professor Bernie Morley
Pro-Vice-Chancellor (Learning and Teaching)
2. Contacting the University

2.1 Administration of External Examiner (taught provision) processes and procedures is overseen by the Learning and Teaching Enhancement Office. Queries relating to the University’s quality management framework, your appointment and terms of contract should be addressed in the first instance to:

Nadine Grimmett  
Learning and Teaching Enhancement Office  
University of Bath  
Claverton Down  
Bath  
BA2 7AY  

Tel: 01225 38 6117  
Email: n.grimmett@bath.ac.uk

Queries about academic issues, examination papers, dates of meetings, etc, or payment of fees and expenses, should be addressed to your nominated contact in the Department/School/Learning Partnerships Office (LPO), (usually the Head of Department/School/LPO or the Director of Studies).

2.2 Your report (see Annex A) should be submitted within six weeks of the completion of the examination process and sent, in the first instance preferably electronically, by emailing it to externalexaminers@bath.ac.uk. You should expect an acknowledgement of receipt. Further details about the report process are given in section 9 of this handbook.

Alternatively if you prefer to send a printed copy, it should be addressed to: Professor Dame Glynis Breakwell, Vice Chancellor, University of Bath, Claverton Down, BATH BA2 7AY.

The payment of fees and expenses will be authorised once the report has been received.

2.3 Details of how to reach us and a map of the Claverton campus can be found here:

http://www.bath.ac.uk/getting-here/  
http://www.bath.ac.uk/maps/campusmap.html
3. **Quality management at the University of Bath**

3.1 The University of Bath was awarded its Royal Charter in 1966, but can trace its history, via the Bristol College of Science and Technology and the Merchant Venturers’ Technical College, to the Bristol Trade School of 1856. We retain an emphasis upon sciences, engineering and technology, but have also developed our portfolio in humanities and social sciences, management and health.

3.2 The mission of the University is to deliver world-class research and teaching, educating our students to become future leaders and innovators, and benefiting the wider population through our research, enterprise. We have a distinctive academic approach that emphasises the education of professional practitioners and the promotion of original inquiry, innovation and collaboration. The University is a centre of academic excellence, where high quality research and high quality teaching are mutually sustaining, and where the context within which knowledge is sought and applied is international as much as regional and national.

3.3 The University comprises seventeen academic Departments grouped into three Faculties (Engineering & Design, Humanities & Social Science, Science); as well as the School of Management and the Learning Partnerships Office.

3.4 The University has a bicameral governance structure, with Council as its governing body, and Senate as the supreme academic decision-making body. The principal institutional committees in relation to learning and teaching and quality management are the Learning, Teaching and Quality Committee and the Programmes and Partnerships Approval Committee. Within Faculties and Schools, the Board of Studies is responsible to Senate for all matters relating to the organisation of education, teaching and research, including all examination matters. Faculty-level Learning, Teaching and Quality Committees are responsible to the respective Boards of Studies for the detailed scrutiny of the academic standards and quality of the Faculty/School undergraduate and taught postgraduate provision.

3.5 The University is committed to bringing together and re-aligning quality assurance and quality enhancement in its mechanisms for the management of the quality of its programmes. As an institution with mature quality assurance mechanisms and a well-established reputation for the quality of its student experience, the University’s focus is upon putting into place quality management structures that not only uphold academic standards, but also emphasise the process of self-evaluative reflection that supports ongoing enhancement and development.

3.6 The institutional approach to quality is underpinned by five core elements:
- reliance on sound academic principles in the design and delivery of learning and teaching;
- the importance of the informed student voice;
- the importance of peer review from colleagues in other academic institutions, professional bodies, industry and commerce;
- a multi-stranded approach to enhancement;
- a commitment to quality management processes that are efficient as well as effective.

*For further information see:*
- *About the University of Bath:* [http://www.bath.ac.uk/about](http://www.bath.ac.uk/about)
4. Overview of your responsibilities as an External Examiner

National Expectations:
The QAA Quality Code, Chapter B7: External Examining
outlines the following principles to which the University of Bath fully subscribes:

Principle 1: In the UK higher education system, each institution with degree awarding powers has responsibility for setting the standards of its degrees within the context of common guidelines (that is, subject benchmark statements, professional body requirements, and so on) and is subject to internal quality assurance procedures and external review by an independent agency (QAA). This should continue to be supported and strengthened. External examining is only one part, albeit a very important part, of this system.

Principle 2: Notwithstanding their autonomy, it is right that institutions should be accountable for the way in which they exercise their responsibility for setting and maintaining standards. The principal mechanism for this is Institutional Review, which should test whether or not external examining is working in practice. External examining arrangements should remain one of the key areas for Institutional Review and a critical factor in determining the outcome of Institutional Review.

Principle 3: The role of the External Examiner should be comprehensible to students, the media and the general public. Explanations of it should be articulated clearly and simply at all times. More nationally consistent, developed and supported external examining expectations will improve the effectiveness, transparency and credibility of the system, especially with external audiences.

4.1 The University attaches great importance to peer review from External Examiners as a key means of ensuring that:

- the academic standards of University awards and their component parts are set and maintained at the appropriate level, and that the standards of student performance are properly judged against this;
- the final assessment process accurately measures student achievement against intended learning outcomes, and is rigorous, fair and fairly operated, and in line with University Regulations and policies;
- the University is able to compare the standard of its awards with those of other higher education institutions;
- the University’s provision is continuously enhanced to reflect developments in the sector, institution and discipline.

4.2 The responsibilities of individual External Examiners relate to their role to act as independent and impartial advisers providing informed comment on the academic standards set, and student achievement in relation to those standards.

4.3 The University will not make an award without participation in the examining process by at least one Examiner external to the University, who is a full member of the relevant Board of Examiners for Programmes.

4.4 In keeping with the University’s alignment of quality assurance and quality enhancement, the role of External Examiners is not confined to consideration of examination results and attendance at examination boards. External Examiners are encouraged to comment and
advise on the content, balance and structure of programmes and units, the development of programmes/units and on assessment strategies and processes. Your feedback to us, as someone working in the discipline area, is valued and will be used to inform the academic Department’s process of reflection on its performance.

4.5 External Examiners are expected to record their professional opinion, feeding back to the academic Department their views on academic standards, aspects of good practice, learning and teaching, programme structure and content.

For further information, see:
- Ordinance 15, Examiners and Examinations: http://www.bath.ac.uk/ordinances/15.pdf
5. **Your appointment as an External Examiner**

5.1 At least one External Examiner will be appointed for each programme of study, or group of closely related programmes of study.

5.2 **Criteria for appointment:** You have been appointed to an external examining role having been nominated for approval by the Department/School/LPO, and approved by the relevant Board of Studies on behalf of Senate. In coming to a view, the Board of Studies will have discharged its responsibility to ensure that:
- any individual recommended as an External Examiner has an appropriate level of academic, and where appropriate, professional knowledge, seniority and experience;
- where the nominee is new to external examining, or is from outside the UK Higher Education sector, sufficient induction and briefing has been put in place to enable the nominee to fulfil his/her role;
- the nominee has no existing, or prior, connection with the University that would call into question his/her ability to exercise objective, impartial and independent judgements.

5.3 You will be/have been asked to provide the designated information on academic background, knowledge and experience, at which point you are expected to have declared any relevant interests. It is important that if your circumstances change materially and you no longer meet these criteria, you inform the University immediately.

5.4 **Personal data:** All personal data supplied by you for the purpose of your appointment and subsequently concerning your employment will be held in compliance with the Data Protection Act 1998. Your data will be held securely and for no longer than is necessary. The University will use this personal data for the purposes of appointment, communication about and payment of fees and expenses, and for any other necessary communications. The University will not disclose your contact details or any other personal details to third parties (i.e. outside the University) without your consent unless required to do so under the provisions of the Data Protection Act 1998.

5.5 Students are informed of the name and institution of External Examiners linked to their programme(s) in the Programme Handbooks. They are advised that it is inappropriate to make direct contact with External Examiners, in particular regarding their individual performance in assessments, and advised of the appropriate channels for raising any questions. If you should receive any direct contact of this nature from students please do not respond but refer the matter to the Learning, Teaching and Enhancement Office who will guide the student to the appropriate route for their query or comment. The University attaches great value to the informed student voice in its approach to quality management and there are mechanisms in place by which students can engage formally with the process through which the institution considers and responds to External Examiners.

5.6 **Your period of office:** Your initial offer of appointment will usually be for three years, with the possibility of extension for a further year. External Examiners are appointed for not more than four consecutive years. Upon expiry of this period, External Examiners for taught programmes may not be reappointed for three years.

5.7 Following your appointment, the Learning and Teaching Enhancement Office will issue a letter of appointment to you setting out the period of tenure and the programme(s)/units(s) for which you will be responsible.
5.8 **Fees and expenses:** Only once your report has been received can the Department/School/LPO proceed with the payment of your fee.

5.9 The University is obliged to ensure that all prospective members of staff are eligible to work in the UK, by checking the appropriate documentation, ordinarily a passport, though other forms of proof may be acceptable or required. We therefore need you to present your passport to the Assessment Office during your first visit to the University who will take a copy of it. Please note that due to the legislation on right to work in the UK we cannot pay your External Examiner fee without having received this documentation. If you have any queries on the documentation that you need to provide please contact Kym Weeks, HR Administration Coordinator on 01225 384793.

5.10 Under the Inland Revenue instructions regarding examinations payments for taught courses, we are obliged to deduct tax at source under PAYE unless you have supplied us with a certificate that you are not liable to tax because total earnings or taxable benefits do not exceed the lower personal allowance for the tax year. National Insurance will not be applied to the fee.

5.11 Payments of fees and expenses to External Examiners are made by BACS into your bank account.

5.12 External Examiners may claim reasonable expenses such as travel costs, accommodation and subsistence. A claim form for expenses, together with guidance on completion, is provided to new External Examiners by the Learning and Teaching Enhancement Office. Further copies are available from your nominated departmental contact. ALL completed expense claim forms must be submitted to your nominated departmental contact.

5.13 **Discontinuation of employment:** An appointment may be terminated with six months’ notice on either side. We would ask that, should you need to resign your position prior to the completion of your contract, you provide a minimum of six months’ notice in order to maintain continuity of assessment.

5.11 The University reserves the right to terminate the contract of any External Examiner if, in the opinion of Senate, the External Examiner fails to fulfil their obligations at the end of any single year of appointment including any breach of confidentiality. Such obligations include performance which, in the context of the University’s stated expectations, is judged to be inadequate.

For further information, see:
- Ordinance 15, Examiners and Examinations: [http://www.bath.ac.uk/ordinances/15.pdf](http://www.bath.ac.uk/ordinances/15.pdf)
6. Preparing for your role

6.1 **Induction:** The Learning and Teaching Enhancement Office, via this Handbook, is providing and/or signposting the key University and national frameworks and relevant supporting documentation with which you need to be familiar. The information is summarised in the Guidance for external examiners web pages: [http://www.bath.ac.uk/quality/external-examiners/index.html](http://www.bath.ac.uk/quality/external-examiners/index.html).

6.2 In addition, the Head of Department/School/LPO will ensure that the following information is sent to you:
- the name of a departmental contact;
- the composition and membership of the Boards of Examiners including the names and subject areas of other External Examiners;
- the schedule for examining procedures including the proposed dates of the relevant Boards of Examiners for Units and Boards of Examiners for Programmes;
- the final report(s) of the outgoing External Examiner(s).

6.3 In addition, the Department/School/LPO will provide relevant information on the scheme of study and assessment for the programme(s)/unit(s) for which you have responsibility, such as:
- the student handbook for the programme;
- the programme specification and unit descriptions;
- programme assessment regulations;
- (where relevant) the Department/School/LPO’s policy on confidentiality relating to matters of commercial sensitivity (which may arise in relation to assessment of placement and work-based learning).

6.4 Departmental practices should also be made clear to you. This information may include, as appropriate:
- clarity on whether or not you will meet students;
- the method and extent of sampling;
- the way in which access will be provided to assessed parts of the programme (e.g. where the final assessment involves placements or on-line learning).

6.5 The Head of Department/School/LPO is also responsible for ensuring that you receive appropriate induction and briefing material to enable you to appreciate the aims and philosophy of the provision with which you will be associated, and to contribute in an effective manner to the assessment process. In practice, responsibility for briefing and induction may be delegated, for example, to the Director of Studies.

6.6 If you are new to external examining or to the UK Higher Education system, you may expect additional appropriate support for the first year of your appointment. This may take the form of a mentoring arrangement with a more experienced External Examiner or additional contact with induction from a relevant member of staff. This support may be a condition of the approval of your appointment.

6.7 You may also be offered the opportunity to visit the Department/School/partner organisation to familiarise yourself with the programme, the institution and its procedures, before the assessment procedure.

6.8 The Head of Department/School/LPO is responsible for ensuring that you are informed of any changes affecting your role and responsibilities.
6.9 **Key reference documents:** The following documents reflect the University’s regulatory and policy framework, with which you are expected to act in accordance as an External Examiner.

<table>
<thead>
<tr>
<th>Key reference document</th>
<th>Description, and how this relates to your role</th>
<th>Quick index of topics</th>
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<tr>
<td>Ordinance 15 on Examiners and Examinations <a href="http://www.bath.ac.uk/ordinances/15.pdf">http://www.bath.ac.uk/ordinances/15.pdf</a></td>
<td>This Ordinance establishes the requirement for External Examiners.</td>
<td>• Role of External Examiner</td>
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<td>Regulation 15 on Assessment of Undergraduate and Taught Postgraduate Programmes, including reference to the New Framework for Assessment: Assessment Regulations - for students on relevant programmes admitted from 2008/09 onwards, <a href="http://www.bath.ac.uk/regulations/Regulation15.pdf">http://www.bath.ac.uk/regulations/Regulation15.pdf</a> (<a href="http://www.bath.ac.uk/registry/nfa/nfa-introduction.pdf">http://www.bath.ac.uk/registry/nfa/nfa-introduction.pdf</a>)</td>
<td>An introductory guide to the New Framework for Assessment (NFA)), including key definitions and principles, is provided at <a href="http://www.bath.ac.uk/registry/nfa/nfa-introduction.pdf">http://www.bath.ac.uk/registry/nfa/nfa-introduction.pdf</a>. The NFA Assessment Regulations set out the expectations in full <a href="http://www.bath.ac.uk/registry/nfa/#nfaar">http://www.bath.ac.uk/registry/nfa/#nfaar</a>. The NFA sets out the assessment processes and standards to which External Examiners should adhere; the application of which should be one of the subjects of the External Examiners’ report.</td>
<td>• New Framework for Assessment • Boards of Examiners • Boards of Studies • Scaling • Award of credit • Degree classification</td>
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<tr>
<td>QA12 External Examing (Taught Provision) <a href="http://www.bath.ac.uk/quality/documents/QA12.pdf">http://www.bath.ac.uk/quality/documents/QA12.pdf</a></td>
<td>This section of the University’s QA Code of Practice sets out in formal terms the University’s expectations of External Examiners and the external examining process.</td>
<td>• Appointment • Induction • Assessment • Moderating • Boards of Examiners • Quality enhancement • Reporting</td>
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<td>QA3 Approval of New Programmes of Study <a href="http://www.bath.ac.uk/quality/documents/QA3.pdf">http://www.bath.ac.uk/quality/documents/QA3.pdf</a></td>
<td>Annex A sets out the University’s academic framework, and Annex B the University’s credit framework, with which all programmes of study should conform unless an explicit exemption has been granted by Programmes and Partnerships Approval Committee. It is part of your responsibility to ensure that these, together with national frameworks, are being upheld.</td>
<td>• Credit framework • Modular framework • Qualifications framework</td>
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<tr>
<td>QA16 Assessment, Marking and Feedback to Students <a href="http://www.bath.ac.uk/quality/documents/QA16.pdf">http://www.bath.ac.uk/quality/documents/QA16.pdf</a></td>
<td>This section of the University’s QA Code of Practice provides commonly used definitions used in assessment, and defines University expectations for assessment, marking and feedback to students. The processes employed by Departments/School/LPO in this regard should be open to audit by External Examiners.</td>
<td>• Assessment • Marking • Moderation • Feedback to students</td>
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<tr>
<td>QA53 Examination and Assessment Offences <a href="http://www.bath.ac.uk/quality/documents/QA53.pdf">http://www.bath.ac.uk/quality/documents/QA53.pdf</a></td>
<td>This section of the University’s QA Code of Practice sets out the University’s processes for dealing with examination and assessment offences including plagiarism. In particular, if an allegation has not been</td>
<td>• Assessment offences • Plagiarism</td>
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<tr>
<td>Key reference document</td>
<td>Description, and how this relates to your role</td>
<td>Quick index of topics</td>
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<td>resolved before the Board of Examiners meets, then that student's performance cannot be considered. Once the allegation has been resolved, it is expected that the Department/School/LPO will consult the External Examiner on the best way to proceed. If an External Examiner, in the course of reviewing student work, suspects an examination or assessment offence has been committed, the Department/School/LPO should be informed immediately, so the process set out in section 6 of QA53 and Regulations 7 and 8 (<a href="http://www.bath.ac.uk/regulations/">http://www.bath.ac.uk/regulations/</a>) can be carried out.</td>
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Abbreviated as IMCA, these are a set of principles and procedures governing the consideration of individual mitigating circumstances. They identify the difference between individual and structural mitigating circumstances, indicate what are common individual mitigating circumstances, and set out the procedures for dealing with these. Departmental panels are required to consider claims by students in advance of Boards of Examiners. |

**• Individual Mitigating Circumstances**

| Equal Opportunities for Students Policy  
[http://www.bath.ac.uk/equalities/policiesandpractices/EqualQualityObjectives.pdf](http://www.bath.ac.uk/equalities/policiesandpractices/EqualQualityObjectives.pdf)  
The University is committed to providing equality of opportunity for all students and staff. External Examiners are expected to act in accordance with this policy. |

**• Equal opportunities**

| Data Protection and Freedom of Information  
[http://www.bath.ac.uk/foi/index](http://www.bath.ac.uk/foi/index)  
[http://www.bath.ac.uk/internal/data-protection/](http://www.bath.ac.uk/internal/data-protection/)  
Data protection legislation is relevant to the storage of personal data about External Examiners (see 5.4); the handling of student data during the assessment process (see 7.12, 7.22); and, together with Freedom of Information legislation, is pertinent to the handling of External Examiners’ reports (see 9.6). |

**• Data Protection**  
**• Freedom of Information**

6.10 The New Framework for Assessment has now almost entirely replaced the separate assessment regulations for individual programmes or sets of programmes. The phasing in of these regulations began with the incoming undergraduate cohort of 2008/09 and now includes most undergraduate programmes including foundation degrees and their associated Honours Years, postgraduate taught degrees and CPD programmes. Regulation 15 ([http://www.bath.ac.uk/regulations/Regulation15.pdf](http://www.bath.ac.uk/regulations/Regulation15.pdf)) defines which programmes are covered by the New Framework for Assessment, and which lie outside it. No changes are normally made to assessment procedures and regulations for earlier cohorts. Hence, there may be occasional instances where there are two systems functioning alongside each other as the existing assessment regulations are phased out and the New Framework for Assessment phases in. The Department or School that owns the programme(s) to which you are appointed can advise you on this.
6.11 The key reference documents for programmes outside the New Framework for Assessment are:

<table>
<thead>
<tr>
<th>For students on programmes outside the New Framework for Assessment, and/or admitted prior to 2008/09: University Regulations, particularly Regulation 15 on Assessment of Undergraduate and Taught Postgraduate Programmes <a href="http://www.bath.ac.uk/regulations/">http://www.bath.ac.uk/regulations/</a></th>
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<tr>
<td>Regulation 15 defines in outline the University's procedures for summative assessment, including the position taken on the use of calculators and dictionaries.</td>
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<tr>
<td>This section of the University's QA Code of Practice sets out for programmes which are not under NFA the procedures on Boards of Examiners for Units, Boards of Examiners for Programmes, and Boards of Studies, as well as for use of scaling, the award of credit and degree classification. The Regulations and QA Code of Practice, supplemented by any assessment regulations specific to the programme, set out the assessment processes and standards to which External Examiners should adhere; the application of which should be one of the subjects of the External Examiner’s report.</td>
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</tbody>
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| • Assessment  
• Boards of Examiners  
• Boards of Studies  
• Scaling  
• Award of credit  
• Degree classification |

6.12 Examiners are also expected to take nationally recognised frameworks into account:

- where applicable, the expectations of professional accrediting bodies.
7. **Your role in assessment**

7.1 One of the core roles of the External Examiner is to assure the quality of final assessment processes and ensure that academic standards of awards are set and maintained at the appropriate level. Final assessments are defined in University Regulations as those assessments the results of which count in determining the award or the level of the final award (Degree, Diploma or Certificate of the University).

7.2 The External Examiner should be an independent and impartial adviser who provides informed comment upon the academic standards set and the students’ achievement in response.

7.3 The role of the External Examiner is to verify the assessment process and assure overall standards rather than to seek to judge individual cases.

7.4 In support of these general principles, the External Examiner is involved in:
   - assuring the quality and validity of assessments at the design stage, including the quality of assessment criteria and the approval of questions;
   - assuring the quality of the marking and grading processes, including the quality of marking, moderation/double marking, scaling, etc;
   - assuring the correct application of relevant assessment regulations;
   - assuring the fairness of the examining and examination board processes;
   - ensuring the consistent use of marking boundaries for units and helping Departments/Schools/partner organisations to calibrate their marking;
   - verifying that the standards achieved by students are appropriate to the level of study;
   - confirming that the academic standards sought and achieved are comparable with other universities in the United Kingdom.

These principles are drawn from QA12 External Examining (taught provision), section 6.

7.5 You are therefore expected to:
   - comment by the deadline specified on draft examination papers or other proposed forms of assessment referred to you;
   - review the work of students;
   - provide input to relevant meetings of the Board of Examiners for Units;
   - attend all Boards of Examiners meetings at which your attendance is required, participating as a full member by contributing to decisions/recommendations being made.

7.6 **Moderating the setting of assignments and examination papers:** The first responsibility that you are likely to undertake will be the reviewing of and commenting upon examination questions and other assignments. The University expects that all summative examination papers and summative assessment tasks which make a significant contribution to a final award of the University, should be externally moderated following the internal moderation procedure. Other supporting materials, such as model solutions and/or marking criteria, will be provided where appropriate to the discipline.

7.7 The University expects that each piece of assessment that contributes to a final award should have clear marking criteria or model answers appropriate to the discipline. You are therefore asked to comment upon the quality of assessment criteria as well as to review examination questions and assignments.

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1 defined as all work contributing 7% or more towards degree classification
7.8 As you will appreciate, the preparation of examination papers is a significant and time-critical task. We therefore encourage you to work closely with your nominated contact to ensure that examination papers are prepared, not only to the highest standard, but also in a timely fashion.

7.9 Procedures for moderation are open to audit by External Examiners who may advise on the appropriateness of the mechanisms for moderating the summative assessments set.

See:
- QA12 External Examining, section 6 (http://www.bath.ac.uk/quality/documents/QA12.pdf)
- QA16, Assessment, Marking Feedback to Students (http://www.bath.ac.uk/quality/documents/QA16.pdf)

7.10 Reviewing student work: An External Examiner has the right to see all degree examination scripts and any assignments contributing to the assessment of the final award. In cases where it is agreed that only a selection of scripts shall be inspected, the principles for such selection must be agreed in advance and must normally include those around classification borderlines (on the understanding that borderline candidates should be considered collectively rather than as individual cases). Where a selection has been agreed, External Examiners may wish to see a representative sample from the top, middle and bottom of the range, and all failures. The guiding principle is that External Examiners should have seen sufficient assessments to assure themselves that internal marking and the resultant classification of awards are of an appropriate and consistent standard.

7.11 As External Examiner, you will be asked to review and comment upon student work that has already been assessed internally. This may be sent to you in advance of the Board of Examiners' meeting. Alternatively, if arrangements have been made for this, you may undertake the review while visiting the University, before the Board of Examiners' meeting.

7.12 When looking at student work, you are expected to determine whether the academic standards are comparable, in your professional opinion, with national frameworks, and with any similar programmes in your own institution or other institutions for which you are an External Examiner.

7.13 You are expected to respect the confidentiality of the materials you review. Any personal data must be held securely, and details of examination scripts or project/dissertation work must not be disclosed to a third party without prior permission. All student work must be returned to the Department/School/partner organisation upon completion of the assessment process. Examination scripts themselves may not be disclosed following a subject access request under the Data Protection Act 1998, but students do have right of access to any comments or notes recorded on the script. Do not therefore record any comments on an examination script that you would not be happy for a student to see.


7.14 Participation in Boards of Examiners’ meetings: External examiners are members of relevant Boards of Examiners for Units and Boards of Examiners for Programmes. External Examiners are involved in agreeing marks contributing towards final awards and the determination of final degree classifications. External Examiners are invited to attend meetings of Board of Examiners for Units for those meetings where marks contributing towards final awards are being determined and where they do not attend their input will be obtained. They
are required to attend meetings of the Boards of Examiners for Programmes. The University will not make an award without participation in the examining process by at least one Examiner external to the University.

7.15 The Department/School/LPO will contact you in advance in order to establish a date for the Board of Examiners’ meeting(s) at which your attendance is required. If in an emergency, you are not able to attend a meeting, please contact your nominated contact immediately in order that an alternative arrangement can be made.

7.16 Your nominated contact will brief you further on the operation of the Board of Examiners. The formal procedures for Boards of Examiners are set out in full in the New Framework for Assessment: Assessment Regulations and in QA35 Assessment Procedures for programmes not under NFA. These documents include the formal procedures for consideration of mitigating circumstances, scaling of marks, award of credit and degree classification. http://www.bath.ac.uk/registry/nfa/index.htm

e.g. paras 42 – 91 of http://www.bath.ac.uk/registry/nfa/nfaar-ug.pdf and paras 38 – 37 of http://www.bath.ac.uk/registry/nfa/nfaar-pgt.pdf


7.17 A Board of Examiners makes collective decisions with all members being full and equal, and no one member having primacy. External Examiners may be called upon to advise but it is the Board of Examiners as a body that must reach a collective decision.

7.18 The focus of your role and that of the Board of Examiners should generally be upon overall standards and upon the fair application of relevant regulations and processes, rather than upon consideration of individual student cases. For example, if scaling is considered to be necessary in any unit, then it must be done in accordance with University regulations (see appendix 8 of the appropriate NFAAR document (NFAAR-UG, NFAAR-PGT, NFAAR-FD, NFAAR-HY, NFAAR-CPD).

7.19 These meetings are, by their nature, formal in tone, but this should not prevent you from commenting on the quality of awards or on the examination process as you see fit.

7.20 You should sign the record of the decisions taken by the Board of Examiners for Programmes which will then be recommended to the Board of Studies in making the award on behalf of Senate.

7.21 Minutes of Boards of Examiners meetings constitute personal data. You should therefore respect the confidentiality of Boards of Examiners meetings, and be aware that the minutes of meetings may be made available to a student making a subject access request under the Data Protection Act.

7.22 If after thorough and careful discussion, an External Examiner should feel unable to participate in the collective decision of the Board of Examiners or to endorse the conduct of the assessment process the Secretary to the Board will make a full report to the Board of Studies in the Minutes of the meeting of the Board of Examiners. Boards of Studies have responsibility for consideration of the recommendations of Boards of Examiners for Programmes and approve decisions on progression and the conferment of awards under authority from Senate.
See QA12 External Examining (taught provision), section 6:

New Framework for Assessment: Assessment Regulations:
http://www.bath.ac.uk/registry/nfa/nfa-introduction.pdf

8. Quality enhancement

8.1 As indicated above, the University values your expertise in contributing to the ongoing enhancement of the quality of the University’s provision through commenting and advising on the content, balance and structure of programmes and units, the development of programmes/units and on assessment strategies and processes.

8.2 Your involvement may take a variety of forms:

- your visits are an opportunity for the Department/School/partner organisation to discuss with you the structure of the programme(s) of study and the curriculum, and to share ideas in light of your expertise in the discipline/experience of similar programmes in peer institutions;
- your reports are used to inform the process of Annual Monitoring of units and programmes, contributing to the action plan of developments and enhancements to the programme(s) planned for the year ahead;
- your reports and comments also form part of the evidence base for periodic review of the programme(s): Degree Scheme Review. As an External Examiner, you will not be a member of the Degree Scheme Review Panel, but your reports will be supplied to the Review Panel, and the Department/School may also invite you to contribute further comments to present as evidence to the Review Panel. Degree Scheme Review is an opportunity for the Department/School to step back from the day-to-day development and delivery of a programme, drawing upon input from academic peers, professional bodies, employers and students, in order to revisit the aims and intended learning outcomes of the programme, examine the existing quality of provision and identify opportunities for ongoing improvement;
- when proposing amendments to programmes of study affecting the nature and pattern of assessment, Departments/Schools/the LPO will invite your comments on the proposal. The aim of this is to seek your advice on the potential impact of a proposed change upon academic standards, but also, through peer review, to ensure that proposals take account of best possible practice.

9. Your External Examiner’s report

9.1 You are required to provide an annual report on the programme(s) and/or unit(s) for which you are appointed, including observations on academic standards, aspects of good practice, learning and teaching, programme structure and content.

9.2 The University has a standard template for External Examiners’ reports which is appended for reference to this handbook (Appendix A). The most recent version of the template is always available for download from the Learning and Teaching Enhancement Office website: http://www.bath.ac.uk/quality/documents/QA12-form-2-report.doc

9.3 In the report, you are asked to comment on the appropriateness of academic standards, adequacy of information, appropriateness of learning outcomes and assessment, the arrangements for the Board of Examiners and the examination process, and the quality of learning and teaching methods. There is no prescribed length for reports, however, you are asked to provide reports that are as full and detailed as possible.

9.4 Where a programme is delivered via a number of modes or partners, this should be reflected in your report, either by the submission of separate reports, or by clear differentiation of comments on each mode or partner within the body of a single report.

9.5 If this is your final year as External Examiner, we would welcome your further comments upon your period of office. This report is then made available to the incoming External Examiner.

9.6 The External Examiner’s report form is divided into two parts. In keeping with the University’s commitment to the informed student voice, the University shares part 1 of the form with students via dedicated web pages to which all students have access and with student Academic Representatives via Staff Student Liaison Committees. It is expected that the majority of your comments will be provided within Part 1 of the form. You should NOT include any data relating to individual staff or students in Part 1. Part 2 is provided for instances where you find it necessary to make comments relating to an individual student or member of staff or make comments of particular sensitivity or importance (The full formal statement of the University’s position is provided in QA12 External Examining: http://www.bath.ac.uk/quality/documents/QA12.pdf and on the report form itself).

9.7 If you feel that there are any matters of serious concern arising from the process which may put the standard of the University’s awards at risk, you should report this to the Vice-Chancellor.

9.8 Your annual report should be completed and submitted to the Vice-Chancellor, rather than to the Department/School/LPO, within six weeks of the completion of the examination process. We recognise that our External Examiners give important feedback on the operation of our programmes, and the timely receipt of reports enables us to take early action to address issues raised and make an impact on the experience of the next cohort of students. It is therefore vital that you meet the deadline for the submission of reports.

9.9 Where possible, reports should be submitted electronically to: externalexaminers@bath.ac.uk. Alternatively, they can be sent by post to: Professor Dame Glynis Breakwell, Vice-Chancellor, University of Bath, Claverton Down, Bath BA2 7AY. This enables us to acknowledge receipt promptly.
9.10 If we do not receive a report from you, you will receive a reminder from the Head of Department/School/LPO. If a report is still not forthcoming, a further reminder will be sent to you on behalf of the Vice-Chancellor.


9.11 **What happens to your report?** You can expect consideration to be given to any concerns that you raise and can expect to have the nature of any resultant action or rationale for lack of action communicated to you.

9.12 Once you have submitted your report, its receipt will be acknowledged by the Learning and Teaching Enhancement Office, and it will be circulated to relevant staff in the Department/School/LPO and Faculty. The Chair of the University Learning, Teaching and Quality Committee, the Pro-Vice-Chancellor (Learning and Teaching) will sample some reports.

9.13 Having received your report, the Head of Department/LPO should respond to you in writing, normally within six weeks of receipt of the report. A copy of this response will be lodged with the Learning and Teaching Enhancement Office.

9.14 The Head of Department/School/LPO is responsible for ensuring that any matters of concern raised in your reports are addressed at programme level, by raising specific points with the academic staff responsible for the delivery of the programme of study. Where the requirements of external professional bodies are the focus of comments, the Head of Department/School/LPO is also responsible for informing those bodies of action taken in response to your report. In practice, some of these duties may be delegated to an appropriate member of staff, such as the Director of Studies.

9.15 Where broader issues are raised, action is taken at the appropriate level, whether this is at the level of the faculty or the institution.

9.16 Your report and the response to it are considered internally as part of the Annual Monitoring of Programmes; and an annual overview of issues and good practice raised by External Examiners is prepared for consideration by the University’s Learning, Teaching and Quality Committee.

9.17 Your report may also be made available to public and professional bodies in processes of audit and accreditation.

9.18 If you have very serious and continuing concerns about issues related to standards and have already exhausted previous discussions with the Head of Department or the Dean but without satisfaction, you may contact the Vice Chancellor directly and confidentially by emailing her at G.Breakwell@bath.ac.uk or by post (address above in 9.9) with ‘confidential’ in the address or heading.

9.19 Beyond this stage, in extreme cases, you have recourse to the procedures set up by the Quality Assurance Agency for investigating concerns raised about issues related to standards: see [www.qaa.ac.uk/complaints/concerns/pages/default.aspx](http://www.qaa.ac.uk/complaints/concerns/pages/default.aspx).
Appendix A to Handbook for External Examiners

FOR USE FROM 1 AUGUST 2014 ONWARDS

External Examiner’s Annual Report
Taught Programmes of Study

Please do not be constrained by the space and headings provided on the printed version of this form. You are invited to comment as extensively as you wish under all headings and on any other matters which you feel are important.

The 2-part form

The principle of peer review and the importance of the informed student voice are central to the University’s approach to quality management. The University recognises that students need to have access to a range of information about the quality and standards of their programme and also that External Examiners need to be assured of a degree of confidentiality so that their feedback may be open and frank. This form is divided into two parts in order to serve both purposes.

Part 1 is shared, after personal details have been removed, with students via a dedicated web page to which all students have access, and discussed by student Academic Representatives at Staff/Student Liaison Committees. It is expected that the majority of your comments will be provided on Part 1 of the form. You should NOT therefore include any data relating to individual students or staff in Part 1;

Part 2 of the report form is provided for instances where you think it necessary to:
- make comments relating to an individual student or member of staff; and/or,
- make comments on an issue which you regard as sensitive or of particular significance, such that broader circulation may not be appropriate.

Part 2 of the report form will not be shared with student representatives as a matter of course. However, you should be aware that the University may be obliged to disclose the contents in response to a specific Data Protection or Freedom of Information request. The University will consider such requests on a case by case basis and will endeavour to consult with you prior to disclosure. Further information regarding the University’s policies on Data Protection and Freedom of Information is available at: http://www.bath.ac.uk/internal/data-protection/
http://www.bath.ac.uk/foi/

Consideration of reports

External Examiners’ Reports are considered by staff including the Pro-Vice-Chancellor (Learning and Teaching), the Dean of Faculty/School, Associate Dean, Heads of Department/School/Learning Partnerships Office. Action is taken at a level appropriate to the issue raised. The Head of Department/Associate Dean (in the School) will contact you in due course to respond to the points made in your report and to indicate any specific action to be taken as a result.

Please complete and return this form by email to externalexaminers@bath.ac.uk within six weeks of the completion of the assessment process. Alternatively if you prefer to send a printed copy, this should be addressed to: Professor Dame Glynis Breakwell, Vice Chancellor, University of Bath, Claverton Down, BATH, BA2 7AY. The payment of fees and expenses will be authorised once the report has been received.
**INTRODUCTION**

*For completion by the Faculty/School, prior to forwarding to the External Examiner.
Personal data about the External Examiner will be removed before the report is shared with students.*

<table>
<thead>
<tr>
<th>Name of External Examiner:</th>
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<table>
<thead>
<tr>
<th>Home Institution or professional organisation of External Examiner, including address:</th>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Address of External Examiner (only add home address if self-employed):</th>
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</table>

<table>
<thead>
<tr>
<th>Academic year/period to which the report applies:</th>
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</table>

<table>
<thead>
<tr>
<th>Title(s) of the named award(s) to which the External Examiner has been appointed:</th>
</tr>
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<tbody>
<tr>
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<table>
<thead>
<tr>
<th>List of units to which the External Examiner has been appointed (where the External Examiner is responsible for part of the award only):</th>
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<table>
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<tr>
<th>Director of Studies:</th>
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<thead>
<tr>
<th>Department:</th>
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</table>
PART 1 (for completion by External Examiner)

PLEASE NOTE: This part of the report will be shared with students via student Academic Representatives and Staff/Student Liaison Committees, once your address and Part 2 of the report have been removed. It is expected that the majority of your comments will be provided within Part 1 of the form.

You should NOT name individuals or include any data relating to individual students or staff in Part 1.

Delete as applicable

<table>
<thead>
<tr>
<th>1</th>
<th>Summary Information</th>
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</thead>
</table>
| 1.1 | In your view are the threshold standards set for the award(s)/parts of award(s) consistent with the frameworks for higher education qualifications and relevant subject benchmark statements.  
The framework for higher education qualifications in England, Wales and Northern Ireland  
UK Quality Code for Higher Education Part A: Setting and maintaining academic standards  
Subject Benchmark Statements  
*If no, please provide a statement of the respects in which they differ. | Yes/No * |
| 1.2 | In your view are the standards of student performance comparable with similar programmes or subjects in other UK institutions with which you are familiar?  
*If no, please provide a statement of the respects in which they are not comparable. | Yes/No * |
| 1.3 | In your view are the processes for assessment, examination and the determination of awards sound and fairly conducted?  
If no, please provide a statement of the respects in which they fall short. | Yes/No * |

Please feel free to comment on strengths and weaknesses in all areas covered by the form.

<table>
<thead>
<tr>
<th>2</th>
<th>Programme</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Please comment on the adequacy of the information supplied by the Department on the following:</td>
</tr>
<tr>
<td></td>
<td>a) Structure of programme(s)</td>
</tr>
<tr>
<td></td>
<td>b) Content of individual unit(s)</td>
</tr>
<tr>
<td></td>
<td>c) Assessment regulations and process</td>
</tr>
</tbody>
</table>

| 2.2 | Please comment on the appropriateness of the learning outcomes and structures of the units/programme(s) in relation to: |
| | a) The subject matter |
| | b) The level of award (e.g. FD/BA/BSc/Diploma/MA/MSc) |


2.3 Any other programme-related comments:

<table>
<thead>
<tr>
<th>3</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>Please comment on whether the examinations and other assessments were appropriate and fair with regard to:</td>
</tr>
<tr>
<td></td>
<td>a) the overall loading of assessment in relation to the number of credits awarded</td>
</tr>
<tr>
<td></td>
<td>b) testing that learning outcomes have been achieved for individual students</td>
</tr>
<tr>
<td>3.2</td>
<td>Please comment on the arrangements for you to moderate and advise on draft examination papers and assessed coursework questions</td>
</tr>
<tr>
<td>3.3</td>
<td>Please evaluate the arrangements for you to comment on proposed criteria for assessment and indicate whether the comments you made were acted upon.</td>
</tr>
<tr>
<td>3.4</td>
<td>Please comment on the arrangements for receipt/scrutiny of examination scripts and coursework.</td>
</tr>
<tr>
<td>3.5</td>
<td>Please comment on the marking of scripts and other assessed work in relation to:</td>
</tr>
<tr>
<td></td>
<td>a) the impartiality and thoroughness of marking</td>
</tr>
<tr>
<td></td>
<td>b) the assessment criteria</td>
</tr>
<tr>
<td></td>
<td>c) the thoroughness of feedback to students</td>
</tr>
<tr>
<td></td>
<td>d) your agreement with the marks and grades</td>
</tr>
<tr>
<td>3.6</td>
<td>Any other comments on assessment:</td>
</tr>
</tbody>
</table>

4 Boards of Examiners
<table>
<thead>
<tr>
<th>4.1</th>
<th>Please comment on whether the arrangements for the meeting of Boards of Examiners and, in particular, the role of the External Examiner in these procedures, were appropriate.</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2</td>
<td>Please comment on the standards demonstrated by the students and any strengths or weaknesses of the students as a cohort.</td>
</tr>
<tr>
<td>4.3</td>
<td>Any other comments on Boards of Examiners:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5</th>
<th><strong>Good practice</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Where appropriate, please provide a description or bullet point list of any particular strengths or distinctive or innovative features in relation to the programme(s), academic standards and assessment processes.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6</th>
<th><strong>Other Comments</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1</td>
<td>If you made any suggestions in your report last year, are you satisfied that these have been properly considered?</td>
</tr>
<tr>
<td>6.2</td>
<td>Please use this space to state any other matters which you would wish to raise.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7</th>
<th><strong>Overview report from examiners in their final year of appointment</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>7.1</td>
<td>If this is your <strong>final year as an External Examiner</strong>, please provide an overview of your term of office, which may be passed on to the incoming External Examiner.</td>
</tr>
</tbody>
</table>

END OF PART 1
PART 2: Restricted *(for completion by External Examiner)*

This part of the report form is provided for instances where you think it necessary to:

- make comments relating to an individual student or member of staff and/or,
- make comments on an issue which might be regarded as sensitive or of particular significance, where broader circulation may not be appropriate. These might include categories that the University has defined as restricted under the Freedom of Information Act, such as information that might prejudice the University’s commercial interests, information held under obligation of confidentiality or information that is intended for publication at a later date.

Part 2 of the report form will not be shared with student representatives as a matter of course. However, you should be aware that the University may be obliged to disclose the contents in response to a specific Data Protection or Freedom of Information request. The University will consider such requests on a case by case basis and will endeavour to consult with you prior to disclosure. Further information regarding the University’s policies on Data Protection and Freedom of Information is available at:

http://www.bath.ac.uk/internal/data-protection/
http://www.bath.ac.uk/foi/

Name:  ........................................................................  Date:  ...........................
Appendix B to Handbook for External Examiners

Postgraduate Commonality Rules

http://www.bath.ac.uk/studentrecords/sreo.bho/pgcommonality.htm

Most programmes now come under NFAAR-PGT, and NOT these earlier Rules. Please check with the Director of Studies if you are not clear which apply. (These rules formed the basis for the NFAAR-PGT.)