

## **17. CONDUCT OF STUDENT ACADEMIC APPEALS AND REVIEWS**

### **INTRODUCTION**

#### **Scope**

- 17.1** This Regulation applies to all programmes of study leading to an award of the University. It gives effect to the responsibility of Senate prescribed in Statute 19.43: *To consider, to adjudicate upon, and, if thought fit, uphold academic appeals by students relating to (a) progression from one part of the programme of studies to the next; or (b) the outcome of examinations or formal course assessments; or (c) dissatisfaction of a student with the level of attainment where there exists new and relevant information concerning matters which might have affected that student's performance.* It provides the means whereby individual students may appeal against decisions made by a Board of Studies relating to their academic progress, the marks/grades, degrees, certificates or diplomas, and the classifications/grades awarded to them. Dissatisfaction with a mark or set of marks, or any other aspect of the properly exercised academic judgement of the examiners, will not of itself be acceptable as a valid ground for an Academic Appeal. The procedure for submitting complaints about other matters is set out in Appendix 1 to the Regulations.
- 17.2** Students who have concerns about assessment outcomes that have not yet been approved by a Board of Studies should seek advice in the first instance from their Director of Studies. This may include matters such as suspecting errors in the totalling or transcription of marks/grades, or wishing to seek clarification about the marking process.

#### **Principles**

- 17.3** By means of this regulation, the University ensures that students can, in good faith, submit an Academic Appeal and not be penalised for so doing. Students' requests will be addressed fairly, promptly and, so far as is compatible with proper consideration of the case, confidentially. Any complaint which might arise in this regard may be addressed by means of the procedure set out in Appendix 1 to the Regulations.
- 17.4** It is the responsibility of students making an Academic Appeal to behave responsibly and not to make unwarranted or unsubstantiated allegations concerning the personal or professional reputations or conduct of members of University staff.
- 17.5** From time to time, a group of students might wish to submit a group Academic Appeal.
- a) If a group appeal is deemed by the Chair of the Board of Studies to be an appropriate method to deal fairly with the circumstances of the individual students involved, the Chair of the Board of Studies will invite the group to nominate one student to act as the group representative. The Chair of the Board of Studies will deal with the group representative, and this student will be expected to liaise with the other students. It is expected that appropriate adjustments may need to be made to the processes described here, including, for example,

Executive Action being determined as applicable to all in the group, or an Appeal Hearing being conducted collectively for the group. Individuals' personal data should not be disclosed to the group, and outcomes that reflect individual circumstances should be communicated directly and separately to all group members.

- b) If a group appeal is deemed by the Chair of the Board of Studies to be an inappropriate method to deal fairly with the circumstances of the individual students involved, the Chair of the Board of Studies may elect to invite the students to submit appeals individually, within seven days of the invitation to do so. In such cases, consideration of the individual cases will follow the normal processes described here.

- 17.6** Both students and staff may seek guidance in relation to student Academic Appeals and Reviews as appropriate. For example, a student may seek guidance on drafting the appeal or request for review from an appropriate source such as the Postgraduate Association or the Students' Union. Guidance on the University's Student Academic Appeals and Reviews procedure, and about the Complaints procedure, is available at <http://www.bath.ac.uk/students/support/complaints/index.html>

## **Disclosure**

- 17.7** In accordance with the provisions of Statute 28, no papers, minutes or other records which relate to reserved areas of business shall at any time be made available to a student, except insofar as the papers, minutes or other records constitute the student's own personal data. Reserved areas of business include those concerning decisions on the academic assessment of individual students; in any case of doubt, the Chair of the Board of Studies shall decide whether a matter is a reserved area of business or not, and the Chair's decision shall be final.
- 17.8** Guidance on the disclosure of papers relating to an Academic Appeal is available on the University's Data Protection Website (<http://www.bath.ac.uk/data-protection/guidance/academic-appeals/index.html>). Further advice is also available from the University's Legal Adviser.

## **OVERVIEW OF PROCESS**

### **Preparatory appointment of Board of Studies Appeal Hearing panel members**

- 17.9** At the start of the academic year, each Faculty will appoint two members of academic staff from each Department within the Faculty who are not members of the Board of Studies and have experience of student matters (for example, as a Director of Studies) to serve as Board of Studies Appeal Hearing panel members. The membership of any Board of Studies Appeal Sub-Committee will include members drawn from this panel, and the Chair of the Board of Studies will seek advice from appropriate members of the panel when specified types of Executive Action may be proposed. The School of Management **and the Doctoral College** will co-opt at least three members from the Faculty panels to serve as its Board of Studies Appeal Hearing panel members.

## **Stage 1 (Academic Appeal)**

**17.10** An Academic Appeal will initially be considered by the Chair of the appropriate Board of Studies. The Chair will determine either a) that a *prima facie* case has been established such that an Appeal Hearing must be held or Executive Action taken, or b) that no *prima facie* case has been established, with the consequence that no further action should be taken.

## **Stage 2 (A) (Review of Stage 1 Academic Appeal outcome where no *prima facie* case has been established)**

**17.11** Where the outcome of an Academic Appeal is that no *prima facie* case has been established, the student may ask the Director of Academic Registry for a review of the process and its outcome. The Director of Academic Registry will determine a) that an Appeal Hearing should take place, or b) that the Chair of the Board of Studies should be invited to take Executive Action, or c) that no further action should be taken. A decision by the Director of Academic Registry that no further action should be taken constitutes completion of internal procedures.

## **Stage 2 (B) (Review of Appeal Hearing or Executive Action)**

**17.12** Where an Appeal Hearing has been held or Executive Action taken and the student disagrees with the outcome and wishes further evidence or procedural irregularities to be considered, the student may ask the University Secretary to convene a Student Academic Appeals Committee to consider the case. The University Secretary will determine whether, in accordance with Statute 19.43, a Student Academic Appeals Committee should be convened. Both the outcome of a Student Academic Appeals Committee and a decision not to convene one constitute completion of internal procedures.

## **Timescales for Appeal Hearings and Student Academic Appeals Committees**

**17.13** Timescales and arrangements for attendance at Appeal Hearings and Student Academic Appeals Committees may be negotiated (for example, in the case of distance-learning programmes). See also Regulations 17.26 and 17.44.

## **Appeal to the Office of the Independent Adjudicator**

**17.14** Where the University's internal procedures have been completed but the student remains dissatisfied, the student may submit the case to the Office of the Independent Adjudicator.

## **STAGE 1: ACADEMIC APPEALS**

### **Making an academic appeal**

**17.15** Dissatisfaction with a mark or set of marks, or any other aspect of the properly exercised academic judgement of the examiners, will not of itself be acceptable as a valid ground for an Academic Appeal.

**17.16** An Academic Appeal must meet all of the following four requirements:

- a) It must relate to a decision taken by a Board of Studies in respect of one or more of the following:
  - i. the student's suitability to progress from one stage of the programme of studies to the next;
  - ii. the student's suitability to remain on the programme of study;
  - iii. the marks/grades, degrees, certificates or diplomas, and the classifications/grades awarded to the student.
- b) It must be submitted, in writing, no more than fourteen calendar days after notification of the decision of the Board of Studies.
- c) It must be based on one or more of the following grounds:

*For both taught and research degrees*

- i. that there exist circumstances affecting the performance of the candidate of which the Board of Examiners have not been made aware and which the candidate could not reasonably have been expected to have disclosed to the Director of Studies in accordance with Regulation 15.3 (d);
- ii. that there were procedural irregularities in the conduct of the examinations or formal course assessments (including administrative error) of such a nature as to cause reasonable doubt whether the Board of Examiners would have reached its decision had the irregularities not occurred;
- iii. that there is positive evidence of prejudice, bias or inadequate assessment on the part of one or more of the examiners;

*For research degrees only*

- iv. that there were genuine academic differences in philosophical approach or paradigms which had not been apparent when examiners were appointed on the recommendation of the Board of Studies.
- d) It must include:
- i. a completed University Academic Appeal form, indicating the outcome(s) against which the student is appealing, the ground(s) on which the Appeal is based, and the student's desired action following consideration of the Appeal;
  - ii. all documentary evidence available to the student in support of the case;
  - iii. where relevant, a detailed explanation and documentary evidence if available as to why the student was previously unable to provide any new information now disclosed about the circumstances affecting her/his performance in accordance with the requirements of Regulation 15.3 (d).

**17.17** Where it is expected that consideration of a Stage 1 Academic Appeal will be completed after the start of the next stage of the programme, the Chair of the Board of Studies, in consultation with the Director of Academic Registry, will determine whether the student should be permitted to attend classes.

### **Consideration of an Academic Appeal**

**17.18** An Academic Appeal will be acknowledged in writing by the Chair. The Appeal will initially be considered by the Chair of the appropriate Board of Studies in consultation with the Head of the student's Department or, in the case of the School of Management, the relevant Associate Dean, or, in the case of the Natural Sciences programmes, the Head of Natural Sciences. The Chair has discretion to decide either a) that a *prima facie* case has been established such that an Appeal Hearing must be held or Executive Action taken, or b) that no *prima facie* case has been established with the consequence that no further action should be taken. To establish whether a case might be resolved through Executive Action, the Chair may consult with the Director of Studies and relevant internal examiners to assess the appropriateness of the student's desired action, or other possible actions, in the light of the circumstances, relevant regulations, and the student's academic profile.

**17.19** Stage 1 will be completed in a timely manner consistent with the Chair of the Board of Studies determining on the basis of the evidence provided by the student whether a *prima facie* case has been established. The Chair of the Board of Studies should reach a decision within thirty-five calendar days of receiving the Appeal. Where the conclusion of the Chair is that an Appeal Hearing should be held, the Chair will normally seek to communicate this decision to the student no more than twenty-eight calendar days after receipt of the request.

**17.20** Where the decision is that that no *prima facie* case has been established the student will be informed in writing in accordance with the timescales set out in Regulation 17.19 of the decision and of the student's right to submit a request to the Director of Academic Registry for a Review of the Academic Appeal outcome.

**17.21** Where the decision is that a *prima facie* case has been established and that Executive Action can be taken, the Chair of the Board of Studies will, following consultation where necessary with the Director of Studies and relevant internal examiners, inform the student in writing in accordance with the timescales set out in Regulation 17.19 of the proposed action to be taken. Where the relevant assessment regulations only permit action(s) other than the desired action indicated by the student, or where other permitted actions might be deemed to be in the student's best interests, the student will be invited to meet or correspond with the Chair about the available outcomes. The student may be accompanied by a friend or adviser. The aim of such discussion will be to resolve the Academic Appeal by timely and appropriate Executive Action. Where the decision relates to the conferment of an award, the Chair will consult by correspondence or meeting with appropriate members of the Board of Studies, and at least three members of the panel established in accordance with Regulation 17.9 not more than one of whom shall be from the student's academic Department or School. All Executive Action decisions will be reported to the Board of Studies and Senate (via the minutes of the Board of Studies).

**17.22** Where the decision is that a *prima facie* case has been established and that an Appeal Hearing will be held, the Board of Studies will normally delegate responsibility for the conduct and determination of Appeal Hearings to an Appeal Sub-Committee.

## **APPEAL HEARINGS**

### **Membership of the Board of Studies Appeal Sub-Committee**

**17.23** Membership of a Faculty Board of Studies Appeal Sub-Committee will normally include:

- a) The Chair of the Board of Studies or alternate if necessary (Sub-Committee Chair);
- b) Two nominated members of the Board of Studies from a Department other than that of the student;
- c) Two members of the Appeal Hearing panel described in Regulation 17.9 from a Department other than that of the student.

**17.24** Membership of the School of Management Board of Studies Appeal Sub-Committee **and the Board of Studies (Doctoral) Appeal Sub-Committee** will normally include:

- a) The Chair of the Board of Studies or alternate if necessary (Sub-Committee Chair, who should not have been the Chair of the Board of Examiners for Programmes that made the relevant recommendation to the Board of Studies);
- b) One nominated member of the Board of Studies;
- c) Three members of the Appeal Hearing panel described in Regulation 17.9.

**17.25** No member, other than the Chair, should have had a previous involvement with the case. If the Chair of the Board of Studies has had substantial previous involvement with the case which could be perceived as a conflict of interest, he or she will appoint an alternate as Chair of the Board of Studies Appeal Sub-Committee. If the Appeal Hearing takes place at the request of the Director of Academic Registry in accordance with Regulation 17.40, the Director of Academic Registry will have sole discretion to determine whether the Chair of the Sub-Committee will be the Chair of the student's Board of Studies, or the Chair of another Board of Studies.

### **Convening an Appeal Hearing**

**17.26** The student (and any friend or advisor specified in the original appeal application) should normally receive at least seven calendar days' written notice of the Appeal Hearing but, where it would be of benefit to the student, and the student is in agreement, the notification of an Appeal Hearing may be given at less than seven calendar days' notice subject to any reasonable constraining factors including the availability of members of the Board of Studies Appeal Sub-Committee.

**17.27** The notification will inform the student of the time and place of the Hearing and of the student's right:

- a) to be present throughout the Appeal Hearing, other than for the Sub-Committee's discussion of the case;
- b) to be accompanied at the Hearing by one friend or adviser;
- c) to be represented at the Hearing in the student's absence by one friend or adviser;
- d) to make additional written statements, provided that these are submitted to the Chair of the Sub-Committee no later than three calendar days before the Hearing. Any written evidence submitted after this time will not be considered by the Sub-Committee.

**17.28** The notification will include any written evidence already received by the Chair from witnesses. It is the student's responsibility to provide copies of the notification and any such evidence to any friend or adviser not specified in the original appeal application.

### **Conduct of an Appeal Hearing**

**17.29** The Chair of the Board of Studies Appeal Sub-Committee will make an introductory statement in the presence of the student and any friend or adviser, or the student's representative, concerning procedural matters.

**17.30** The Board of Studies Appeal Sub-Committee will consider the written and oral evidence presented by the student and any friend or adviser, or by the student's representative, and may invite witnesses to give evidence. These witnesses will not have voting rights, and the Chair, in consultation with members of the Sub-Committee, will have discretion to decide at what point during the Hearing any witnesses will be invited to speak to the Hearing and at what point they will be asked to withdraw.

**17.31** The student and any friend or adviser, or the student's representative, and/or any witnesses will be given an opportunity to ask questions of, and to respond to questions from, the Board of Studies Appeal Sub-Committee. The student and any friend or adviser, or the student's representative, may then make a closing statement. The student and any friend or adviser, or the student's representative, and the witnesses will withdraw while the Sub-Committee discusses the case.

**17.32** All members of the Board of Studies Appeal Sub-Committee will have equal voting rights.

**17.33** If the student or representative fails to attend the Hearing, having had notice of the time and place, the Board of Studies Appeal Sub-Committee may base its review on the student's written submission and the other records of the University concerning the student during attendance at the University.

**17.34** Referral will be made to appropriate External Examiners where necessary.

## **Outcome of an Appeal Hearing**

- 17.35** The outcome of the Board of Studies Appeal Sub-Committee's deliberations will normally be communicated to the student immediately after the Appeal Hearing and will be confirmed in writing within five working days.
- 17.36** Where the outcome is that action should be taken, this will be implemented at the earliest opportunity in favour of the student. The decision of the Board of Studies Appeal Sub-Committee will be reported to the Board of Studies and noted in the minutes of the Board of Studies for report to Senate.

## **Record of an Appeal Hearing**

- 17.37** The formal record of an Appeal Hearing should include a summary of the arguments put forward by all parties, a summary of the Board of Studies Appeal Sub-Committee's discussion including any counter arguments, and a record of the Sub-Committee's findings and decisions.

## **STAGE 2 (A): REVIEW OF A STAGE 1 OUTCOME WHERE NO PRIMA FACIE CASE WAS ESTABLISHED**

### **Requesting a Review**

- 17.38** A request for a Review of an Academic Appeal outcome must meet the following five requirements:
- a) It must be submitted, in writing, to the Director of Academic Registry no more than fourteen calendar days after notification of the decision of the Chair of the Board of Studies. A request lodged after the fourteen day period shall be invalid unless the Director of Academic Registry, in her/his sole discretion, has agreed an extension of time.
  - b) It must relate to a decision by the Chair of the Board of Studies, in response to an Academic Appeal, that no *prima facie* case had been established.
  - c) It must not seek to challenge any decisions taken by the Board of Studies other than those cited in the Academic Appeal.
  - d) It must not make reference to grounds other than those cited in the Academic Appeal, except for those arising from the student's dissatisfaction with the process or outcome of the consideration of the Appeal by the Chair of the Board of Studies.
  - e) It must include:
    - i. a copy of all the material submitted to the Chair of the Board of Studies in the Academic Appeal, together with any further material or documentary evidence



which the student could not reasonably have been expected to present as part of the original submission;

- ii. a clear statement, supported by evidence, of the grounds of the student's dissatisfaction with the process or outcome of the consideration of the Appeal by the Chair of the Board of Studies.

### **Review by the Director of Academic Registry**

**17.39** The review should be completed within twenty-eight calendar days of receipt by the Director of Academic Registry of the request. The Director of Academic Registry will decide whether or not an Appeal Hearing should be held or whether the Chair of the Board of Studies should be asked to take Executive Action, and this decision will be final.

**17.40** The Director of Academic Registry will determine:

- a) that a *prima facie* case has been established such that an Appeal Hearing must be held or Executive Action taken in accordance with the procedures set out in Regulations 17.23–17.37 or 17.21 respectively; or
- b) that no *prima facie* case has been established with the consequence that no further action should be taken.

**17.41** Where it is the Director of Academic Registry's decision that there are no grounds for holding an Appeal Hearing or taking Executive Action, a letter of completion of internal procedures will be issued. A student who is of the opinion that the case is unresolved may apply to the Office of the Independent Adjudicator.

### **STAGE 2 (B): REVIEW OF A STAGE 1 OUTCOME WHERE A PRIMA FACIE CASE WAS ESTABLISHED**

#### **Requesting consideration by a Student Academic Appeals Committee**

**17.42** A student who disagrees with the outcome of an Appeal Hearing or Executive Action and wishes further evidence or procedural irregularities to be considered may ask the University Secretary to convene a Student Academic Appeals Committee to consider the case.

**17.43** Such a request must meet the following four requirements:

- a) It must be submitted, in writing, to the University Secretary no more than fourteen calendar days after notification of the decision of the Appeal Subcommittee, or Chair of the Board of Studies in the case of Executive Action. A request lodged after the fourteen day period shall be invalid unless the University Secretary, in her/his sole discretion, has agreed an extension of time.
- b) It must relate to the decision reached in the Appeal Hearing/Executive Action.
- c) It must not make reference to grounds other than those cited in the Academic Appeal, except for those arising from the student's dissatisfaction with the procedures or outcome of the Appeal Hearing/Executive Action.

- d) It must include a clear statement of the grounds and a brief description of any new evidence.

### **Consideration by the University Secretary**

**17.44** The University Secretary will determine whether (in accordance with Statute 19.43) a Student Academic Appeals Committee should be convened. This decision will normally be notified to the student within twenty-eight calendar days of receipt by the University Secretary of the request. The University Secretary's decision concerning the need to convene a Student Academic Appeals Committee will be final.

**17.45** Where it is the University Secretary's decision that there are not grounds for a Student Academic Appeals Committee to be convened, a letter of completion of internal procedures will be issued. A student who is of the opinion that the case is unresolved may apply to the Office of the Independent Adjudicator.

### **Hearing by a Student Academic Appeals Committee**

**17.46** The procedures and timescales governing the Hearing by a Student Academic Appeals Committee are set out in the Standing Orders of Senate (see: <http://www.bath.ac.uk/orders/senate/>). Where a Student Academic Appeals Committee has been convened, its decision will be deemed to be final, except where it adjudicates that a student's degree classification should be altered, in which case this would form a recommendation to Senate for approval. In all cases, the decision of the Student Academic Appeals Committee will be reported to Senate. A letter of completion of internal procedures will be issued when the decision has been taken by the Student Academic Appeals Committee/Senate. A student who is of the opinion that the case is unresolved may apply to the Office of the Independent Adjudicator.

### **MONITORING ACADEMIC APPEALS AND REVIEWS**

An annual report of the number of Academic Appeals for each Faculty/School will be made to the relevant Board of Studies. An annual report of the number of Academic Appeals and Reviews will be made to the Council/Senate Students' Union Committee and to Senate.

(Further guidance regarding the University's Student Academic Appeals and Reviews Procedure is available at: <http://www.bath.ac.uk/registry/appeals/>)

*Amendments to these Regulations are approved by Senate. Any such amendments are identified above and will take effect from the date shown.*

*Date of Last Update: 19th September 2017*