

# External examining at DMU

For forms, templates, and further guidance, please contact:

Louise Newell,

Quality Officer (External Examiners/Awarding Bodies)

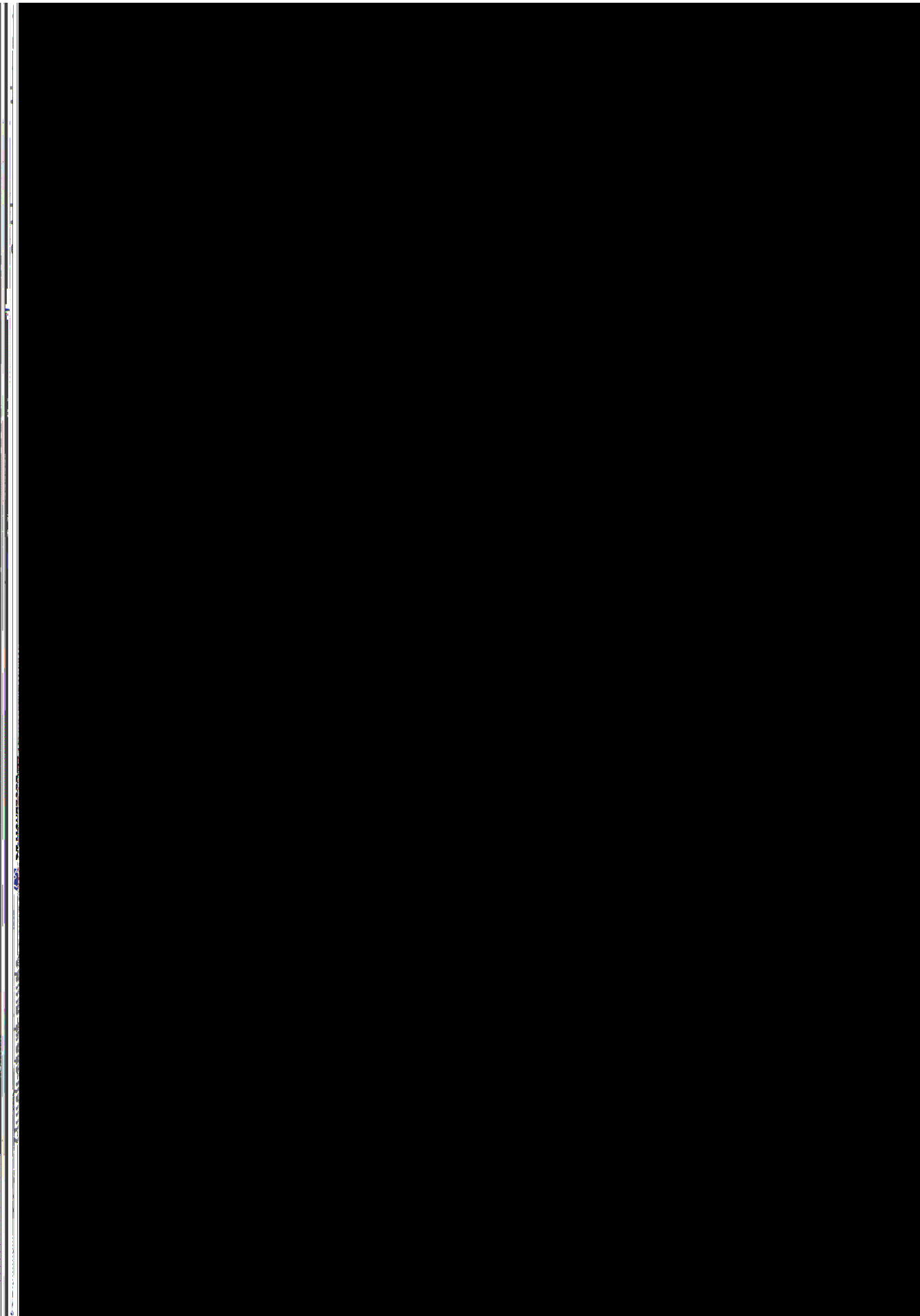
T: (0116) 250 6076

E: [lnewell@dmu.ac.uk](mailto:lnewell@dmu.ac.uk)

W: [dmu.ac.uk/external-examining](http://dmu.ac.uk/external-examining)

## Introduction

This guide relates to all taught provision. Guidance on external examiners for research provision is available from the Doctoral College. It draws upon the University's Academic



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## Section 1: Appointing an external examiner

### Guidance for identifying potential external examiners

Approximately a year before an external examiner's term of office is due to expire, the Quality Officer (External Examiners/Awarding Bodies) will advise the faculty associate professor (quality) that replacement examiners must be sought. Board chairs/programme teams are advised to start looking for replacement examiners at this point. In addition, the Faculty Academic Committee (FAC) should review the whole of the faculty's external examiner provision at the beginning of every academic year and identify external examiners coming to the end of their term of appointment the following academic year. Ideally, external examiner vacancies should be presented to the first programme management board (PMB) of the academic session to confirm their status. Heads of school / department should review the pool of examiners in post to ascertain if inexperienced external examiners can be adequately supported by current external examiners.

When presenting new modules or programmes for university approval, the board/programme team concerned should indicate whether new external examiners will be required. Once the modules or programmes have received university approval it is the responsibility of the faculty to ensure nominations are sought. This should be done as soon after the validation as possible to ensure that external examiners are in place for the commencement of the new programme or modules. If there are level 4 assessments where the marks contribute directly towards an academic award -13.59 external examiner required (1ex)p.1 (I)-2











## Guidance for Higher and Degree apprenticeships

External examiners who are appointed to scrutinize apprenticeship programmes are subject to the appointment criteria and approval process outlined in [Appendix 1](#). For external examining arrangements for apprenticeships, the following need to be taken into consideration during the appointment process :

The university needs to be assured that the external examiner is suitably qualified to undertake the role, providing a balance between academic and workplace practice experience and having currency of experience in both areas. In terms of workplace practice experience, consideration should be given to academic nominees who are working with a relevant industry to support delivery of a programme (e4M-5.7 (4MgTd [(apeBaa98 567 (

## Guidance for Asia Pacific University (APU) external examiners

Appointments will be subject to an examiner having no link to APU for five years and no link to DMU for five years, and who will have delivered on a UK degree or a dual/joint programme with a UK institution.

Appointments will be permissible from outside UK.

Nominees for APU programmes will need to be approved by APU before the nomination form is submitted.

The head of school/board chair/programme leaders should check to ensure that no member of the school/department staff has been appointed as external examiners to a

contact the nominee or send any work until confirmation of their acceptance has been received from DAQ.

### After the nomination form has been submitted

Applications for appointment will be processed by the Quality Officer (External Examiners/Awarding Bodies). To facilitate the work of the External Examiner and Reviewer Appointments Committee, the Quality Officer will check all proposals against the university's appointment criteria and refer back those proposals which fall short of the criteria for clarification or further information.

Where appropriate, following the submission of supporting material (if necessary), proposals shall be submitted to the External Examiner and Reviewer Appointments Committee of the AQC. The committee consists of the head of academic quality as chair and four senior faculty representatives, usually the associate professors (quality), one from each faculty. The committee conducts all of its business by correspondence, and where necessary, will refer proposals back to the relevant faculty for further information.

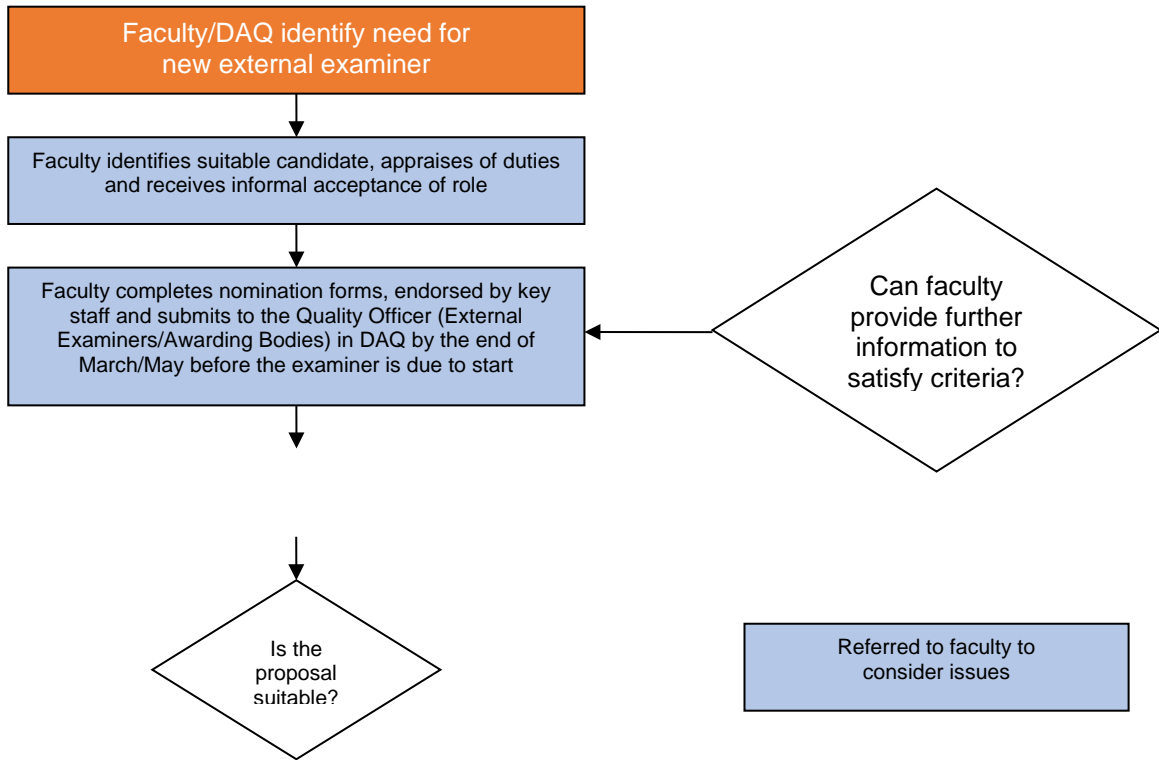
Members will not be expected to approve appointments from their own faculty. The four eligible members will be required to make a decision based on the appointment criteria. In exceptional circumstances when members are absent; a decision may be made with fewer members or by chairs action.

Where nominations have been rejected, an entirely new nomination will be sought. The faculty will be advised of the reasons for rejections and of the options available. Appeals against decisions made by the appointments committee may be discussed further at the AQC. It is the responsibility of the faculty to inform the candidate that their nomination has been rejected by the committee.

On approval, the Quality Officer (External Examiners/Awarding Bodies) will issue an appointment letter to the examiner and ensure that the relevant members of staff are informed of the decision. This will include the associate professor (quality), the programme leader, the programme administrator, the quality assurance administrator (or equivalent) and the collaborative partner (if relevant).

The Associate Professors Advisory Group (APAG) will also receive a list of external examiner vacancies at each meeting and on an annual basis it will receive a report listing proposals that have been rejected, resignations and terminations of appointment.

## Appointment process flowchart







## Section 2: Upon confirmation of appointment

Information sent by the university

Upon appointment, the external examiner should receive the following information:

From the chair of the External Examiner and Reviewer Appointments Committee

The chair of the External Examiner and Reviewer Appointments Committee will ensure that the following generic information is provided to brief external examiners:

Appointment letter containing the name of the programme, collaborative partners (if appropriate), tenure dates, main duties

## Information sent by the faculty

Once the external examiner has accepted the appointment and submitted documents to prove eligibility to work in the UK, DAQ will contact key individuals in the faculty to confirm this and to request that the following programme specific information is sent to the examiner:

The full specifications (templates) for each module and programme for which the examiner has responsibility

Student/programme handbooks

QAA subject benchmarks/QAA characteristic statements (if appropriate)

Programme specific regulations (if applicable)

Professional body requirements (if applicable)

Relevant apprenticeship standard (for Higher and Degree Apprenticeships only)

Assessment plan (for Higher and Degree Apprenticeships only) document mapping the academic programme to the apprenticeship standard (for Higher and Degree Apprenticeships only)

Previous external examiners report/s

Recent review reports (eg periodic review, PSRB)

Programme Self-Assessment Report and Quality Improvement Plan (PSAR) and Module Enhancement Plans (MEP)

Dates of assessment board meetings at which attendance of external examiners is required Any relevant discipline assessment criteria, marking schemes, model answers, etc

Dates of any other meetings ie interim visits

Timeline of when to expect draft assessments and samples including turnaround times

The full documentation checklist can be found in [appendix 3](#). The checklist also includes a list of information to be provided to the external examiner on an annual basis and during the academic session.

Key contacts within the faculty will be informed of the external examiner's username for



## Section 3: Role and responsibilities

The external examiner role at De Montfort University (DMU) has been designed to fully comply with the Quality Assurance Agency

To assist the external examiner, it is expected that a reasonable sample of material would include:

The formal assessment board is only permitted to ratify the marks as they are presented. The board cannot receive late marks or correct any mark input errors – this should be done at the pre-board stage. Any errors/gaps not picked up beforehand can only be addressed by chair's action taken outside of the board and reported to the next meeting.

Similarly, assessment boards do not have the authority to exercise discretion – any matters of academic judgement must be concluded at the pre-board stage. The only circumstances under which the formal assessment board may exercise discretion is where students are being allowed to progress exceptionally. This scenario is only available for undergraduate programmes, and normally occurs in September. There are set criteria governing the application of this decision – the Student and Academic Services (S AAS) representative/Associate Dean Academic ( ADA) can guide on appropriate use at the board.

External examiners are present at the board to ensure that assessment is at an appropriate level and appropriate to the subject, and that students' work has been fairly marked. Examiners must also ensure that the processes for progression of students and for determining awards provide equity of treatment. External examiner will be asked to provide a verbal report to the board.

Some programmes are professionally accredited and have additional regulations above and beyond generic university regulations. Where this is the case the assessment board ensures that these are fully adhered to.

External examiners are encouraged to attend the main assessment board which considers assessment results and they must agree their involvement in the reassessment process and board which follows. Engagement with the reassessment process is just as crucial as with the main assessment period. If examiners are unable to attend any of the boards, they must contact the f(h)3.497.

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For further information about assessment boards, see the [Complete Guide to Assessment Boards](#).

### Models of engagement for examiners

Each assessment board will decide how they would like their external examiners to engage

Considering and advising on the comparability of standards where modules and programmes are delivered at more than one location.

Adjudicating as necessary on individual cases, reviewing student profiles and exercising discretion. External examiners are not employed as a 'third marker' and programme teams must not try to utilise them in this fashion.

Adjudicating on any moderation of module marks and to confirm all module marks awarded.

Examiners may not normally change individual student marks in a sample, but may recommend that the marks awarded need to be reviewed across the whole cohort (including those not in the sample), if they have concerns. Further action may include re-marking of the affected assessment for all of the cohort, additional moderation of the assessment or an adjustment of marks for all of the affected assessments or modules. If an external examiner has concerns regarding the overall standard of marking, they should notify the module and programme leader as soon as possible and prior to the assessment board where possible. If an examiner raises any concern about marking at the assessment board (rather than during the moderation/pre-board process), marks for all students would need to be reviewed.

If an external examiner has looked at the whole cohort's work and has concerns with the marks, the same principles apply. The examiner should raise any concerns with the module and programme leader prior to the board where possible. The University does not expect external examiners to act as second or third markers.

Raising any issues of concern



Where external examiners do meet with students the focus of discussion should be on the students' experience of learning and assessment. Questions might include:

Are students made aware of the overall outcomes for the programme?

Are timetables and workloads appropriate?

Do students feel they are being challenged?

Do students know how they are doing?

## Section 4: reporting process

### Completing the annual/end of office report

External examiners are required to submit written reports on an annual basis to the university within one month after the main assessment board (not after the reassessment board) and before payment of fees is authorised. Such reports should cover the full range of activities with which the examiner has been involved .

The end of office report (completed on the same proforma as the annual) made at the end of the term of office , should give general observations based on the whole period as well as covering the year in question. Particular attention should be paid to any issues that have been raised, but not addressed during the examiner's period of office .

Interim /supplementary reports may be submitted at any times where an examiner considers that issues have arisen which require prompt attention. This report is intended to be exceptional and it will not be necessary for examiners to report on the satisfactory operation, or progress of the work, of the assessment board.

An external examiner may send a separate report to the vice-chancellor on any matter which she/he deems necessary; such a report may be sent in confidence at any time. If an external examiner has serious concerns about issues related to standards within the institution, and has exhausted all internal procedures including a confidential report to the vice chancellor, they should access the independent mechanism for addressing concerns about standards and quality in higher education managed by [Quality Assurance Agency \(QAA\)](#) .

Each report 2.1 (d)2 (ep)-1 (en)-2 (d)1.9 (en)-29 ( )JTJ Eby





## Summary report

Are the standards set for the award or award elements appropriate? Please indicate yes or no	Yes/No
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Is the standard of student performance comparable with similar programmes or modules in other UK institutions with which you are familiar? Please indicate yes or no	Yes/No
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Are the processes for assessment, examination and the determination of awards sound and fairly conducted?	
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## Main report

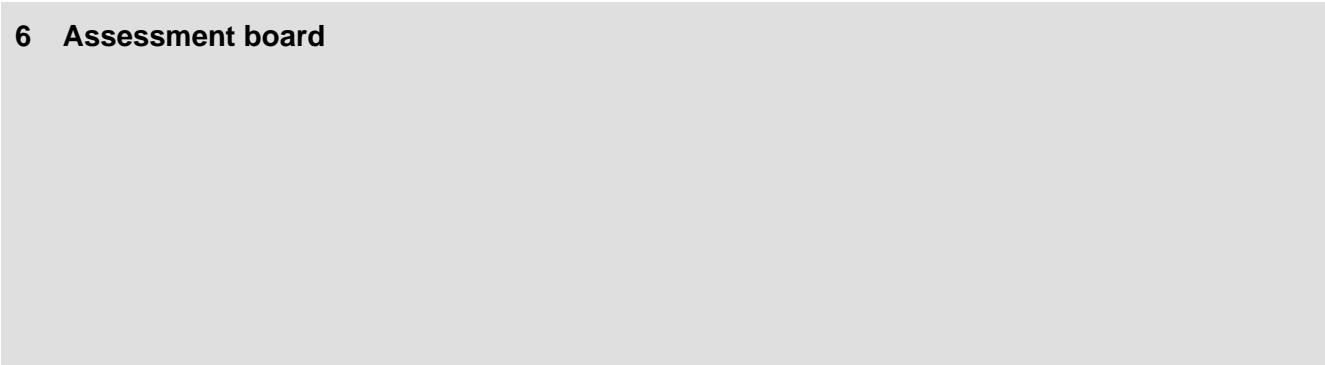
Be specific in each section of the report if comments relate to all modules, programmes and locations or if they relate to a specific module, programme or location.

If you are only associated with provision at DMU or a collaborative





**6 Assessment board**



If you are an examiner for collaborative provision only and you have

Your report should be submitted electronically to the university **within one month after the main assessment board**. Your report should be emailed to [Qaenquiries@dmu.ac.uk](mailto:Qaenquiries@dmu.ac.uk)

associate professor (quality) and DAQ (qaenquiries@dmu.ac.uk), within two weeks after the board. This response must indicate any action that will or has been taken, or if appropriate, reasons for not accepting recommendations or suggestions. The suggested circulation will allow the associate professor (quality) and DAQ to operate checks to ensure that external examiners are receiving appropriate responses.

A [template](#) has been devised to aid consistency and improve the quality of the detailed responses to external examiners' reports. Its use is optional.

If the external examiner indicates no to any of the three questions in the summary or there are major concerns within the report, it will be escalated to the PVC (Academic), Head of Academic Quality, Deputy Head of Academic Quality and the Quality Manager (Assessment). A response should be sent to the examiner and all of the above within four weeks of receipt of the report.





## Points of contact and further information

### Visits, board operation, subject expertise

The faculty academic contact (usually the programme or subject leader) should identify themselves to the external examiner at the beginning of the term of office. The appropriate faculty administrator should also introduce themselves.

### Payment of expenses and fees

The [faculty finance administrator](#) as identified in the letter of appointment.

### Queries about roles and responsibilities and report submission

The Quality Officer (External Examiners/Awarding Bodies), Department of Academic Quality, on behalf of the chair of the AQC External Examiner and Reviewer Appointments Committee.

### Additional information

University's [strategy for learning and teaching](#)





experience at the relevant level and who is familiar with the standards required for comparable programmes.

## Roles and Responsibilities

The university needs to ensure that external examiners are appropriately briefed as to the specific nature of their role for apprenticeships that involve higher education.

For apprenticeship programmes this will need to include

Specifying whether the apprenticeship involves integrated or separate EPA;

The relationship between apprenticeship duties and Knowledge, Skills and Behaviours (KSBs) and programme/modules learning outcomes, hence the 4 (i)(c)2.2 (es 0 10.98710.98710.98710.9

## Appendix 2

10. A certificate of registration or naturalisation as a British citizen, together with an official document giving the person's permanent National Insurance number and their name issued by a government agency or a previous employer.

List B Group 1 – documents where a time -limited statutory excuse lasts until the expiry date of leave

1. A current passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.
2. A current Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.
3. A current document issued by the Home Office to a family member of an EEA or Swiss citizen, and which indicates that the holder is permitted to stay in the United Kingdom for a time limited period and to do the type of work in question.
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<p>Programme leader and administrator contact external examiner to introduce themselves and to confirm:</p> <ul style="list-style-type: none"> <li>The external examiners involvement in level 4</li> <li>The best form of communication, main contact details</li> <li>How and when work will be sent to the external examiner including an assessment schedule</li> <li>Agreement on the number of visits</li> <li>Whether the external examiner wishes to meet with students</li> </ul>	<p>Programme leader/ administrator</p>
<p>Programme specifications from SAP</p>	<p>Administrator</p>
<p>Module specifications from SAP</p>	<p>Administrator</p>

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	board servicing officer
Timeline of when to expect draft assessments and samples including turnaround times	Programme leader

Where possible, it is advisable to send information in coherent packs rather than multiple emails.

Provided on an annual basis	Suggested responsibility
Programme specifications from SAP ( if any changes ) Administrator	
Module specifications from SAP ( if any changes )	Administrator
Student/programme handbooks (if any changes) Programme leader	
Contact information (if any changes)	Programme leader
Programme Appraisal and Enhancement Plans (PAE) and Module Enhancement Plans (MEP) Programme leader /module leaders	
Dates of assessment board meetings at which attendance of external examiners is required	Administrator/ Assessment board servicing officer
Dates of any other meetings ie interim visits Administrator/ Assessment board servicing officer	
Timeline of when to expect draft assessments and samples including turnaround times	Programme leader
Feedback from students (eg MLF, NSS) Programme leader	
Newsletter (May) DAQ	
Current Academic Regulations Taught Programmes (website link)	DAQ
Confirmation of receipt of report	DAQ
Detailed response to the external examiner's report from the programme leader/PMB chair Programme leader/PMB	







After the final assessment board, all external examiners are required to submit annual reports