

Itemised List of Arrangements by Student Procedure

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Force Majeure: Academic Appeals (GR14) and Student Complaints (GR21)

Regulations and procedures relating to appeals and complaints will remain in force during periods of disruption caused by force majeure. The grounds for appeal (GR14.1) will continue to apply including the prohibition against appeals against the academic judgement exercised by Boards of Examiners.

The administration of these procedures and cognate procedures may be impacted by force majeure. For example, there may be delays to the time periods within which students can expect to receive outcomes to submitted academic appeals or complaints. Students will be informed of any variance to the point at which the procedure is invoked if possible. Any variance must not be to the detriment of the student.

1. Academic Appeal Procedure (GR14)

We would like to draw your attention to Paragraph 1.6 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure will not be invalidated if the role title named in the procedure has changed or a nominee acts in the place of another named in the procedure.”

Paragraph 4.1.6 sets out the membership for the Assessment Review Panel:

“The Panel shall consist of three members of academic staff one of whom shall act as the Chair of the Panel. No member of a Board of Examiners whose decision is under review shall be a member of the Assessment Review Panel. The Assessment Review Panel shall consist of:

- (a) The Vice Principal, Dean or Associate Dean in the Chair;
- (b) One member of the academic staff with a remit that includes student welfare
- (c) A member of academic staff not primarily concerned with teaching or examining the student.

The clerk to the Panel shall be the Deputy Head of Governance, Legal and Assurance Services or his/her nominee.”

Contingency: In accordance with Paragraph 1.6, nominated representatives will participate in the Assessment Review Panel on the behalf of any specified members that are unable to do so. Similarly, we will ensure that actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

Paragraph 2.4 states:

“Students presenting extenuating circumstances (GR14.1c) after entering an assessment are strongly advised to provide evidence to support their claims with reasoning for why they did not withdraw from the assessment prior to the test date. In accordance with paragraph 10.3 of the General Regulations, students should provide full details of the circumstances they wish to be considered with a request to bring these circumstances to the attention of the Board of Examiners. For MBBS, Biomedical Science and Healthcare Science Programmes, students should make their extenuating circumstances known to the University by completing and submitting a Mitigating Circumstances Form. For all other Programmes of Study students should lodge their circumstances in writing with the Chief or Responsible Examiner, Assessment or Module Lead. Examples of evidence for extenuating circumstances may include, but are not limited to: appropriately dated medical reports/letters, professional reports, financial information, police reports, complaint outcome letters.”

Students are encouraged to review [the Examinations Webpage](#) for information on what evidence is required to support their report of mitigation during this period.

The following paragraphs set out the timescales associated with this Procedure:

3.1.1 A request by an assessment candidate to check the correctness of his or her assessment marks or grades (under sub-paragraph (a) of General Regulation 14.1) should be made to the Academic Registrar or his/her nominee as soon as possible following notification of those marks, and normally within 10 working days. Requests should not be made to examiners. A request will only be considered by the Academic Registrar or his/her nominee where the candidate can provide grounds for suspecting that an error may have occurred. A check will not be made simply on the grounds that a candidate's marks are close to a specified boundary in a Scheme of Assessment.

3.1.2 Where the Academic Registrar or his/her nominee considers that there are grounds to suspect that an error may have occurred, he/she will conduct a check of marks or grades. Where a check reveals an administrative error, the Chair of the Board of Examiners or the relevant Assessment Lead will be consulted as required, and where necessary will take Chair's Action to amend a result. The candidate will be notified of the outcome in writing within 15 working days of the request being made.

3.1.3 Where the Academic Registrar or his/her nominee decides there are no grounds for suspecting an error may have occurred, the candidate will be notified of this within 15 working days of the request being made.

3.2.1 A request by an assessment candidate for review of an assessment mark, grade or result on the grounds specified in sub-paragraphs (b) of General Regulation 14.1 should be made in the first instance to the Academic Registrar or his/her nominee. The request shall normally be made within 10 working days of notification of the marks, grades or results of which a review is requested, although the Academic Registrar or his/her nominee shall have discretion to consider requests received after this period where the student demonstrates good reason for the delay.

3.2.4 The Academic Registrar or his/her nominee shall respond in writing to a request for a review within 15 working days confirming whether or not there is a case for review under General Regulation 14.1(b). 3.2.5 Where the Academic Registrar or his/her nominee receives a request which establishes a case for a review under General Regulation paragraph 14.1(b), and it is agreed that the action proposed by the student is an appropriate action to remedy the situation (no contest), the Chair of the Board of Examiners or the relevant Assessment Lead will be informed of the decision and the student will be notified of this within 15 working days. Where an appeal under General Regulation 14.1(b) is upheld but the student remains dissatisfied with the outcome, a Completion of Procedures letter will be issued on the student's request. The Completion of Procedures letter will indicate how to make a complaint to the Office of the Independent Adjudicator (OIAHE), and details are also available on the OIAHE's website (www.oiahe.org.uk).

3.2.6 Where the Academic Registrar or his/her nominee decides there is no case for review under General Regulation 14.1(b), the student will be notified of this within 15 working days

3.3.1 A request by an assessment candidate for review of an assessment mark, grade, result, classification, ruling or decision on the grounds specified in sub-paragraph (c) of General Regulation 14.1 should be made in the first instance to the Academic Registrar or his/her nominee. The request shall normally be made within 10 working days of notification of the marks, grades, results, classification, ruling or decision of which a review is requested, although the Academic Registrar or his/her nominee shall have discretion to consider requests received after this period where the student demonstrates good reason for the delay.

3.3.4 Where the Academic Registrar or his/her nominee receives a request which establishes a case for a review under General Regulation paragraph 14.1(c), and it is agreed that the action proposed

by the student is an appropriate action to remedy the situation (no contest), the Chair of the Board of Examiners or the relevant Assessment Lead will be informed of the decision and the student will be notified of this within 15 working days. Where an appeal under General Regulation 14.1(c) is upheld but the student remains dissatisfied with the outcome, a Completion of Procedures letter will be issued on the student's request. The Completion of Procedures letter will indicate how to make a complaint to the Office of the Independent Adjudicator (OIAHE), and details are also available on the OIAHE's website (www.oiahe.org.uk).

3.3.5 Where the Academic Registrar or his/her nominee decides there is no case for review under General Regulation 14.1(c), the student will be notified of this within 15 working days.

4.1.1 Where, under the procedures in paragraph 3, above, the candidate has good reason to be dissatisfied with the action of the Academic Registrar or his/her nominee the candidate may make a request for review. Requests for review must be lodged in writing with the Deputy Head of Governance, Legal and Assurance Services within 10 working days from the date of notice of the decision of the Academic Registrar or his/her nominee. A member of Governance, Legal and Assurance Services shall act as Clerk in this matter, and the Chair of Senate will approve the appointment of an academic member of Senate to consider the request. The academic member of Senate shall review the correspondence and other evidence from the informal procedures and may either appoint an Assessment Review Panel, or may determine that there are no grounds for review.

4.1.3 The Clerk shall notify the student in writing of the decision, giving reasons where it has been decided that no Assessment Review Panel shall be appointed, within 15 working days of receipt of the written request for the review in accordance with paragraph 5 below.

4.1.4 Where it is deemed necessary in accordance with the above procedures, the Deputy Head of Governance, Legal and Assurance Services shall appoint an Assessment Review Panel on behalf of the Senate, which has ultimate responsibility for academic decisions. A disinterested member of Governance, Legal and Assurance Services will act as Clerk to this Panel. The Panel shall normally complete its review and notify the student of the outcome within three months of the request for review being made.

4.2.1 The clerk to the Panel shall notify the student and the Chair of the Board of Examiners of the identity of the Panel members and the date of the proposed hearing, giving at least 10 working days' notice.

4.2.2 The Assessment Review Panel shall have available to it the student's request for a review and any supporting evidence; copies of the relevant Regulations and mark sheets; and copies of any other relevant information or statements, including a written report from the Chair of the relevant Board of Examiners. The Panel shall have the right to consult a candidate's answer scripts, where it deems this relevant, but it shall not review any aspect of a Board of Examiners decision which is solely a matter of academic judgement of an examiner or of the Board of Examiners. The Panel will have all the documentation considered at the previous stage of these procedures. All documentation to be considered by the Panel in reaching its decision (including where appropriate the candidate's assessment work) shall be made available to the student and the Chair of the Board of Examiners at least 5 working days before the date set for the hearing. However, no identifiable personal information about other assessment candidates will be provided to the student.

4.2.4 The student shall have the right to be accompanied by a friend, relative, Students' Union officer or other representative. The Chair of the Board of Examiners shall also have the right to be advised and represented. Any party intending to be accompanied or represented must notify the clerk to the committee within 5 working days of the hearing of:

(i) the identity of any third-party attendees; and

(ii) the capacity in which they will attend, to enable parity of representation, if desired.

Members of staff, students and others relevant to the case may be asked to give evidence to the hearing by either party. The Committee may also call upon other persons (whether or not a current member of SGUL) to provide advice on specific aspects of the case in writing or in person.

4.2.11 The student and the Academic Registrar shall be notified of the Panel's decision by the Clerk to the Panel. The Clerk shall provide the student with notification of the decision and a Completion of Procedures letter with 15 working days of the decision being taken.

5.1 Where the academic member of Senate has decided not to appoint an Assessment Review Panel, the Academic Registrar shall be notified of this decision and the Deputy Head of Governance, Legal and Assurance Services or his/her nominee shall notify the student of the decision and provide the student with a Completion of Procedures letter within 5 working days.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraph 4.2.2, set out in full above, specifies what documentation the Assessment Review Panel should have available to them. The University will make every effort to collate the necessary documentation from students and other teams for the Assessment Review Panel's consideration. All information will be retained securely in an electronic case filing system, and in line with the appropriate retention schedule.

Paragraph 4.2.3 discusses attendance arrangements at the Assessment Review Panel:

"The parties will be required to attend the hearing in person. If either party fails to attend without reasonable explanation, the Panel may consider the case in their absence. The Chair of the Panel will have discretion as to what constitutes a "reasonable explanation"."

Contingency: Similarly, Paragraph 4.2.4, which is set above, notes the requirement to attend in person. In light of the current guidance about work and study arrangements and the advice to avoid non-essential travel, Assessment Review Panels will be conducted virtually using online platforms during this period and attendance in person will not be necessary. Guidance on how to access the relevant platforms will be provided well in advance of meetings.

2. Student Concerns and Complaints Procedure (GR21)

We would like to draw your attention to Paragraph 1.5 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure will not be invalidated if the role title named in the procedure has changed or a nominee acts in the place of another named in the procedure.”

Paragraph 8.9 sets out the membership of the Complaints Appeal Committee under the Appeal Stage of this Procedure.

“A Complaints Appeal Committee shall consist of:

- (i) A member of the Council not being a person employed by SGUL who shall be appointed to the Chair;
- (ii) a second member of the Council who may or may not be a person employed by SGUL;
- (iii) a member of Academic Staff not being a member of the Council and not previously concerned with the complaint who shall be appointed by the Chair of the Senate under powers delegated by Senate.

The Director of Governance, Legal and Assurance Services or his/her nominee shall be clerk to the Committee.”

Contingency: In accordance with Paragraph 1.5, we will ensure that actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

In the event that an external committee member is unable to fulfil their duties and a stopgap appointment cannot be made, the Chair of Senate has the authority to amend the membership of the Complaints Appeal Committee to limit external involvement. If changes to the Committee membership become necessary, these will be managed on a case-by-case basis and the University will contact students promptly to notify them of the changes.

The following paragraphs set out the timescales associated with this Procedure:

7.1 Formal complaints must be submitted in writing to the Academic Registrar normally within three calendar months of the incident complained of. An extension to this timeframe may exceptionally be permitted at the discretion of the Principal.

7.6 The Investigating Officer shall refer to and conduct his/her investigation in accordance with the “Investigating Officer Protocol”. Save in exceptional circumstances, the Investigating Officer shall, within 15 working days of his or her appointment, prepare a detailed report for the Principal or his or her nominee on the circumstances with a recommendation for further action. A copy of the report shall normally be sent to the complainant, although the rights of any third party shall be protected, for example through anonymising of personal details.

7.7 The Principal or his/her nominee shall decide whether any further action is required under the terms of SGUL’s disciplinary arrangements for staff or such other regulations that may be appropriate. The Principal or his/her nominee may delegate authority to take any action required to deal with a complaint to a senior officer of SGUL, but in this case shall inform the complainant that this has been done. The Principal, his or her nominee, or the senior officer subsequently nominated to deal with the complaint shall, through the Academic Registrar or his/her nominee, inform the complainant in writing in general terms of the steps taken by SGUL to address the complaint, including any appropriate remedial action. This shall normally be done within one month of the formal complaint being made. If a complaint cannot be investigated within this time, the complainant will be notified of that fact.

8.2 A complainant may also make such a request if no action is taken under the formal procedures within three months of the complaint having been made.

8.3 Requests shall be in writing and addressed to the Director of Governance, Legal and Assurance Services within two weeks of receipt of notification of the steps taken under the formal procedures. The Director of Governance, Legal and Assurance Services or his/her nominee who shall act as Clerk for the appeal.

8.7 The Complaints Appeal Committee shall normally reach its decision within three months of the application to the Director of Governance, Legal and Assurance Services. The Director of Governance, Legal and Assurance Services or his/her nominee shall notify the complainant and the Academic Registrar in writing of the Chair of Council's decision, giving reasons where it has been decided that no Complaints Appeal Committee shall be appointed.

8.8 If the Chair of Council decides not to appoint a Complaints Appeal Committee, the Academic Registrar or his/her nominee shall advise the student in writing of this decision, usually within four weeks of the receipt of the appeal and within 10 working days of the decision being taken.

8.10 The clerk to the Committee shall notify the complainant and the person originally complained against (or relevant officer of SGUL where a complaint is about provision of a facility or service) –hereafter called the parties –of the nature of the complaint, the identity of the Committee members and the date of the proposed hearing. Both parties shall be allowed at least 10 working days in which to prepare their case. All information on which the parties intend to rely must be made available to the other party and to the members of the Committee at least 5 working days before the date set for the hearing.

8.14 At the conclusion of the presentation of statements and evidence, all persons except members of the Committee shall withdraw, except that the clerk to the Committee may attend to give procedural advice, which will be recorded in the Committee's report. The members of the Complaints Appeal Committee shall deliberate on their conclusions and shall produce a written report, giving reasons for any decisions, including any appropriate remedial action or any recommendations to Council for further action under SGUL's disciplinary arrangements for staff or students. This shall be sent in writing to the parties and the Academic Registrar within 14 days of the date on which the Committee met, and also to the Chair of Council for formal report to the next meeting of Council.

8.15 The decision of the Complaints Appeal Committee on behalf of the Council, including any action taken by Council on any recommendations of the Complaints Appeal Committee, shall be final and shall conclude SGUL's internal Complaints Procedure. The Academic Registrar or his/her nominee shall inform the student in writing of the Completion of Appeals within 10 working days of this decision being taken

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraph 8.11 discusses attendance arrangements for the Complaints Appeal Committee:

“The parties will be required to attend the hearing in person. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence. The Chair will have discretion as to what constitutes a ‘reasonable explanation’”.

Contingency: In light of the current guidance about work and study arrangements and the advice to avoid non-essential travel, Complaints Appeal Committees will be conducted virtually using online platforms during this period and attendance in person will not be necessary. Guidance on how to access the relevant platforms will be provided well in advance of meetings.

Paragraph 9.1 states:

“Academic and administrative staff are advised to document carefully where concerns and complaints have been raised at any stage of the procedure and place their records on the student’s personal file in Registry or in the Joint Faculty or CPPD Office.”

Contingency: Due to current working arrangements, staff members are not able to access physical student files. However, Course Teams will retain relevant documentation in an electronic student file so this can be added to the physical file at the appropriate time in the future. The Student Conduct and Compliance Team will also store any case file information securely in our electronic case filing system, and in line with our retention schedule.

3. Procedure for consideration for a final discretionary attempt at an assessment (GR4.10 and GR14.2)

The *Procedure for consideration for a final discretionary attempt at an assessment* provides a framework for considering the re-entry to assessments of students who have failed assessments on the maximum number of occasions permitted by programme regulations. When the *Exceptional Regulations (Force Majeure)* are invoked, students who next attempt is a final attempt approved by a Discretionary Panel will be advised on the options available to them on an individual basis.

We would like to draw your attention to Paragraph 1.5 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure shall not be invalidated by an officer of SGUL acting in the place of another named in these regulations where circumstances make this expedient.”

Paragraph 3.3. sets out the Panel membership for Discretionary Panels:

“The Discretionary Panel shall consist of:

- (a) The Vice Principal, Dean, Deputy/Associate Dean or Course Director in the Chair;
- (b) The Chair of the Board of Examiners OR the Chair of the sub-Board of Examiners OR the Assessment Lead for the section of the course from which students are to be considered;
- (c) One member of the Board of Examiners nominated by the Chair of Senate;
- (d) A member of academic staff not primarily concerned with teaching or examining the programme, nominated by the Chair of Senate.

The clerk to the Panel shall be the Academic Registrar or his/her nominee.”

Contingency: In accordance with Paragraph 1.5 nominated representatives will participate in Discretionary Panels on the behalf of any Panel Members who are unable to do so. Similarly, we will ensure actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

The following paragraphs set out the timescales associated with this Procedure:

2.4 The Board of Examiners will, in conjunction with the Examinations Team and/or Programme Lead/Administrator, notify students of the decision of the Board of Examiners within 3 working days of the Board of Examiners meeting.

2.5 Students who have been granted a fast-track third attempt by the Board of Examiners must accept the offer of a third attempt in writing normally within 5 working days of notification of the decision. Students who do not provide written acceptance, will be ineligible to make a further attempt at the failed assessment(s) and will have their registration terminated.

3.2 The Panel shall normally complete its consideration and notify the student of the outcome within six weeks of the notification to the student of assessment failure.

3.4 A student to be considered by the Discretionary Panel shall be required to submit a statement outlining any grounds on which a discretionary last assessment attempt should be granted and any supporting evidence. The student shall be permitted not less than 10 working days in which to prepare and apply using the Discretionary Panel Application Form. The factors which may be considered by the Discretionary Panel are set out in the ‘Criteria in respect of applications for a final discretionary attempt’.

3.8 The decision of the Panel, with reasoning, shall be sent to the student in writing by the clerk to the Panel within 5 working days of the Panel’s meeting.

4.1 A student not permitted a final discretionary attempt at an assessment or assessments, and whose registration will therefore be terminated, may request the Chair of Council to review the case and establish an Appeals Committee, on one or more of the grounds specified in paragraph 4.2 below. Notice of appeal must be lodged in writing with the Head of Governance, Legal and Assurance Services normally within 10 working days from the date of notice of the decision of the Panel. The Head of Governance, Legal and Assurance Services or her/his nominee will act as Clerk to Council.

4.4 The decision of the Chair of Council and/or the Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL's internal procedure. The Academic Registrar shall be notified of this decision by the Clerk to Council and the Academic Registrar or his/her nominee shall inform the student in writing of the Completion of Appeals within 10 working days of this decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraph 3.6. sets out the information the Discretionary Panel should have access to:

“The Discretionary Panel shall have available to it the student's application and any other supporting evidence provided; copies of the student's assessment marks and copies of any other relevant information from the student file.”

Contingency: The Student Conduct and Compliance Team will make every effort to collate the necessary documentation from students and other teams for the Discretionary Panel's consideration. All information will be retained securely in our electronic case filing system, and in line with our retention schedule.

4. Procedure for Consideration of Fitness to Study or Practise (GR4.15)

We would like to draw your attention to Paragraph 1.6 of the Procedure, which states:

“The Academic Registrar or his or her nominee is responsible for providing guidance to students and others on the operation of this procedure. Any doubt over the interpretation of these procedures or any matter on which these procedures are silent shall be determined by the Chair of Council. In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure shall not be invalidated by an officer of SGUL acting in the place of another named in these regulations where circumstances make this expedient.”

Paragraph 2.2.2 sets out the membership for the Student Progress Monitoring Committee:

“The Committee shall be convened and attended by the Academic Registrar or his or her nominee and shall consist of:

- a. The Dean (Chair);
- b. The relevant Associate Dean, Head/Deputy Head of the Graduate School or Course Director for students under active consideration;
- c. One member of the senior academic staff who shall not be involved in the formal procedures below for any student under active consideration.
- d. A Psychiatrist
- e. Lay member
- f. Student from another Higher Education Institution
- g. Clinician from another Higher Education Institution

Membership categories (e) – (f) are not required for routine review of students with health problems but are included for more complex cases. The Academic Registrar will select external members of the Committee. The Academic Registrar or his or her nominee may not participate in the Committee’s deliberations and the scope of their involvement will be minute carefully. At meetings of the Committee, the Associate Dean, Head/Deputy Head of the Graduate School or Course Director shall be required to be present only for discussion of a student under their oversight.

Paragraph 3.2.2 details the membership of the Hearing Committee under the secondary (formal) stage of the Procedure:

“The Hearing Committee shall consist of seven members who have not previously been concerned in the case (including being Investigating Officer), or have provided pastoral care for the student and ideally have not been teachers of the student in question. These shall be:

- a. A senior member of SGUL academic staff – who will be the Chair
- b. Lay member
- c. Student from another Higher Education Institution
- d. Clinician from another Higher Education Institution or Trust
- e. Psychiatrist from SGUL
- f. One clinician from SGUL from the same profession as a student is studying

g. Course Director (from a course other than the student's)

The panel must have a health professional majority. All panel members should receive appropriate training for that role. If, on the day of the Committee, one of the members notifies SGUL that they are unable to attend due to unforeseen circumstances, the Hearing may proceed at the discretion of the Chair. The clerk to the Committee shall be a disinterested member of staff, drawn from senior staff within Professional Services. The Academic Registrar or his/her nominee will attend to advise on procedure but shall not be entitled to participate in decision making and/or the deliberations of the Hearing Committee.”

Contingency: In accordance with Paragraph 1.6 nominated representatives will participate in SPMC and Hearing Committees on the behalf of any specified members who are unable to do so. Similarly, we will ensure that actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

In the event that an external committee member is unable to fulfil their duties and a stopgap appointment cannot be made, the Chair of Senate has the authority to reduce the membership of the Hearing Committee to limit external involvement. If changes to the Hearing Committee membership become necessary, these will be managed on a case-by-case basis and the Student Conduct and Compliance Team will contact students promptly to notify them of the changes.

To prevent any unnecessary delay in the hearing of student fitness to practise cases, the quorum of the Fitness to Study and Practise Hearing Committee membership (FtSP 3.2.2) will be reduced from seven members to four members but the requirement to maintain a health professional majority will remain in place. In the event of a tied decision, Chair of the Committee will have the casting vote.

The following paragraphs set out the timescales associated with this Procedure:

2.1.2 On receipt of a written report, the Academic Registrar or his or her nominee shall promptly, and in any event within 5 working days, ascertain from the relevant Dean, Associate Dean, Head or Deputy Head of the Graduate School or Course Director responsible for the student whether an attempt has been made to resolve the matter informally, and if it has not the Academic Registrar or his or her nominee shall ask this senior member of staff to seek to do so and inform him or her of the outcome within 5 working days.

2.1.3 The relevant Dean, Associate Dean, Head or Deputy Head of the Graduate School or Course Director, in attempting to resolve the matter informally, shall normally speak to the student, and may also request the student (where appropriate) to seek the advice of the Occupational Health Department. The matter may also be considered by the informal fitness to practise committee, the Student Progress Monitoring Committee (see 2.2 below) which may advise the Dean, Associate Dean, Head or Deputy Head of the Graduate School or Course Director on appropriate action. Informal resolution of the matter shall include actions agreed with the student such as interrupting studies for a period of time, or provision of additional support, assistance or advice from either within or outside SGUL. The student should be informed in writing of the agreed outcome of the informal stage of the fitness to practise procedure and they will be requested to confirm in writing within 10 days of the date of the letter that they have agreed with this outcome. The letter should state who within or outside the institution will be informed of the case. If written confirmation is not received from the student within 10 days of the date of the letter detailing the agreed outcome, then it is deemed that the matter has not been resolved informally and secondary (formal) stage procedures will normally be initiated by the Academic Registrar or his or her nominee.

2.2.1 A Student Progress Monitoring Committee shall, under the authority of Senate, meet at least termly, to monitor the progress and status of students with academic progress or conduct or health concerns. The Committee may also be convened at short notice to provide advice to an Associate Dean, Head/Deputy Head of the Graduate School or Course Director. This committee represents an informal

stage of considering a student's fitness to practise. The Committee shall not have the authority to suspend or dismiss a student or take other action which is not agreed with the student concerned, but may advise the Associate Dean, Head/Deputy Head of the Graduate School or Course Director on appropriate action to be agreed with a student to deal with concerns informally under paragraph 2.1 above, including initiation of formal procedures under paragraph 3 below. The Committee shall also have the duty, under the admissions procedures, of advising admissions tutors on whether an applicant meets professional fitness to practise requirements.

3.1.1 If, under paragraph 2.1.4 above, a serious concern regarding a student's academic progress, conduct or health is to be considered under these formal procedures, the Academic Registrar or his or her nominee, who shall act as Clerk in the matter, shall promptly refer the matter for investigation to a senior member of staff who has not previously been involved in consideration under these procedures of a student's fitness to practise. This Investigating Officer should be a senior member of staff of SGUL and should not have provided pastoral care at any time for the student. The Academic Registrar or his or her nominee shall, within 5 working days of the decision to initiate formal procedures, inform the student in writing of (i) the fact that formal procedures have been initiated (providing a copy of these procedures), (ii) the details of the serious concern raised, (iii) the identity of the Investigating Officer, and (iv) any suspension imposed under paragraph 2.1.6 above.

3.1.4 Save in exceptional circumstances, the Investigating Officer shall, within 15 working days of his or her appointment, prepare a written report for the Academic Registrar or his or her nominee of the results of the investigation, with a recommendation for further action, including whether the case should be considered by a Hearing Committee on behalf of Senate.

3.1.5 The Academic Registrar or his or her nominee shall, within 5 working days of the receipt of the Investigating Officer's report, notify the student in writing of (i) the outcome of the investigation (this should include for how long details of the case should remain on the student's file and who within or outside the institution will be informed of the case), (ii) whether the matter is to be referred to a Hearing Committee, (iii) any cessation, continuance or alteration of any suspension of studies imposed by the Principal, Dean/Associate Dean, Head/Deputy Head of the Graduate School arising from the Investigating Officer's report.

3.2.3 Written notice of the matter shall be sent by post to any student whose case is referred to the Hearing Committee. The letter will go to the address of the student currently recorded in the Registry. The clerk to the Committee shall notify the student and officer of SGUL nominated by the Principal to present the SGUL's case – hereafter called the parties – of the identity of the Committee members and the date of the proposed hearing. SGUL – through the clerk to the Committee – shall send to the student the papers it intends to rely upon at the hearing at least 15 working days prior to the hearing date. The student shall then have until 5 working days before the hearing date to respond in writing and submit to the committee members and the officer presenting the SGUL's case (through the clerk to the committee) any other papers on which he or she intends to rely.

3.3.1 The parties will be required to attend the hearing in person. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence if it is considered just and appropriate to do so. The Chair will have discretion as to what constitutes a 'reasonable explanation' and whether it is just and appropriate to proceed with the hearing. Information about medical students who have been found unfit to practise by the University, but who left SGUL voluntarily, may be shared between medical schools and the GMC provided that an investigation has taken place and a judgment has been recorded. Information will also be shared in cases where fitness to practise hearings have been held 'in absentia'.

3.4.2 The clerk to the Committee shall, within 10 working days of the date on which the Committee met, send in writing to the parties the findings and decision of the Committee. The letter to the student will be

sent to the address of the student currently recorded in the Registry. Students must be informed how long details of the case should remain on their file and whom within or outside the institution will be informed of the case. In the case of warnings and sanctions the student must be informed why they have received it, its purpose and duration. The findings and decisions of the Committee shall also be sent to the Chair of Council, the Chair of Senate, the Head of Governance, Legal and Assurance Services for formal report to the next meeting of Council and the Deputy Head of Governance, Legal and Assurance Services for formal report to the next meeting of Senate.

4.1 A student may request the Chair of Council to review the case and establish an Appeals Committee, on one or more of the grounds specified in paragraph 4.2 below. Notice of appeal must be lodged in writing with the Head of Governance, Legal and Assurance Services or his or her nominee, who is Clerk to Council within 10 working days from the date of notice of the decision of the Dean/Associate Dean/Deputy Head of the Graduate School/Course Director (at the informal stage), Investigating Officer (if the case does not proceed to a hearing) or the Hearing Committee

4.4 The decision of the Chair of Council and/or the Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL's internal procedure. This decision shall be communicated to the Academic Registrar or his/her nominee and he or she shall inform the student in writing of the Completion of Appeals within 10 working days of this decision being taken.

5.3 An F1 doctor who has been denied a Certificate of Experience, may request the Chair of Council to review the case and establish an Appeals Committee, on one or more of the grounds specified in paragraph 5.4 below. Notice of appeal must normally be lodged in writing with the Head of Governance, Legal and Assurance Services or his or her nominee, who is Clerk to Council within 15 working days of the decision.

5.6 The decision of the Chair of Council and/or the Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL's internal procedure. This decision shall be communicated to the Academic Registrar or his/her nominee and he or she shall inform the student in writing of the Completion of Appeals within 10 working days of this decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraph 3.2.3, set out above, states that written notice of the Hearing Committee will be sent by post the student's address. The Student Conduct and Compliance team will send all communications electronically and via email only during this period and students are asked to regularly check their St. George's student mail account.

Paragraph 3.3.1 states:

"The parties will be required to attend the hearing in person. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence if it is considered just and appropriate to do so. The Chair will have discretion as to what constitutes a 'reasonable explanation' and whether it is just and appropriate to proceed with the hearing. Information about medical students who have been found unfit to practise by the University, but who left SGUL voluntarily, may be shared between medical schools and the GMC provided that an investigation has taken place and a judgment has been recorded. Information will also be shared in cases where fitness to practise hearings have been held 'in absentia'"

Contingency: In light of the current guidance about work and study arrangements and the advice to avoid non-essential travel, Hearing Committees will be conducted virtually using online platforms during this period and there will be no requirement to attend in person. The Student Conduct and Compliance Team will provide guidance on how to access the relevant platforms well in advance of meetings and will assist in the troubleshooting of any issues. Wherever possible, the Student Conduct and Compliance Team will set time aside ahead of the meeting to test the technology with users who are less familiar with video-conferencing facilities.

5. Student Disciplinary Procedure (GR20.4)

We would like to draw your attention to Paragraph 1.6 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure will not be invalidated if the role title named in the procedure has changed or a nominee acts in the place of another named in the procedure.”

Paragraph 3.3.1 sets out the membership of the Hearing Committee under this Procedure:

“Where a Hearing (Disciplinary) Committee is to be appointed, it shall normally reach its conclusions within three months of the report of alleged misconduct to the Principal. The Hearing Committee shall consist of:

- (i) A senior member of SGUL academic staff who shall be appointed to the Chair;
- (ii) A member of Council not being a person employed by SGUL or a lay member;
- (iii) A member of Academic Staff not being a member of Council and not previously concerned with the complaint who shall be appointed by the Chair of Senate under powers delegated by Senate.

The Academic Registrar or his/her nominee will attend to advise on procedure but shall not be entitled to participate in decision making and/or the deliberations of the Hearing Committee.”

Contingency: In accordance with Paragraph 1.6 nominated representatives will participate in the Hearing Committee on the behalf of any specified members that are unable to do so. Similarly, we will ensure that actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

The following paragraphs set out the timescales associated with this Procedure:

3.2.1 The Principal shall immediately appoint a disinterested senior member of SGUL staff to be the Investigating Officer. The clerk to the case shall be a disinterested member of staff, drawn from senior staff within Professional Services. The clerk shall, within 5 working days of the report to the Principal, inform the student in writing (i) that a formal report has been lodged with the Principal, (ii) the details of the alleged misconduct, (iii) the identity of the Investigating Officer, and (iv) of any suspension imposed by the Principal.

3.2.2 The Investigating Officer shall gain as much information as possible about the allegation(s) of misconduct and shall, in the presence of another member of staff, interview the student, and if possible, the person who made the original report. The Investigating Officer may consult other students or members of staff as appropriate and make whatever further enquiries as appropriate, and shall prepare a detailed report. Notes shall be kept of all interviews and lodged with the Clerk. The Investigating Officer should act according to the provisions of the “Investigating Officer Protocol” at all times during his/her investigation. The Investigating Officer shall, normally within 15 working days of his or her appointment, prepare a detailed report for the Principal on the circumstances with a recommendation for further action, including whether the case should be considered by a Hearing Committee.

3.2.4 The Academic Registrar or his or her nominee shall, within 5 working days of the receipt of the Investigating Officer’s report, notify the student in writing of (i) the outcome of the investigation (this should include for how long details of the case should remain on the student’s file and who within or outside the institution will be informed of the case), (ii) whether the matter is to be referred to a Hearing Committee, (iii) any cessation, continuance or alteration of any suspension of studies arising from the Investigating Officer’s report. Where the matter is not to be taken any further, the student shall be notified of this. If further evidence of misconduct subsequently comes to light, SGUL reserves the right to reconsider the matter under the Procedure.

3.3.1 Where a Hearing (Disciplinary) Committee is to be appointed, it shall normally reach its conclusions within three months of the report of alleged misconduct to the Principal. The Hearing Committee shall consist of:

- (i) A senior member of SGUL academic staff who shall be appointed to the Chair;
- (ii) A member of Council not being a person employed by SGUL or a lay member;
- (iii) A member of Academic Staff not being a member of Council and not previously concerned with the complaint who shall be appointed by the Chair of Senate under powers delegated by Senate.

The Academic Registrar or his/her nominee will attend to advise on procedure but shall not be entitled to participate in decision making and/or the deliberations of the Hearing Committee.

3.3.2 Written notice of the matter shall be sent to any student whose case is referred to the Hearing Committee by post to the address of the student currently recorded in the Registry. The clerk to the Committee shall notify the student and officer of SGUL nominated by the Principal to present SGUL's case – hereafter called the parties – of the identity of the Committee members and the date of the proposed hearing. SGUL – through the clerk to the Committee – shall send to the student the papers it intends to rely upon at the hearing at least 15 working days prior to the hearing date. The student shall then have until 5 working days before the hearing date to respond in writing and submit to the committee members and the officer presenting SGUL's case (through the clerk to the committee) any other papers on which he or she intends to rely.

3.3.3 Conduct of the Hearing Committee The parties will be required to attend the hearing in person. In the event that a student indicates a wish to withdraw from the University rather than face the Hearing Committee, the Chair of Senate may reject the application to allow for the Committee to hear the case. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence. The Chair will have discretion as to what constitutes a 'reasonable explanation'. Information about medical and healthcare students in cases of proven serious misconduct by the University, but who left SGUL voluntarily, may be shared between Universities and professional bodies provided that an investigation has taken place and a judgment has been recorded. Information will also be shared in cases where disciplinary hearings have been held 'in absentia'

3.3.4 The student shall have the right to be accompanied by a friend, relative, Students' Union officer or other representative. The Officer Presenting the SGUL Case shall also have the right to be advised and represented. Any party intending to be accompanied or represented must notify the clerk to the committee within 5 working days of the hearing of:(i) the identity of any third-party attendees; and (ii) the capacity in which they will attend, to enable parity of representation, if desired. Members of staff, students and others relevant to the case may be asked to give evidence to the hearing by either party. The Committee may also call upon other persons (whether or not a current member of SGUL) to provide advice on specific aspects of the case in writing or in person.

3.3.9 The clerk to the Committee shall, within 10 working days of the date on which the Committee met, send in writing to the parties the findings and decision of the Committee. The letter to the student will be sent to the address of the student currently recorded in the Registry. The findings and decisions of the Committee shall also be sent to the Chair of Council, the Chair of Senate, the Head of Governance, Legal and Assurance Services for formal report to the next meeting of Council and the Deputy Head of Governance, Legal and Assurance Services for formal report to the next meeting of Senate.

4.1 A student may request the Chair of Council to review the case and establish an Appeals Committee, on one or more of the grounds specified in paragraph 4.2 below. Notice of appeal must be lodged in writing with the Head of Governance, Legal and Assurance Services (who will act as or who will appoint a Clerk) within 10 working days from the date of notice of the decision of the Committee.

4.4 The decision of the Chair of Council not to appoint an Appeals Committee, or any decision made by an appointed Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL's Internal Complaints Procedure. This decision shall be communicated to the Academic Registrar and he or she or his/her nominee shall inform the student in writing of the Completion of Procedures within 10 working days of this decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraphs 3.3.2 and 3.3.9, set out above, state that correspondence relating to the Hearing Committee will be sent by post to the student's address. The Student Conduct and Compliance team will send all communications electronically and via email only during this period and students are asked to regularly check their student mail account.

Paragraph 3.3.3 states:

“Conduct of the Hearing Committee

The parties will be required to attend the hearing in person. In the event that a student indicates a wish to withdraw from the University rather than face the Hearing Committee, the Chair of Senate may reject the application to allow for the Committee to hear the case. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence. The Chair will have discretion as to what constitutes a ‘reasonable explanation’. Information about medical and healthcare students in cases of proven serious misconduct by the University, but who left SGUL voluntarily, may be shared between Universities and professional bodies provided that an investigation has taken place and a judgment has been recorded. Information will also be shared in cases where disciplinary hearings have been held ‘in absentia’”

Contingency: In light of the current guidance about work and study arrangements and the advice to avoid non-essential travel, Hearing Committees will be conducted virtually using online platforms during this period and there will be no requirement to attend in person. The Student Conduct and Compliance Team will provide guidance on how to access the relevant platforms well in advance of meetings and will assist in the troubleshooting of any issues. Wherever possible, the Student Conduct and Compliance Team will set time aside ahead of the meeting to test the technology with users who are less familiar with video-conferencing facilities.

Paragraph 6.1 states:

“All staff are encouraged to record and document on the student file held in the Registry, Joint Faculty or CPPD Office, all actions and decision making taken by SGUL from the day the incident is reported up until any criminal and/or disciplinary processes have been concluded. Such records will enable new decisions to be made effectively and allow for previous decisions to be reviewed and reconsidered where appropriate.”

Contingency: Due to current working arrangements, staff members are not able to access physical student files. However, Course Teams will retain all relevant documentation in an electronic student file so this can be added to the physical file at the appropriate time in the future. The Student Conduct and Compliance Team will also retain any case file information securely in our electronic case filing system, and in line with our retention schedule.

6. Procedure for consideration for an extension to a maximum period of study (GR4.14)

We would like to draw your attention to Paragraph 1.5 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure shall not be invalidated by an officer of SGUL acting in the place of another named in these regulations where circumstances make this expedient.”

Paragraph 2.2 sets out the membership requirements for Registration Extension Panel:

“The Registration Extension Panel shall consist of:

- (a) The Principal or Dean or Associate Dean in the Chair;
- (b) The Chair of the Board of Examiners OR the Chair of the sub-Board of Examiners OR the Assessment Lead for the section of the course from which students are to be considered;
- (c) One member of academic staff with a remit that includes student welfare.

The clerk to the Panel shall be the Academic Registrar or his/her nominee”

Contingency: In accordance with Paragraph 1.5 nominated representatives will participate in Registration Extension Panels on the behalf of any Panel Members who are unable to do so. Similarly, we will ensure actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate.

Paragraph 2.5 details the information that the Registration Extension Panel should be able to review:

“The Registration Extension Panel shall have available to it the student’s statement and any other supporting evidence provided; copies of the student’s assessment marks; and copies of any other relevant information.”

Contingency: The Student Conduct and Compliance Team will make every effort to collate the necessary documentation from students and other teams for the Registration Extension Panel’s consideration. All information will be retained securely in our electronic case filing system, and in line with St. George’s retention schedule.

The following paragraphs set out the timescales associated with this Procedure:

2.1 A student will be given consideration for an extension to a maximum period of study (“registration period”), where this is provided for in the relevant programme of study regulations. This shall be undertaken by a ‘Registration Extension Panel’, as appointed by Senate. The Panel shall normally complete its consideration and notify the student of the outcome within six weeks of the student making his/her application.

2.3 Applications to the Registration Extension Panel should normally be submitted by a student via the Student Conduct and Compliance Team at least 6 weeks prior to the expiry of his/her registration. The application should consist of a statement outlining the grounds on which an extension to the period of study should be granted and be accompanied by any evidence upon which the student wishes to rely. The factors which may be considered by the Registration Extension Panel are set out in the ‘Criteria in respect of applications for an extension to a maximum period of study (“registration period”)’.

2.8 The decision of the Panel, with reasons, shall be sent to the student in writing by the clerk to the Panel within 10 working days of the Panel’s meeting.

3.1 A student not permitted an extension to a maximum period of study (“registration period”), and whose registration will therefore be terminated, may request the Chair of Council to review the case and establish an Appeals Committee, on one or more of the grounds specified in paragraph 3.2 below. Notice of appeal must be lodged in writing with the Deputy Head of Governance, Legal and Assurance Services normally within 10 working days from the date of notice of the decision of the Panel. The Deputy Head of Governance, Legal and Assurance Services or her/his nominee will act as Clerk to Council.

3.4 The decision of the Chair of Council and/or the Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL’s internal procedures. The Academic Registrar shall be notified of this decision by the Clerk to Council and the Academic Registrar or his/her nominee shall inform the student in writing of the Completion of Procedures within 10 working days of this decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

7. Procedure for considering allegations of Assessment Irregularity (GR12.2)

We would like to draw your attention to Paragraph 1.5 of the Procedure, which states:

“In this procedure, any named officer may delegate her or his responsibilities to another member of SGUL staff; similarly, the procedure shall not be invalidated by an officer of SGUL acting in the place of another named in these regulations where circumstances make this expedient.”

Paragraph 3.6 specifies the membership of the Moderation Team, which is formed to consider the appropriate penalties for the assessment offences defined in the General Regulations Paragraphs 12(d) and (h):

“The Moderation Team shall consist of at least three members of academic staff from the following:

- a) Module Organiser or Lead (or deputy)
- b) Year Lead (or deputy)
- c) Year Examiner
- d) Chief Examiner
- e) Course Director
- f) An academic member of staff nominated by the Course Director”

Contingency: In accordance with Paragraph 1.5 we will ensure actions assigned to specific role holders in the Procedure are delegated to other staff members where required and as appropriate. Nominated representatives will participate in Moderation Teams on the behalf of any named role holders who are unable to do so themselves.

The following paragraphs set out the timescales associated with this Procedure:

2.3 On receipt of an allegation against a student, the Academic Registrar or his/her nominee shall write to the student to inform him or her of the allegation and provide details of any evidence. The student shall be invited to make a written statement, provide any supporting evidence, and to say whether or not he/she admits the allegation within 15 working days.

2.4 Where no response is received from a student within 15 working days of the date of sending the letter referred to in the preceding paragraph, and where the Academic Registrar or his/her nominee is satisfied that all reasonable steps have been taken to contact the student, the student shall be deemed to have admitted the allegation and asked that it be dealt with in her or his absence.

2.7 The Academic Registrar or his/her nominee shall, where required under paragraph 2.6, promptly appoint a disinterested member of senior staff to act as the Investigating Officer. The Academic Registrar shall also inform the Student Conduct and Compliance Team, a member of which shall act as the Clerk in such matters. Within 5 working days of the appointment, the Student Conduct and Compliance Team shall inform the student in writing of the identity of the Investigating Officer and confirm the reason for his/her appointment.

2.9 The role of the Investigating Officer is to make further enquiries to determine whether assessment irregularity has occurred and/or the circumstances surrounding the offence and save in exceptional circumstances, to prepare a written report for the Academic Registrar within 15 working days of his/her appointment. Where the allegation of assessment irregularity is disputed, the standard of proof required under this procedure shall be on the balance of probability.

2.15 The Academic Registrar or his/her nominee shall within 5 working days of the penalty being determined, provide the student with a copy of the report prepared by the Investigating Officer and a letter outlining any sanctions or penalties applied under the Procedure. The letter will be sent to the postal

address of the student, as recorded on the Student Record System. The student shall be informed of how long the details of the case will remain on their file and whom within or outside the institution will be informed of the case.

3.7 Within 5 working days of moderation, the student shall receive written confirmation from the Moderation Team of the penalty applied. This penalty shall be provisional pending ratification by the Board of Examiners.

3.8 Where a student has, for good reason, been unable to make the Moderation Team aware of mitigating circumstances, as prescribed in paragraph 3.5, the student shall be permitted to submit mitigating circumstances in writing to the Course Director within 5 working days of the provisional result being notified, which shall be reviewed by the Board of Examiners. Reports of mitigation should be accompanied by evidence that the student wishes to rely upon.

3.9 The student shall receive written confirmation of their ratified result by the Examinations Manager or his/her nominee within 20 working days of the Board of Examiners' meeting. This shall include confirmation of any penalty applied.

3.10 A senior administrator for the student's programme of study or his/her nominee shall record any incidence of assessment irregularity on the student's file within 10 working days of the result being ratified.

4.3 A student wishing to appeal must lodge her or his appeal with the Head of Governance, Legal and Assurance Services within 10 days of the date of the letter advising her/him of the penalty. Students should write a short, focused statement setting out the grounds for the appeal and should only include any new evidence that has not been previously presented and which supports the written statement.

5.1 The decision of the Chair of Council not to appoint an Appeals Committee, or any decision made by an appointed Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL's internal procedures. This decision shall be communicated to the Academic Registrar and he/she or his/her nominee shall inform the student in writing of the Completion of Appeals within 10 working days of this decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Student Conduct and Compliance Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and we will make all reasonable efforts to consult with students before determining the appropriate adjustment(s).

Paragraph 2.15, set out above, states that a copy of the Investigating Officer report and a cover letter will be sent to the student's address. The Student Conduct and Compliance team will send all communications electronically and via email only during this period.

Paragraph 3.8, detailed above, discusses the process for reporting mitigation to the Moderation Team. Students are encouraged to review [the Examinations Webpage](#) for information on what supporting evidence is required during this time.

8. Student Appeals Committee Procedure (GR21.3)

We would like to draw your attention to Paragraph 1.5 of the Procedure, which states:

“In this procedure any named officer may delegate her or his responsibilities to another member of SGUL; similarly, the procedure shall not be invalidated by an officer of SGUL acting in the place of another named in these regulations where circumstances make this expedient.”

Paragraph 2.2 sets out the membership of an Appeals Committee under this Procedure:

“Where an Appeals Committee is to be constituted, this shall be appointed by the Chair of Council. The Committee shall be chaired by a person not actively connected with SGUL in any capacity, and shall also include two other persons who have not had any previous direct involvement in the case, of whom one shall be a co-opted member of Council and the other shall be a member of Academic staff.”

Contingency: In the event that an external committee member is unable to fulfil their duties and a stopgap appointment cannot be made, the Chair of Senate has the authority to amend the membership of the Committee to limit external involvement. If changes to the Committee membership become necessary, these will be managed on a case-by-case basis and the University will contact students promptly to notify them of the changes.

The following paragraphs set out the timescales associated with this Procedure:

3.1 The clerk to the Appeals Committee shall notify the student and the Principal (or other officer of SGUL nominated by the Principal to present the SGUL’s case) – hereafter called the parties – of the identity of the Committee members and the date of the proposed hearing. Both parties shall be allowed at least 10 working days in which to prepare their case. The case for appeal and all other information on which the parties intend to rely must be made available to the other party and to the members of the Committee at least 5 working days before the date set for the hearing.

3.3 The student shall have the right to be accompanied by a friend, relative, Students’ Union officer or other representative. The officer presenting SGUL’s case shall also have the right to be advised and represented. Any party intending to be accompanied or represented must notify the clerk to the committee within 5 working days of the hearing of:

- (i) the identity of any third party attendees; and
- (ii) the capacity in which they will attend, to enable parity of representation, if desired.

Members of staff, students and others relevant to the case may be asked to give evidence to the hearing by either party. The Committee may also call upon other persons (whether or not a current member of SGUL) to provide advice on specific aspects of the case in writing or in person.

3.13 The clerk to the Appeals Committee shall, within 10 working days of the date on which the Committee met, send in writing to the parties the findings and decision of the Committee. This shall also be sent to the Chair of Council and Chair of Senate for formal report to the next meeting of Council and Senate, including any recommendations on which Council should decide. This shall also be sent to the Secretary and Academic Registrar for completion of appeals purposes.

3.14 The decision of the Chair of Council not to appoint an Appeals Committee, or any decision made by an appointed Appeals Committee on behalf of the Council, shall be final and shall conclude SGUL’s internal procedures. The Secretary and Academic Registrar or her/his nominee shall provide the student with a Completion of Procedures letter within 5 working days of the decision being taken.

Contingency: We recognise that the health of staff and students might be impacted during this time and this could lead to delays in the processing of cases.

The Governance, Legal and Assurance Services Team ask that students and staff work with us and provide as much notice as possible should they be unable to meet the procedural deadlines set out. If extensions to timescales become necessary, these will be managed on a case-by-case basis and all reasonable efforts will be made to consult with students before determining the appropriate adjustment(s).

Paragraph 3.2 states:

“The parties will be required to attend the hearing in person. If either party fails to attend without reasonable explanation, the Committee may consider the case in their absence. The Chair will have discretion as to what constitutes a ‘reasonable explanation’.”

Paragraph 3.3, which is set out above, also notes that attendance in person at the Appeals Committee could be required.

In light of the current guidance about work and study arrangements and the advice to avoid non-essential travel, Student Appeals Committees will be conducted virtually using online platforms during this period and there will be no requirement to attend in person. Guidance will be provided on how to access the relevant platforms well in advance of meetings.

Document	Para	Issued/Approved by
Disclosure and Barring Service Policy	3.4	Executive Board
Procedure for consideration for a final discretionary attempt at an assessment	4.10	Senate
Procedure for consideration for an extension to a maximum period of study (registration period)	4.14	Senate
Procedure for Consideration of Fitness to Study or Practise	4.15	Senate
Procedure for considering allegations of Assessment Irregularity	12.2	Senate
Academic Appeal Procedure	14.4	Senate
Student Disciplinary Procedure	20.4	Council
Student Concerns and Complaints Procedure	21.2	Senate
Student Appeals Committee Procedure	21.3	Council

9. Disclosure and Barring Service Policy (GR3.4)

The following paragraphs in the *Process for Checking Criminal Records and Disclosure & Barring Status of Applicants and Students* discuss the storage and retention arrangements for information relating to criminal records:

40. All information relating to criminal records will be kept securely. In particular documents will be stored in locked filing cabinets and access to keys or lock combinations to those filing cabinets will be restricted.

41. Disclosure documents returned by the DBS to SGUL will be destroyed confidentially within six months of completion of the admissions process or, if a student is admitted onto a programme of study, six months after registration. Documents may be retained with the agreement of the DBS in exceptional circumstances, i.e. when a dispute is raised.

42. In the case of disclosure of a criminal offence, information about the offence will be kept for the purpose of deciding about a student's suitability for his or her studies. This information will be held securely by SGUL, not on the student's Registry file, with access restricted to those with good reason to see this information. This information will also be destroyed after six months. In the case of a continuing student, if the disclosure results in a Fitness to Practise enquiry, further evidence will be gathered as part of this separate process. Consent from the DBS would allow information gained during the disclosure to be included in the investigation and to retain it for longer than the usual 6 months.

The Policy Statement on The Secure Storage, Handling, Use, Retention & Disposal of Disclosures and Disclosure Information also states:

"...Disclosure information is never kept on an applicant's or student's file and is always kept separately and securely, in lockable, non-portable storage containers with access strictly controlled and limited to those, who are entitled to see it as part of their duties.

...We do not keep Disclosure information for any longer than is absolutely necessary. No information on applicants' or students' criminal records will be kept for longer than six months after completion of the admissions process or, if admitted onto a programme of study, six months after registration. If, in very exceptional circumstances, it is necessary to keep Disclosure information for longer than six months, we will consult the DBS and will consider the data protection and human rights of the individual before doing so. Throughout this time, the usual conditions regarding safe storage and strictly controlled access will prevail, until such time that the information will be disposed of in a confidential manner."

Contingency: Due to current working arrangements, staff are not able to access physical storage. The Student Conduct and Compliance Team would like to reassure applicants and students that all information relating to criminal records will be stored securely within our electronic filing system, which is access-controlled. We will endeavour to ensure all information is disposed of in line with the retention timescales detailed above.

