

**The London Institute
of Banking & Finance**

Principles and Procedures

for

**The London Institute of Banking & Finance
Assessment Boards**

1. Introduction

- 1.1 This document contains guidance notes on the operation of The London Institute of Banking & Finance (LIBF) Assessment Boards in respect of its higher education programmes.
- 1.2 The document covers:
- Key principles for the management of LIBF Assessment Boards;
 - Procedural notes.
- 1.3 The guidance applies across all Assessment Boards and is kept under review through the Academic Board and its sub-committees.
- 1.4 It is recognised that the variety of types of LIBF's programmes, e.g. postgraduate, undergraduate, part-time, full-time, may dictate variations in the operation of their Assessment Boards. Any such variations are to be determined in line with LIBF's General and Academic Regulations and Code of Practice for Quality Assurance and must be consistent with the following overarching key principles.

Note: Except where indicated in the text, these principles and procedures apply equally to Module and Programme Assessment Boards.

2. Key principles for the management of LIBF Assessment Boards

2.1 General principles

- 2.1.1 Assessment Boards will exist for programmes at FHEQ Level 4 and above which lead to a **LIBF** higher education award and will normally meet twice a year for Undergraduate and Postgraduate provision.
- 2.1.2 Assessment Boards will be conducted as face-to-face meetings unless, in exceptional circumstances, authorised in alternative mode by the Chief Executive (or, in his / her absence, the Associate Dean) in discussion with the Chair of the Assessment Board.
- 2.1.3 The proceedings of Assessment Boards shall be conducted in line with the Standing Orders of the academic sub-committees of the Board of Governors.
- 2.1.4 All Assessment Boards must operate in accordance with the procedures established by LIBF to ensure consistency in the treatment of students across programmes.
- 2.1.5 Any conflicts of interest must be disclosed at the commencement of the meeting.
- 2.1.6 As far as possible, routine discussions regarding students at Assessment Boards are conducted without reference to the identity of the students concerned.
- 2.1.7 The detail of discussions at Assessment Boards is confidential as is any supporting documentation; outcomes are to be treated with the appropriate degree of confidentiality when being reported elsewhere and shall not be disclosed to students except where such disclosure is authorised by the Chief Executive.

- 2.1.8 Members, particularly the Programme External Examiner, will be allowed the opportunity to reflect on their experience of the immediate past assessment session(s) and the standards set and achieved by the assessments and the programme overall.
- 2.1.9 Module Assessment Boards will confirm the achievement of module, credit claim and exemption credits at Level 4 and above.
- 2.1.10 Programme assessment boards will confirm the award of degrees, diplomas and certificates at Level 4 and above.

2.2 Membership and quoracy principles

- 2.2.1 Membership of Assessment Boards is defined within their terms of reference; therefore each member can be sure of their contribution.
- 2.2.2 To be quorate, at least 50% of the membership of an Assessment Board must be present when decisions are taken affecting students, the relevant Programme External Examiners must also be present for a Programme Assessment Board to be quorate except in the case of resit boards.
- 2.2.3 Members are present to ensure consistency of decision making and so attendance should be carried through to the end of the meeting so that every student receives a comparable experience within the assessment process.
- 2.2.4 The Chair is considered the guardian of the regulations, policy and precedent ensuring an equality of experience for each student.
- 2.2.5 The Secretary acts as the guardian of the official record of the assessment process; they will not be a formal member of the Board.
- 2.2.6 For the duration of their appointments, all External Examiners will be members of the Module Assessment Board that relates to assessments for the modules for which they are responsible as well as members of the appropriate Programme Assessment Board.
- 2.2.7 No student may be a member of an Assessment Board, except that a member of the academic community registered for a postgraduate degree may be a member of a Board unless there is a conflict of interest.
- 2.2.8 A representative of LIBF's Quality, Policy and Regulation department will attend each Assessment Board to provide informed comment on procedural issues linked to LIBF's regulations and Code of Practice and, in that capacity, will act as a primary member of that Board.

2.3 Agendas and minutes principles

- 2.3.1 Agendas and minutes are important to guide and record the business of Assessment Boards.

- 2.3.2 Non-members of the Assessment Board may be included in the distribution of agendas and minutes for information. However, such papers should only be circulated in the strictest confidence.
- 2.3.3 Agendas will be based on a common template, where an agenda item is not appropriate for consideration it should be marked as such but not removed.
- 2.3.4 Full minutes of meetings will be kept in line with agreed requirements and protocols and agreed by all members present at the Assessment Board meeting.
- 2.3.5 It is important to record clearly in the minutes those students for whom supplementary information was considered and the reason(s) for the Assessment Board's decision. If a student subsequently submits an academic appeal, the investigating officer may request to see the minutes of the Assessment Board concerned to clarify whether, and how, any exceptional issues were considered.
- 2.3.6 To ensure that adequate feedback is received and recorded from External Examiners on all aspects of the assessment process both the agenda and minutes of Assessment Board meetings must allow for, and record, comments made by the External Examiners.

3. Procedural notes for LIBF Assessment Boards

3.1 Chairing and secretarial support at Assessment Board meetings

- 3.1.1 The Chair and Secretary should have an excellent knowledge of the regulations and assessment policy and be ready to call on, and respond to, the advice of the representative from the Quality, Policy and Regulation team as required.
- 3.1.2 Key responsibilities of the Chair are:
 - 1. To appoint the members of the Assessment Board;
 - 2. To ensure that all members of the Board are properly briefed and that the Secretary is adequately prepared / trained;
 - 3. To liaise closely with the Secretary to ensure that the marks presented are full and correct;
 - 4. To confirm that the External Examiners have been provided with an appropriate sample of the assessed work of the students;
 - 5. To ensure that thorough discussion about the performance of students takes place, taking into account the views of the External Examiners and any mitigating circumstances, and to guide the Assessment Board towards clear recommendations / decisions;
 - 6. To take responsibility for ensuring that, where the Assessment Board takes a decision other than that indicated by the attaching conventions for the programme concerned, the reason(s) for so doing are shown in the record of decisions made;
 - 7. To consider and initiate such actions as they think necessary on advice given by the External Examiners;
 - 8. To take Chair's action, eg in the event of incomplete information being available at the time of the meeting, in a responsible, accountable manner;

9. In close collaboration with the Secretary, to ensure that marks and award recommendations, as relevant and as confirmed by the Board, are prepared and checked;
10. To report to Academic Board that all processes and procedures were followed correctly and in line with policies and regulations.

3.1.3 Key responsibilities of the Secretary are:

1. To establish the dates of meetings in advance and proceed to arrange those meetings informing members accordingly;
2. To make all administrative arrangements for Assessment Boards, including liaison with the Module and Programme External Examiners as appropriate;
3. To draft agendas for approval by the Chair and for dissemination to all members prior to the Board meeting;
4. To oversee the provision of all supporting documentation for meetings;
5. To maintain an accurate record of attendance by members and advise the Chair in respect of the quoracy of meetings;
6. To provide advice on programme assessment regulations and associated conventions during the meeting;
7. To produce full and accurate minutes;
8. To ensure the minutes are presented to the Academic and Standards Quality Committee (ASQC).

3.1.4 Key responsibilities of the Head of Assessment & Curriculum are:

1. To ensure that the marks presented to the Assessment Board are correct and that any subsequent amendments are actioned;
2. To ensure that pass lists are prepared;
3. To ensure that results are communicated to students via all appropriate communication channels;
4. To ensure that students receive appropriate notification of the Assessment Board outcomes and receive clear deadlines for any re-assessment;
5. To ensure that certificates and transcripts are produced and communicated in a timely manner.

3.2 Membership and quoracy procedures

3.2.1 It is the responsibility of the Chair to ensure that Assessment Boards are quorate and fully representative of their intended constituents.

3.2.2 Where a Module External Examiner is unable to attend a Module Assessment Board they must be asked to provide a report.

3.3 Voting procedures

3.3.1 If an Assessment Board is unable to agree a decision under its duties, a vote may be required to determine the outcome. The Chair shall conduct the vote and will only be eligible to register a vote if a majority is not obtained, i.e. the Chair retains a casting vote only.

3.4 Delegation of authority

- 3.4.1 A meeting of an Assessment Board may delegate to the Chair of that Assessment Board, or to a specified sub-set of its members, the authority to take decisions on individual students between meetings of the Board. When such decisions are taken, the Chair shall ensure that the relevant External Examiners are in agreement with them and that the decisions are ratified at the next Assessment Board meeting.

3.5 Agendas and minutes procedures

- 3.5.1 Agendas will be circulated with any non-confidential documentation five working days in advance of the meeting.
- 3.5.2 Minutes of meetings should be prepared and circulated promptly (normally within 10 working days of the meeting).
- 3.5.3 Details of membership, attendance and confirmation of quoracy should be recorded within the minutes of Assessment Board meetings.
- 3.5.4 Minutes should clearly record the decisions taken in summary form by candidate number (e.g. A12345: first class, etc).
- 3.5.5 If a member should leave an Assessment Board meeting in exceptional circumstances, this must be entered in the minutes of that meeting.

3.6 Recording Assessment Board decisions

- 3.6.1 The Chair and Secretary must ensure that records of Assessment Board decisions are full, accurate and complete within a short period of time (normally a maximum of two weeks) after the Assessment Board meeting.
- 3.6.2 It is important that those attending Assessment Board meetings do not retain Assessment Board data.
- 3.6.3 It is the responsibility of the Chair and Secretary to ensure that all actions as a result of Assessment Boards are followed through and completed.

3.7 Publication of results procedures

- 3.7.1 The Chair and / or Secretary of the Assessment Boards should arrange for results to be made available to students on-line within one week of the Assessment Board meeting. Results should not be divulged over the telephone.

Updated March 2018