Review of external examining arrangements in universities and colleges in the UK

Final report and recommendations





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Foreword

Universities UK and GuildHE would like to thank Professor Dame Janet Finch for producing a report that is clear, succinct and outlines many positive recommendations for developing external examining in UK higher education.

We fully endorse the recommendations contained in this report. We particularly support the commitment to increased consistency of practice across universities and colleges and the commitment to increased transparency for students. The report clearly outlines what any student should expect from external examining, whichever programme they are on and wherever they are studying.

The Review of external examining complements a wide range of other activities the sector has initiated to build upon and develop our commitment to an effective, robust and transparent system for maintaining academic standards and quality assurance.

External examining, whilst crucial to maintaining academic standards, does not operate in isolation and is both part of and reinforced by the other requirements of the Academic Infrastructure (including qualifications frameworks, subject benchmarks and the code of practice), which is currently being reviewed by the Quality Assurance Agency (QAA). We look to them to incorporate the recommendations of this Review into the revised Academic Infrastructure (or its replacement), and to ensure that external examining remains a priority area for institutional review. We are glad that the QAA has agreed to treat this as a priority area in its programme of work. Given the substantial progress made with this Review, we would expect the QAA to be in a good position to incorporate these recommendations quickly.

We also encourage and expect institutions to implement the recommendations as soon as possible. Without their rapid and universal adoption, the consistency which this report recommends will not be achieved. Although there may be a very small number of specialist institutions who need to adapt some recommendations to suit their circumstances, the great majority should be able to implement them without variation. In our view, most of the recommendations should be adopted by universities and colleges now, rather than waiting for the QAA to finalise the revised Academic Infrastructure. This would demonstrate the value the sector places on external examining and its commitment to improvement, transparency and the maintenance of robust academic standards.

Professor Steve Smith President, Universities UK

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Report

- When I was invited to lead this Review I was keen to do so because the external examining system plays a central role in supporting the maintenance of academic standards. This is particularly important at a time when students are increasingly focused on the value of their qualifications, and are rightly concerned about the quality of the education they receive.
- I have long experience of university education, both as an external examiner and as an academic. I have also been involved in developing the systems of quality assurance that we now have in place at both institutional and national level. The UK higher education sector has developed remarkably during my career, to the point where we now have a quality assurance system that has been recognised as a leading example of best practice around the world. It is in the interests of the UK, our universities and colleges, and our students that this strong position be maintained.
- 3 Students should expect to understand how the standards of their programmes are maintained and protected. This is especially so in an environment where there is radical change proposed for higher education, for example the shift from primarily state-based funding to primarily student-based funding in England. Students need to be assured that, wherever they study and whichever programme they choose, there will be clear, consistent and effective external examining arrangements. In the view of the Review Group, this is part of the sector's general commitment to being accountable to students and ensuring that they have an excellent educational experience.
- The need for a strong external examining system arises because, in UK higher education, each individual institution with degree-awarding powers is academically autonomous. It has the responsibility of setting the standards for its own awards, and ensuring that the students who graduate from its programmes achieve those standards. There is no one external agency which guarantees standards. Some higher education colleges, which do not have degree-awarding powers, teach programmes which are validated by an institution which does have such powers. In these cases it is the validating university which holds the responsibility for setting and maintaining the standards of the college's programmes.
- Setting and maintaining standards in the UK system therefore exhibits a tension which must be resolved: over 140 universities and colleges separately set and maintain their own standards, but at the same time there is a public expectation that qualifications awarded by one institution are broadly comparable with those awarded by all others. This tension is resolved in a number of ways, including importantly by the external examining system. The involvement of independent academics in the assessment process (and where appropriate on professional courses, the involvement of independent practitioners) serves to ensure that there is benchmarking against comparable programmes at the point when students are being awarded their qualifications.
- External examiners have a specific role to play in the maintenance of standards because they are involved in the process of assessing and examining each cohort of students. They also play an important role in the sharing of good practice between institutions. However, institutions have other ways in which they benchmark and test their standards against the rest of the sector. External examining represents one element of extensive arrangements within institutions for assuring quality and standards. These arrangements follow the national guidance set out in what is currently known as the QAA 'Academic Infrastructure' and the requirements of the Professional, Statutory and Regulatory Bodies (PSRBs). The latter are the subject-based organisations that have a

national role to play in ensuring standards and levels of achievement in programmes in areas including medicine and engineering. Institutions with degree-awarding powers normally use external advisers when they are developing their programmes, not just in the examining process, so that external examining does not bear the full weight of ensuring comparability between programmes at different institutions. However, it understandably attracts the most attention because it is often the most visible element. (External examining in this report refers to the external examining of taught undergraduate and postgraduate programmes.)

- Universities UK and GuildHE invited me to lead this Review because there had been considerable criticism of the system of external examining in public policy debate and in the media, and a variety of proposals for change. Amongst the concerns raised were that there was too much variation in practice across the sector, doubt about the comparability of degree standards and results, and a concern that the complex mass higher education system which we now have in the UK puts external examining arrangements under pressure.
- These concerns were detailed at length in the discussion paper that Universities UK and GuildHE issued in July 2010 as part of the review process. We received 117 responses and have taken these into account in formulating our recommendations. The overwhelming body of opinion from the responses is that the external examining system works well on the whole, and does not require a major overhaul. This also accords with the most detailed evidence that we have, which is drawn from all of the inspections of institutions conducted by the QAA. This indicates that the system is being professionally managed by the sector and that it makes a substantial contribution to maintaining standards and ensuring good practice. The existing system is, in the view of the Review Group, fundamentally robust and fit for purpose.
- Having said this, however, it is clear to members of the Review Group that what might be transparent to those who are familiar with the assessment system might not be transparent to students and other stakeholders. There is much evidence of good practice, but we believe that this is the right time to look at how processes can be strengthened to make sure that examining is always underpinned by clear, effective, and consistent expert external input. To secure widespread confidence the system should be more open, so that students know what external examiners do, what they say about programmes, and how institutions respond to this. Conversely, institutions should be confident that, building upon our recommendations, they have a system that is effective and works well in the interests of students, whilst not breaching the unique responsibility which each institution holds for its own academic standards.
- We have therefore taken seriously the criticisms of external examining, weighed them against the available evidence and considered how we could improve the system. We have some sympathy with concerns about variable practice and the need for greater transparency. We believe that the sector, working with the QAA, needs to explain clearly the external examining system, in terms which are readily understandable by those unfamiliar with it. Part of that explanation must include articulating a clear entitlement for students to know what they can expect from external examiners regardless of subject, course or university/college.
- In formulating our recommendations, we have paid particular attention to three issues which have been at the heart of criticisms of external examining. The first is comparability. A key issue for critics of the system is scepticism that degree standards are comparable across the sector. This criticism rebounds on external examining if the sector claims that it is an external examiner who guarantees that degree outcomes in one programme are exactly comparable with those in another.

We do not believe that it is appropriate to expect external examiners to give such guarantees. Most institutions ask their external examiners to comment on the 'broad comparability' of standards relative to other institutions which offer similar programmes, and this seems appropriate to us.

- In a sector as large as that of the UK, with thousands of subjects taught at a variety of institutions with different cultures, priorities and approaches as well as many different ways of teaching and assessing students, there will always be variety in the student experience, standards of achievement and degree outcomes. We believe that it is right to expect all programmes to meet a minimum standard, which increasingly has come to be seen as a threshold standard, which should be achieved by every programme, wherever it is taught. Those thresholds are defined at a subject level as part of the Academic Infrastructure overseen by the QAA. Beyond that threshold, different institutions will offer degrees with similar subject titles which provide very different experiences for students, with different emphases and demands to meet the needs of a very diverse student body and the needs of industry and the professions. This is the context in which external examiners have to operate.
- The second issue is the process of selecting and appointing external examiners.

 There has been criticism that the external examining process is too cosy because, it is believed, appointments are made on the basis of personal relationships, and therefore external examiners are unlikely to be critical of programmes taught by colleagues who they know well. It has been suggested that the way to overcome this would be to establish a national register of external examiners, from which institutions would be obliged to select their appointees.
- We do believe that the system for appointing external examiners needs to be made both more consistent and more transparent. We recommend the adoption of nationally agreed criteria for making these appointments, and a process for so doing. However, we are not recommending a national register. We believe that this would impose an unnecessarily bureaucratic burden and cost on the sector for little additional gain, beyond that which will be seen if our preferred proposals are adopted consistently by all institutions.
- The third issue to which we have paid particular attention concerns how to increase both the transparency of, and confidence in, the system, particularly from a student perspective. We have concluded that the best way to do this is to be as transparent as possible with external examiners' reports, and make them available in full to any student who wishes to see the reports for his or her programme. Such reports of course would not name individual students, or indeed individual staff. We recognise the potential danger that this change will result in reports which are blander and possibly less candid. However, we would rely on the professionalism of examiners, and the maturity of institutions, to ensure that this does not happen, and on the QAA to test this in its periodic reviews. We believe that there is much to be gained from a positive, confident and open approach to reports.
- In formulating its recommendations, the Review Group was conscious that it had no powers to require their implementation. Nor does any national organisation have such a power quite rightly, given that each institution with degree-awarding powers carries a unique responsibility for academic standards.
- Our recommendations are therefore made in the first instance to every institution with degree-awarding powers. We urge them all to consider and to adopt our recommendations, for implementation by the start of the academic year 2012/13.

- We also urge Universities UK and GuildHE, the representative bodies who commissioned this report, to take a lead on behalf of the sector in promoting the adoption of these recommendations.
- The Review Group recognises that some of its recommendations may increase the workload for institutions. We have been mindful that we should not impose unnecessary demands at a time when all institutions will want to devote as much resource as possible to front-line services. However, we believe that any increase in workload occasioned by our recommendations is justified by the importance of demonstrating and maintaining high standards.
- Our recommendations also have implications for the QAA, who have been involved in both the Review and Expert Groups. We envisage that they will incorporate our recommendations into the revised Academic Infrastructure and that they will include in the audit/review process an assessment of how far each institution has successfully adopted them.

Method of working

- The purpose of the Review is outlined in Annexe A, as is the membership of the Review Group and the Expert Group. Both groups involve UK-wide participation and the involvement of the National Union of Students (NUS). A larger number of colleagues volunteered for the Expert Group than we could accommodate, so we chose members on the basis of experience as an external examiner and of managing the external examining process, in a wide range of institutions.
- The Review has worked closely with the QAA, which is developing a set of minimum expectations for the role of the external examiner and is taking forward the development of the code of practice on external examining as part of the review of the Academic Infrastructure. Throughout its work, the Group has sought to build upon the guidance in the code of practice and the expertise and knowledge of the QAA.
- In July 2010 we issued a discussion paper, circulated to all institutions, students' unions and professional, statutory and regulatory bodies. This discussion paper included the latest developments with the QAA minimum expectations. Members of the Review have attended a wide range of meetings with colleagues in the sector and with the NUS to discuss and explain the issues. There has been widespread recognition of the need to explain external examining more clearly and demonstrate more effectively the core achievements and effectiveness of the arrangements. We are confident that these can be developed into clear expectations for students that the sector should and can meet.
- I would like to thank the members of the Review Group and Expert Group, who devoted considerable time and effort to this Review, and to acknowledge the commitment and interest of higher education institutions in improving quality and standards in the sector.

Recommendations

Recommendation 1: The following principles should underpin the operation of the external examining system:

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

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

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

Recommendation 2: A national set of minimum expectations for the role of external examiners should be developed, and should be adopted by each institution. The QAA is currently developing these.

Recommendation 3: There should be a national set of criteria established for the appointment of external examiners, and these should be adopted by each institution. Annexe B sets out our recommended criteria.

Recommendation 4: Each institution should provide an induction for all external examiners they appoint, clearly outlining organisational procedures and practices and national expectations, and highlighting the crucial value of their critical approach to the institution and that they are part of the broader organisational system of quality assurance.

Recommendation 5: First-time external examiners should be appointed as part of a team, where more experienced external examiners can mentor them. Training should be provided where necessary.

Recommendation 6: All universities and higher education colleges should recognise the importance of the external examiner role in promotion procedures and demonstrate commitment and support for their own staff acting as external examiners for other institutions.

Recommendation 7: There should be a core content for all external examiners' report forms, building upon the minimum expectations for the role and covering:

• alignment of outcomes/comparability of standards

whether the programme is coherent; whether courses at the same levels within the programme are set at a comparable standard; whether the level is consistent with the level set in the relevant national qualifications framework; whether standards of student performance are comparable with similar programmes with which the examiner is familiar

· fairness and rigour

whether the marking scheme and arrangements for classification are appropriate; whether the examination process was carried out properly; whether the internal marking was of an appropriate standard

overview and enhancement

what the examiner would identify as the strengths and weaknesses of the programme; whether he/she has suggestions for improvements based on experience at other institutions

Recommendation 8: Names of all students and staff should be omitted from external examiners' reports, to maintain appropriate confidentiality.

Recommendation 9: In addition to the core content of the report, all external examiners should confirm that sufficient information has been provided, that they have received enough support for their role, and that appropriate procedures and processes have been followed. This confirmation should not be burdensome, and can be done in the form of a checklist (recommended at Annexe C).

Recommendation 10: All institutions should make it clear to their external examiners that, in exceptional circumstances, they may raise issues of concern – confidentially – directly with the vice-chancellor.

Recommendation 11: Institutions should ensure that an overview of the general issues and themes arising from external examiners' reports is fully considered and acted upon in the institution and that student representatives are fully involved in the process, enabling them to understand all of the issues raised and the response from the institution.

Recommendation 12: All external examiners' reports should be made available, in full, to all students, with the sole exception of any confidential report which may be made to the vice-chancellor.

Recommendation 13: The name, position and institution of all external examiners should be included in programme details provided to students, although it will be open to institutions to clearly state that it is inappropriate for students to contact external examiners directly.

Recommendation 14: 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, there should be an independent mechanism for raising these issues outside the institution. The QAA arrangements for addressing concerns about standards and quality in higher education represent an appropriate mechanism for this purpose for those nations of the UK which have adopted it. All institutions in these nations should make it clear to their external examiners that, were it ever necessary, they should use this route.

Annexe A

Scope of the Review

Purpose

For Universities UK and GuildHE to review external examining arrangements in the UK in order to consider and recommend what improvements need to be made to ensure that they effectively support the comparability of academic standards and are robust enough to meet future challenges.

In doing so, the Review will:

- ensure that issues arising from the QAA Thematic Review, the Innovation, Universities, Science and Skills Select Committee Report, the Higher Education Funding Council for England's Teaching, Quality, and the Student Experience sub-committee, and the Department for Business, Innovation and Skills's Higher Education Framework are considered and addressed
- work in partnership with interested bodies and agencies across the UK including the QAA, Higher Education Academy (HEA), NUS and Association of Colleges
- keep in touch with the views and concerns of the funding councils and government
- look to coordinate and support the work of other bodies in this area, most notably the QAA and HEA, to avoid duplication, maximise coherence, and facilitate clear and simple public messages about the development of external examining arrangements
- maintain effective links with the development of the Quality Assurance Scheme
- contribute to the development of an effective Universities UK and GuildHE public position on quality and standards

Issues

The issues that the Review (or organisations that the Review will work with) will consider include:

- the core and changing role of external examiners and the way in which this is communicated to a wider audience
- development of Terms of Reference for the role, to ensure consistency and comparability
- the specific role of external examiners in ensuring appropriate and comparable standards
- following up recommendations made by external examiners
- the involvement of external examiners during the lifespan of a course
- the level of support given by institutions to external examining, both financial and professional
- the appointment, training, induction and duration of office of external examiners

- current and future challenges and changing practice (such as modularisation) and their implications for external examining
- recognition of the external examiner role in promotion procedures
- comparable international practice
- external examiners and further education colleges their sourcing, payment and partnership arrangements
- how best practice can be shared and adopted, including the value of a 'college of peers' model
- the availability of an independent recourse for external examiners for raising concerns when routes within institutions' own processes are exhausted
- the section of the QAA Code of Practice on external examining

Membership of Review Group and Expert Group

Review Group

Ms Helen Bowles, Policy Adviser and Deputy Chief Executive, GuildHE

Professor Dame Janet Finch CBE (Chair) Vice-Chancellor, Keele University (until July 2010)

Professor John Last, Principal, Norwich University College of the Arts

Professor Noel Lloyd CBE, Vice-Chancellor, Aberystwyth University

Mr Sean Mackney, Deputy Chief Executive, Higher Education Academy

Ms Joy Mercer, Quality Manager, Association of Colleges

Dr Jayne Mitchell, Director of Development and Enhancement, Quality Assurance Agency

Mr Aaron Porter, President, National Union of Students

Professor Sue Scott, Pro-Vice-Chancellor, Research, Glasgow Caledonian University

Mr Simeon Underwood, Academic Registrar, The London School of Economics and Political Science

Mr Greg Wade, Policy Adviser, Universities UK

Expert Group

Dr David Ashton, Deputy Director, Student Services and Administration, Kingston University

Professor John Baldock, Pro-Vice-Chancellor (Research), University of Kent

Ms Helen Bowles, Policy Adviser and Deputy Chief Executive, GuildHE

Dr Tim Burton, Assistant Director, Development and Enhancement Group, Quality Assurance Agency

Professor Peter Bush, Pro-Vice-Chancellor (Academic), The University of Northampton

Professor Geoffrey Channon, Pro-Vice-Chancellor (Teaching and Learning), University of the West of England, Bristol

Mr Paul Cottrell, National head of public policy, University and College Union (UCU)

Professor Lesley Dobree, Deputy Vice-Chancellor (Academic), Anglia Ruskin University

Professor Dame Janet Finch CBE (Chair), Vice-Chancellor, Keele University (until July 2010)

Mrs Jacqui Hare, Pro-Vice-Chancellor (Learning & Teaching), University of Wales Institute, Cardiff

Professor David Heeley, Director of Academic Standards & Quality, University of Abertay Dundee

Ms Caroline Johnson, Academic Registrar, University of Surrey

Mr Mark Leach, Research and Policy Officer (HE), National Union of Students

Professor Rob Macredie, Pro-Vice-Chancellor (Student Experience), Brunel University

Professor Philip Martin, Pro-Vice-Chancellor (Student Experience), De Montfort University

Professor Denise McAlister, Pro-Vice-Chancellor (Teaching and Learning), University of Ulster

Professor Ewan McKendrick, Pro-Vice-Chancellor (Education, Academic Services and University Collections), University of Oxford

Ms Rowena Pelik, Director of Academic Development, Edinburgh Napier University

Mr Aaron Porter, President, National Union of Students

Professor Ella Ritchie, Deputy Vice-Chancellor, Newcastle University

Ms Ellie Smith, Academic Secretary, Buckinghamshire New University

Dr Claire Taylor, Head of Learning and Teaching, Bishop Grosseteste University College Lincoln

Ms Eleanor Taylor, Associate Director for HE Curriculum and Quality, West Nottinghamshire College

Mr Greg Wade, Policy Adviser, Universities UK

Professor Thomas Ward, Pro-Vice-Chancellor (Academic), University of East Anglia

Annexe B

National criteria for the appointment of external examiners

- 1 Every external examiner will be expected to have:
 - competence and experience in the field covered by the course
 - academic qualifications/professional qualifications to at least the level of the qualification being externally examined
 - experience of setting examinations and running assessment procedures (either externally or internally)
 - sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of colleagues
 - familiarity with the standard to be expected of students in the course to be examined
 - fluency in English (and Welsh, where appropriate)
 - met the criteria set out by professional and accrediting bodies
 - awareness of modern developments in the design and delivery of the flexible curriculum
 - · expertise in the enhancement of the student experience
- Former staff and students of an institution can only be appointed as external examiners for the same institution after a period of not less than five years has passed since leaving the institution.
- Retirees can be considered provided they have sufficient evidence of continuing involvement in the academic area in question.
- 4 External examiners should hold no more than two external examiner appointments at any point in time.
- To avoid potential conflicts of interest, external examiners should not be appointed if they are covered by any of the following categories:
 - · court member
 - governor
 - near relative of a member of staff or student involved with the programme of study
 - an examiner on a cognate course in the institution
 - anyone closely associated with the sponsorship of students on the course
 - anyone closely associated with placements or training
 - anyone required to assess colleagues who are recruited as students to the programme of study
 - anyone in a position to influence significantly the future of students on the programme of study

- · anyone involved in collaborative research activities with a member of staff
- anyone who has been directly involved as an external member of the validation panel for the programme
- 6 Reciprocal arrangements between institutions are not allowed.
- 7 The replacement of an external examiner from an institution by a colleague from the same department in the same institution is not allowed.
- 8 No more than one external examiner should be appointed to a course from any one department.
- The duration of an external examiner's appointment will be four years, with a possible, exceptional extension of one year.
- An external examiner may be reappointed in exceptional circumstances but only after a period of five years has elapsed since their last appointment.
- The appointment of an external examiner can be terminated by the institution, approved at a senior level, if they fail to fulfil their obligations at the end of any single year of appointment.
- 12 Colleagues who are new to external examining or have professional experience relevant to a professional or vocational programme can be appointed provided they are part of a team and mentored by an external examiner that meets the criteria outlined in 1–9 above.
- Once appointed, institutions should make it clear to external examiners what their duties and obligations are, including those relating to attendance and feedback, and any legal obligations.

Annexe C

External examiners' report checklist

	Υ	N	N/A
Programme materials			
Did you receive:			
a. Programme handbook(s)?			
b. Programme regulations (these may be in the programme handbook)?			
c. Module descriptions (these may be in the programme handbook)?			
d. Assessment briefs/marking criteria?			
Draft examination papers			
a. (i) Did you receive all the draft papers?(ii) If not, was this at your request?			
b. (i) Was the nature and level of the questions appropriate?(ii) If not, were suitable arrangements made to consider your comments?			
c. Were suitable arrangements made to consider your comments?			
Marking examination scripts			
a. (i) Did you receive a sufficient number of scripts?(ii) If you did not receive all the scripts, was the method of selection satisfactory?			
b. Was the general standard and consistency of marking appropriate?			
c. Were the scripts marked in such a way as to enable you to see the reasons for the award of given marks?			
Dissertations/project reports			
a. Was the choice of subjects for dissertations appropriate?			
b. Was the method and standard of assessment appropriate?			
Coursework/continuously assessed work			
a. Was sufficient coursework made available to you for assessment?			
b. Was the method and general standard of marking and consistency satisfactory?			

a. Were suitable arrangements made for you to conduct orals and/or moderate performances/recitals/appropriate professional placements? Final examiners' meeting a. Were you able to attend the meeting? b. Was the meeting conducted to your satisfaction? c. Were you satisfied with the recommendations of the Board of Examiners?

Orals/performances/recitals/appropriate professional placements

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