



# A1.1: Regulations for Degree Apprenticeships

Academic year 2019/20

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## Introduction and scope

1. These *Regulations* apply to degree apprenticeships at undergraduate and taught postgraduate levels. Apprentices are employed throughout the programme and spend the equivalent of a minimum of 20% of their working week undertaking their programme of study at the University of Surrey and the rest of the time with their employer across the duration of the programme. The programme of study can be delivered on a day release basis or in blocks of time and/or via a blended mode of delivery.
2. Throughout these Regulations all references to 'assessments' are to be read as references to summative assessments that contribute marks and credits to modules unless otherwise specified. A detailed list of Degree Apprenticeship definitions can be found in the [Code of practice for the Validation of Degree Apprenticeships](#).
3. The Education and Skills Funding Agency (ESFA) stipulates that an apprenticeship is made up of three elements – off the job learning (the study element of the apprenticeship), on the job learning (in a relevant job role) and an end-point assessment. All three elements must be successfully completed as stated in the apprenticeship standard and assessment plan before an apprenticeship completion certificate can be awarded.
4. All apprentices and their employers must meet the ESFA requirements for an apprenticeship as set out in the Apprenticeship Funding Rules (“Funding Rules”). In the event of any conflict between these Regulations and the Funding Rules, the Funding Rules shall prevail.
5. The ESFA requires the university to share details of an apprentice’s attendance, progress and any issues with their employer. Furthermore, it is required to share information about the apprentice (including attendance, progress and any issues) and their employer with the ESFA as stated in the Funding Rules.

## PROGRAMMES AND AWARDS

### Structure of programmes

#### *Credit levels and credit values*

6. All programmes and modules are assigned to a level within the [QAA Frameworks for Higher Education Qualifications of UK Degree-awarding Bodies \(FHEQ\)](#). The levels and credit tariffs for University awards are set out in Table 1 below.
7. The University operates a credit framework for all taught programmes based on a 15-credit tariff. Credit is awarded in recognition of the verified achievement of designated learning outcomes at a specified level. One credit equates to ten hours of notional learning, this includes face-to-face teaching, group work or self-directed learning and assessment. Two University of Surrey credits are equivalent to one [European Credit Transfer and Accumulation System \(ECTS\)](#) credit. Modules can be either 15, 30, 45 or 60 credits and, additionally for some level 7 work-based project /dissertation the credit value can be up to 90 credits.

**Table 1: University awards and credits**

Award title	FHEQ level of award	Credit value	Requirements
Certificate of Higher Education	4	120	120 credits at FHEQ level 4
Diploma of Higher Education	5	240	A minimum of 120 credits at FHEQ level 5
Bachelor's Degree (Ordinary)	5	300	A minimum of 60 credits at FHEQ level 6
Graduate Certificate	6	60	60 credits at FHEQ level 6
Graduate Diploma	6	120	120 credits at FHEQ level 6
Bachelor's degree (honours)	6	360	A minimum of 120 credits at FHEQ level 6
Postgraduate Certificate	7	60	A minimum of 45 credits at FHEQ level 7 with the remainder at FHEQ level 6
Postgraduate Diploma	7	120	A minimum of 90 credits at FHEQ level 7 with the remainder at FHEQ level 6
Master's degree	7	180	A minimum of 150 credits at FHEQ level 7 with the remainder at FHEQ level 6

**Modules**

8. The modules that comprise each programme, and their designation as either core, compulsory or optional, are set out in the relevant programme specification and programme handbook:
- a core module is a module that is central to a programme of studies and which must be taken and passed, and all units of assessment within it passed, in order for the apprentice to pass the module and to proceed to the next level of the programme and/or to gain an award. Compensation cannot be applied to failure of a core module
  - a compulsory module is a module that the apprentice is required to study which may include some units of assessment that must be passed. Compensation may be applied to failure of a compulsory module unless there are restrictions on compensation imposed by a Professional, Statutory or Regulatory Body (PSRB)
  - an optional module is a module that is not compulsory or core and is chosen by the apprentice with academic advice. Compensation may be applied to failure of an optional module unless there are restrictions on compensation imposed by a Professional, Statutory or Regulatory Body (PSRB)

### **Pass mark**

9. For modules at FHEQ levels 4, 5 and 6 the pass mark is 40% and for modules at FHEQ level 7 the pass mark is 50%. Professional, Statutory and Regulatory Bodies may prescribe a pass mark higher than the University norms.
10. If an apprentice fails a module they are reassessed in the unit(s) of assessment that they have failed. Where the apprentice passes the reassessment, the mark that is recorded for the unit of assessment, and which is used in calculating the overall mark for the module is the pass mark.

### **Naming of degree apprenticeship programmes and modules**

11. All degree apprenticeship programme titles should state the name of the approved apprenticeship standard, be consistent and clearly convey information about the nature and subject of study.
12. The taught element of degree apprenticeship programmes and modules should be clearly named so that they are distinguishable from their standard degree counterparts. A common way to name degree apprenticeship programmes is to use the word “practice” in the title for example; BSc in Business Management Practice, MSc in International Hospitality, Tourism and Events Management Practice.

### **Degree apprenticeship awards**

13. The University may only make those degree awards listed in Table 1. Degree apprenticeship awards are made to those apprentices:
  - who have been registered for, and who have satisfactorily followed, the prescribed programme linked to that award, and
  - who have successfully completed the programme associated with that award and met any other requirements as specified in the programme specification, and
  - who have been awarded the required credits, as specified in Tables 1 and 5, and
  - who have successfully completed the required on the job learning and end-point assessment as set out in the apprenticeship standard and assessment plan.
14. The degree certificate is issued by the University. The apprenticeship is confirmed by an [end-point assessment organisation \(EPAO\)](#) once the end-point assessment is successfully completed and degree apprenticeship certificates are issued by the Apprenticeship Certificates England (ACE).

### **Classification of undergraduate honours degrees**

15. Marks achieved at FHEQ level 4 do not contribute towards the final degree classification. Marks are weighted for FHEQ levels 5 and 6 as shown below:  
FHEQ level 5 (35): FHEQ level 6 (65) - 35:65
16. When calculating an aggregate mark for a module the result of the calculation is required to be a whole integer. In calculations, aggregate marks of 0.01-0.49 are rounded down and marks of 0.5-0.99 are rounded up.
17. When classifying undergraduate honours degrees, the overall weighted aggregate mark the apprentice has achieved is used. This is derived from aggregating module marks, weighted in accordance with Table 2 below and expressed as a score out of 100. The result of the calculation is required to be a whole integer. In calculations aggregate marks of 0.01-0.49 are rounded down and marks of 0.5-0.99 are rounded up. Apprentices are provided with a level average mark at the end of each level which is presented to two decimal places and is not rounded up. This is for their information

and is not used in the calculation of the final overall weighted aggregate mark for the degree.

18. Awards are classified according to the following scheme:

**Table 2: Award classifications for undergraduate honours degrees and integrated Master's degrees**

Formal title <sup>1</sup>	Mark threshold
First Class Honours	70 and above
Second Class Honours (Upper Division)	60-69
Second Class Honours (Lower Division)	50-59
Third Class Honours	40-49

### **Grading of undergraduate non-honours awards**

19. Non-honours undergraduate awards of Certificate of Higher Education and Diploma of Higher Education are graded as follows:

- Distinction 70 and above
- Merit 60-69
- Pass 40-59

For programmes where the award is a Certificate of Higher Education, grades are determined on the basis of all modules. For programmes where the award is a Diploma of Higher Education grades are determined solely on the basis of the apprentice's performance in their FHEQ level 5 modules. Calculations for grades apply the rules for the rounding of marks described in Regulations 16 and 17 above.

20. The University does not grade or classify Ordinary Degrees.

### **Grading of level 7 awards**

21. Postgraduate Certificates and Diplomas and Master's degrees are awarded in accordance with the following mark thresholds:

- Distinction 70 and above
- Merit 60-69
- Pass 50-59

22. Awards are graded by taking the overall eligible marks, weighting them in accordance with the credit value of each module, including the work-based project, aggregating them and using the arithmetic mean of the weighted aggregate marks to determine the grade the apprentice has achieved. The arithmetic mean of the weighted aggregate award mark for each apprentice is rounded to the nearest whole number and recorded as an integer.

23. When calculating an apprentice's aggregate mark for a module and for their award grade, the result of the calculation is required to be a whole integer. In calculations,

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<sup>1</sup> Other titles for awards are First - I, Upper second - II(i), Lower second - II(ii), Third.

aggregate marks of 0.01-0.49 are rounded down and marks of 0.5-0.99 are rounded up. The award grade directly reflects the weighted aggregate mark.

### Intermediate exit awards

24. An intermediate exit award recognises the academic achievement of apprentices who are unable to meet the credit volume and/or credit level requirements for the award on which they are registered. Where an apprentice leaves the University before completing their apprenticeship programme they will be made a leaver on the apprenticeship programme and the university will recognise credits towards the academic qualification. The apprentice will be given the relevant intermediate exit award to which their accrued credits entitle them, provided that they are not in breach of the University regulations and that their employer has no tuition fee debts to the University.
25. Intermediate exit awards are graded in accordance with the normal grading scheme for the type of award. The typical intermediate exit awards are as follows.

**Table 3: Intermediate exit awards**

Credits accrued	Intermediate exit award
<b>Undergraduate programmes</b>	
120 credits at FHEQ level 4	Certificate of Higher Education
240 credits including 120 credits at FHEQ level 5	Diploma of Higher Education
300 credits, including 60 at FHEQ level 6	Ordinary degree
<b>Taught postgraduate programmes</b>	
60 credits at FHEQ level 7	Postgraduate Certificate
120 credits at FHEQ level 7	Postgraduate Diploma

26. The title of an intermediate exit award should normally be the same as the main award unless there are discipline-specific or PSRB requirements which would make this inappropriate. Titles of exit awards are confirmed at programme validation and listed in the programme specification.

### Date of an intermediate exit award

27. University awards are made by the Senate. The date of the award is the date on which the Student Progression and Awards Board (SPAB), approves the award on its behalf.

## ADMISSION

### Entry requirements

28. Applicants are required to meet all ESFA requirements for an apprentice (e.g. be in employment in a relevant job role), to successfully meet any additional academic or other requirements for entry to specific programmes and to provide evidence of level 2



English and Mathematics or equivalent<sup>2</sup>. Exceptionally, apprentices who cannot provide evidence of level 2 English and Mathematics may be permitted to register to the programme of study, in which case they should gain their level 2 English and Mathematics qualifications before the final University of Surrey award is made.

29. All applicants to a degree apprenticeship programme should complete an Initial Needs Assessment (INA) to ascertain whether they will be exempt from part(s) of the programme based on prior knowledge, skills and behaviour. Exemption from the programme of study is subject to the applicant meeting the requirements as set out in the Code of practice for the recognition of prior learning and prior credit: taught programmes and Regulations 34-36 below.

### ***False information***

30. Applications from apprentices who were found to have supplied false information about their qualifications or other false personal information will be rejected. Similarly, where an apprentice employer has provided false information this may result in the termination of an apprenticeship.

### **Re-admission to taught programmes**

31. Where an apprentice's registration has been terminated, they may not re-apply for the same programme, with the exception of support to study cases where the apprentice has subsequently been confirmed fit to study. Apprentices whose studies have been terminated by the University for lack of academic progress may not return to study on the same programme or one that shares 50% or more of the content of the original programme. Apprentices who are re-admitted will be required to relinquish any intermediate exit awards they have taken before they register.
32. Former apprentices whose registration has been terminated for academic misconduct will not be admitted to programmes or modules that lead to awards of the University.
33. Where an apprentice has withdrawn from the University, they may apply to the University to be admitted to the same or another programme and to have the credits they formerly accrued exempt them from some part of the programme, subject to the ESFA Funding Rules. Where exemptions are granted the apprentice will be required to relinquish any intermediate exit awards they have taken before they register.

### **Exemptions and credit requirements**

34. Where an apprentice is exempted from a part(s) of their programme of study based on prior study/experiential learning, the content and duration of the apprentice's study will be reduced to reflect this. The new (reduced) duration should meet the minimum threshold of 12 months to comply with the ESFA Funding Rules.
35. The minimum number of credits that an apprentice must successfully complete at the University in order to achieve a University of Surrey award is indicated in Table 4 below.

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<sup>2</sup> See the ESFA register of current and prior qualifications accepted as meeting the minimum English and Mathematics requirements for apprenticeships at level 2 [here: \*Acceptable current and prior equivalent qualifications for English and maths minimum requirements in apprenticeships standards and frameworks at level 2 and above\*](#): ESFA, 1 November 2019.

**Table 4: The minimum number of credits that must be studied with the University to achieve a University of Surrey award**

<b>Award title</b>	<b>Credits that must be studied</b>
Certificate of Higher Education	45 out of 120 at FHEQ level 4
Diploma of Higher Education	120 out of 240 at FHEQ level 5
Bachelor's degree (Ordinary)	100 out of 300 credits with a minimum of 60 credits at FHEQ level 6
Graduate Certificate	30 out of 60 credits at FHEQ level 6
Graduate Diploma	45 out of 120 credits at FHEQ level 6
Bachelor's degree (honours)	120 out of 360 credits; a minimum of 90 must be at FHEQ level 6
Postgraduate Certificate	30 out of 60 credits at FHEQ level 7
Postgraduate Diploma	60 out of 120 credits at FHEQ level 7
Master's degree	90 out of 180 credits at FHEQ level 7

**Contribution of marks from previous study or experiential learning towards a University final award**

36. Where an apprentice admitted to a degree apprenticeship programme has been exempted from parts of the programme based on previous study or experiential learning, their final degree class/grade is determined on the basis of the work they have undertaken at the University after entering the programme of study.

**REGISTRATION****Registration for programmes and modules**

37. There are up to three entry points a year to a degree apprenticeship programme: January, April/May and September/October.
38. Each calendar year will contain up to three teaching periods of up to 15 weeks duration, each period consisting of teaching, revision/directed learning and assessment.
39. Apprentices and their employer must complete the registration process before the start of the first period of teaching so that the apprentice can commence learning and funding claimed from the ESFA. Re-registration must be completed annually and will take place between August and mid-October; this is the same for all apprentices regardless of their entry point. Apprentices who fail to re-register by mid-October may have their registration terminated. When registering and re-registering, apprentices agree to comply with the University's Charter, Statutes, Ordinances, Regulations, policies and procedures.

40. An apprentice who has completed a module and has been awarded the academic credit for that module by passing the associated assessments (or reassessments), or through compensation by the Board of Examiners, is not allowed to repeat that module to improve their marks.
41. The name in which an apprentice registers or re-registers for their programme will be the name that is recorded on any transcript or certificate issued by the University. Where an apprentice changes their name during their studies with the University, they are required to inform the Executive Dean of Faculty, Registry and their employer within a month of the change.
42. As part of the University's commitment to encourage good academic practice and counter plagiarism, apprentices are required under the terms of these *Regulations*, and as a condition of registration, to consent to the University's submission of instances of their work in electronic format for analysis by a service such as the plagiarism detection service Turnitin® UK and the Turnitin® Authorship Investigate service.

### **False information**

43. Apprentices who have registered with the University and are subsequently found to have provided false information about their qualifications, or false personal information when applying, will have their registration terminated under the University's [Student disciplinary regulations](#).

### **Communications between apprentices and the University**

44. The University uses an apprentice's University email account to communicate important information about registration, module registrations, assessment, degree ceremonies and other matters. Apprentices studying with the University are required to activate and use their University email account within 48 hours of first registering. Once their University email account has been activated, apprentices should regularly check and use their account. Emails sent to the apprentice may copy in the employer.
45. Apprentices studying with the University are responsible for ensuring that it has their current postal address and contact telephone number(s) while their programme is in session and their postal address and their contact telephone number(s) for vacations where this is different. This information is initially gathered through registration and re-registration.
46. Where the University (and employer) has agreed to the request of an apprentice to suspend their registration for a period the apprentice will retain their University email address which will be used by their Programme Leader in the first instance and other University officers to contact them (see Regulations 54-56 below).
47. Where an apprentice fails to respond to official email enquiries from the University over a reasonable period (normally, four weeks) the Chief Student Officer will send an email enquiry to the employer and a postal enquiry to the apprentice's last known address. If there is no response to this communication, again within a reasonable period, the University will normally consider the apprentice's registration to have lapsed.
48. Access to University services and the University's email systems will be withdrawn for apprentices whose registration has lapsed or has been terminated by the University.

### Extension of registration

49. In exceptional circumstances where there are confirmed extenuating circumstances<sup>3</sup> the Executive Dean of Faculty may extend the maximum period of registration for a given award for an individual apprentice in accordance with the maximum period for completion of the apprenticeship standard as set out by the ESFA and programme specifications.
50. Where an apprentice has been either permitted or required by the University to suspend their registration, the maximum periods of registration will be extended by a period equivalent to the period of the suspension. Any extension(s) will require a break in learning as stipulated in the ESFA Funding Rules and will be recorded on the [Individualised learner record \(ILR\)](#).
51. Where an apprentice has not completed their studies within the maximum period and has not met criteria set out in Regulations 49-50 above, their registration will be terminated. In such a case the relevant Board of Examiners will offer an apprentice who has accrued the necessary credits the intermediate exit award to which they are entitled if they are not otherwise in breach of University regulations.

### Suspension of registration

52. An apprentice who is in difficulties, with their studies or through personal circumstances, may apply to the Executive Dean of Faculty for the temporary suspension of their registration. An apprentice will not normally be able to suspend their registration for longer than one academic year, subject to the ESFA Funding Rules.
53. Where an apprentice is unable to return to their studies at the end of a period of temporary suspension and has not applied to the Executive Dean of Faculty for an extension to that period, their registration will be terminated.
54. Where an apprentice's request for the suspension of their registration has been accepted by the Executive Dean of Faculty their access to University email systems will be maintained to assist contacts between the apprentice, their Programme Leader and personal tutor and the Academic Registry.
55. Exceptionally, a decision to temporarily suspend the registration of an apprentice on health grounds may be taken by the Executive Dean of Faculty on the recommendation of a Support to Study Panel convened in accordance with the [Procedure for support to study](#). Again, exceptionally, the University may suspend the registration of an apprentice for a defined period where they are alleged to have acted in a manner that contravenes the University's [Student disciplinary regulations](#).
56. Suspension of registration will be kept under review by the Programme Leader in consultation with the apprentice and Chief Student Officer. This will normally be through the University's email facilities and by post (see Regulations 44-48 above). Where an apprentice's registration has been suspended, they are not eligible to participate in their programme (including assessments and reassessments) before resuming their registration or re-registering.

### Exclusion on non-academic grounds

57. An apprentice may be excluded from the University and their registration terminated for engaging in conduct that is harmful to the University (see [Student disciplinary regulations](#)).

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<sup>3</sup> As defined in: [B1: Regulations for extenuating circumstances](#)

58. Where an apprentice who is excluded from the University for non-academic reasons has accrued sufficient academic credits to be eligible for an intermediate exit award the relevant Board of Examiners will recommend the relevant award.

### **Withdrawal from registration and intermediate exit award**

59. Apprentices who wish to withdraw from the University before they have completed their programme are required to notify the Executive Dean of Faculty and their employer of their intention by email and in writing.
60. Boards of Examiners will offer apprentices who have withdrawn from a programme and have accrued the necessary credits the intermediate exit award to which they are entitled if they are not otherwise in breach of University regulations.
61. An apprentice whose studies have been terminated by the University for academic reasons may not reapply to the University to register for the same programme but may apply for another programme of studies as a new entrant.

### **Termination of registration and intermediate exit award**

62. Where an apprentice has not made academic progress and their registration has been terminated by the University (see Regulations 71-74 below), but they have accrued the necessary credits, the relevant Board of Examiners offers the apprentice the intermediate exit award to which they are entitled if they are not otherwise in breach of University regulations (see Regulations 24-26 above).

## **ACADEMIC STUDY AND PROGRESSION**

### **Participation by apprentices in the work of their programme**

63. The University requires that apprentices participate fully in the work of their programme and complete the required assessments as set out in the programme specification, the programme handbook, the apprenticeship standard and the assessment plan. For apprentices learning at a distance, participation involves availing themselves of the virtual and other learning opportunities provided for them by the University and completing the required assessments.
64. Where an apprentice fails to participate in the learning opportunities available to them or declines to do so and/or does not submit the required assessments, the University, through the Executive Dean of Faculty will enquire into their participation and their attendance. Where extenuating circumstances are confirmed (see [Regulations for extenuating circumstances](#)) the apprentice's registration continues and their performance is dealt with by the Programme Leader and through the relevant Board of Examiners.
65. Where there are no confirmed extenuating circumstances, the procedures set out in Regulations 71-74 below will apply.

### **Academic misconduct**

66. The University's arrangements for defining and dealing with academic misconduct are set out in the [Regulations for academic integrity](#).

### **Support to study**

67. The procedures that are followed in matters to do with support to study are set out in the [Procedure for support to study](#).

### ***Fitness to practise***

68. The procedures that are followed for matters to do with fitness to practise are set out in the [Regulations for fitness to practise](#).

### **Requirements for progression**

69. Progression is defined as taking place when an apprentice meets the University's requirements to move from one level of a their programme to the next level; when an apprentice terminates their programme and takes an intermediate exit award (having met the University's requirements for that award); and when an apprentice finishes their programme and, having met the University's requirements, takes the final award for their programme of studies.
70. For an apprentice to progress to their award they must satisfactorily complete each level of the programme and the apprenticeship. Satisfactory completion of a level is demonstrated by achieving the required credits (normally, 120 credits at each level for undergraduate programmes) and the required work-based learning as set out in the apprenticeship standard.

### **Failure to make progress: termination of registration**

71. Where an apprentice proves unable to make progress with their studies through failing assessments and/or ceasing to participate in their programme it is not normally in their interest, their employer's interest or that of the programme that they should continue. In such circumstances (and following the offer of academic advice) if there are no confirmed extenuating circumstances the Executive Dean of Faculty writes to the apprentice and their employer stating that unless there is an improvement in their engagement within two weeks their registration will be terminated for lack of academic progress. The ESFA will also be informed.
72. Where, after a written warning and the passage of two weeks, there has been no improvement and there are no confirmed extenuating circumstances, the Executive Dean of Faculty informs the apprentice and their employer that their registration is to be terminated for lack of academic progress. The apprentice may challenge the decision to terminate their registration through the University's appeals processes (see [Regulations for academic appeals](#)). If the apprentice's appeal is not upheld their registration is terminated within ten working days of their notification of the outcome of the appeal. The ESFA will also be informed.
73. Where an apprentice's registration is terminated for failure to make progress with their studies and they have accrued sufficient credits to achieve an intermediate exit award, the relevant Board of Examiners will recommend the intermediate exit award to which they are entitled.

### **Failure following reassessment: termination of registration**

74. Where, following reassessment, an apprentice has failed to achieve all the credits required for a level of a programme (normally 120 credits) and there are no confirmed extenuating circumstances, they have failed to complete that level of the programme of study successfully and their registration is terminated by the University. Where the apprentice has met the University's requirements for an intermediate exit award the Board of Examiners will recommend that award.

### **Learning Support Adjustment (LSA) procedure**

75. Where an apprentice faces chronic, foreseeable or recurring circumstances or physical or other impairments that have the potential to hinder their academic progress they may inform the University through the Programme Leader or a member of the

University's Disability and Neurodiversity team that they wish to request advice and support with their particular learning support arrangements.

76. Under the LSA procedure Disability and Neurodiversity works with the apprentice, their tutors and other professionals (as required), to assess the learning support needs of apprentices with impairments that can be funded by the ESFA. Following this assessment, the apprentice will be provided with, where appropriate, a written summary of the adjustments to their learning, teaching and assessment arrangements that Disability and Neurodiversity, in consultation with the Programme Leader, has assessed as reasonable and a note will be added to the apprentice's centrally held records. Adjustments suggested in an LSA statement are designed to provide the apprentice with an equal opportunity to participate in all educational activities: they are not intended to provide an unfair advantage. The ESFA Funding Rules set out in which circumstances additional support can be funded via the apprenticeship levy.
77. Where an apprentice has secured a LSA statement, Disability and Neurodiversity will ensure that their Programme Leader is formally notified of its contents so that the latter can notify the relevant departmental, Faculty and University officers of the adjustments suggested in the LSA statement and periodically check their continuing suitability for the apprentice. Where the LSA statement prescribes particular arrangements for sitting assessments or examinations Disability and Neurodiversity and the Programme Leader or their equivalent each copy this information to staff administering and invigilating the apprentice's examinations and assessments.

## **ASSESSMENT AND REASSESSMENT**

### **Submission of coursework**

78. The assessment on an apprenticeship is set out in the Apprenticeship assessment plan. Each Faculty should ensure that there are robust and transparent arrangements in place for collecting apprentice's work and recording the date of submission. Statements of these arrangements and where and how coursework is required to be submitted are to be found in the programme handbook. This will include an e-portfolio to record progress against the assessment plan.
79. Apprentices are required to submit coursework units of assessment, including project and other reports and work-based projects, on time and in accordance with the arrangements published in the handbook for the relevant programme. Arrangements for the submission of Master's work-based project are described in Regulations 80-82 below. Where a unit of assessment has not been submitted at the first attempt and there are no confirmed extenuating circumstances, compensation will not be available at that point for that module. In such cases compensation will only be available after a re-submission (see Regulations 119-122 below for the criteria for awarding compensation).
80. Where an apprentice has not submitted a coursework unit of assessment by the deadline specified, which is either a Monday, Tuesday or Wednesday at 4pm<sup>4</sup>, and there are no confirmed extenuating circumstances, the mark given for that unit of assessment will be reduced by 10 percentage points for work submitted for each 24 hour period after the deadline, up to and including the second day after the submission (20 percentage points). Penalties are applied after the assessed work is marked and marks are deducted until zero is reached; i.e. an apprentice who achieves a mark of 80% but submitted their work 10 minutes past the deadline, as a result, their mark is

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<sup>4</sup> All times refer to British time.

reduced by 10 percentage points to 70% (not 72%). The mark recorded for assessed work submitted after 4pm on the second day after the deadline (48 hours), or not submitted at all, is zero and will not be marked. For example:

<b>Deadline Monday 4pm</b>	<b>Deadline Tuesday 4pm</b>	<b>Deadline Wednesday 4pm</b>
Monday 4.01pm - 10 percentage points	Tuesday 4.01pm - 10 percentage points	Wednesday 4.01pm – 10 percentage points
Tuesday 4.01pm - 20 percentage points	Wednesday 4.01pm - 20 percentage points	Thursday 4.01pm – 20 percentage points
Wednesday 4.01pm - zero	Thursday 4.01pm - zero	Friday 4.01pm – zero

81. Where the apprentice's marks for the remaining units of assessment for the module are sufficient to enable them to pass the module overall, the mark that is recorded for the module includes the penalised mark in the relevant unit of assessment. If the apprentice fails the module, they are reassessed in the unit(s) of assessment they have failed. Marks for reassessed units of assessment are capped at the pass mark.

***Late submission of the work-based project***

82. Where an apprenticeship assessment plan requires a work-based project and an apprentice on the programme submits their work-based project late, the University applies the relevant penalty specified in Regulation 80 above. Where the application of the penalty results in the mark for the work-based project being reduced below the pass mark, the Board of Examiners may permit the apprentice to resubmit the same work-based project as their resubmission attempt, subject to the mark for a successful resubmission being capped at the pass mark.

***Joint or group project***

83. When two or more apprentices have conducted a joint or group project, each apprentice normally submits written work in accordance with the requirements of the relevant programme or module handbook.
84. Apprentices who have participated in a joint or group project are required to provide an introductory note to the project report that specifies the contributions made by each person. The introductory note must be countersigned by each participant co-worker and attached to the report submitted.

***Legibility of written work***

85. The University requires that coursework assessments and examination scripts be legible: it does not require internal and external examiners to mark illegible written assessments. Where an internal assessor judges an examination script or other written assessment to be illegible, there are no extenuating circumstances, and their judgement is supported by a second internal assessor and the external examiner, the Board of Examiners may require the apprentice to have the written assessment transcribed under secure conditions at the apprentice's own expense.



## **Work-based project – Master’s programmes**

### ***Submission of work-based project: time limits***

86. For apprentices following a programme over two years, the University will not normally grant extensions to the submission deadline for the work-based project of more than two weeks.

### ***Nature of work-based project or equivalent work***

87. Taught postgraduate programmes should include a work-based project and/or major project module as set out in the apprenticeship assessment plan.
88. The way in which the subject matter and title of the work-based project, or equivalent project, are determined and approved is specified in the programme handbook.

### ***Reference to the work of others***

89. In their work-based project taught postgraduate apprentices are required to use explicit references and citations where they have drawn on the work of others for their own work. Their day to day work commitments are not part of the work-based project or other material that is submitted.
90. Work submitted by the apprentice for, or towards, another academic award (whether of the University or another body) cannot comprise part of the submission for the University degree of Master’s.
91. The requirements with respect to the avoidance of academic misconduct and, in particular plagiarism can be found in Regulation 42 above, and the procedures for dealing with academic misconduct can be found in the [Regulations for academic integrity](#).

### ***Joint or group project***

92. When two or more apprentices have conducted a joint or group project each apprentice normally submits a separate work-based project in accordance with the requirements of the relevant programme handbook. Each apprentice who has participated in a joint or group project is required to provide an introductory note to their work-based project that specifies the contributions made by each person. In the case of a jointly produced work-based project the introductory note must also clearly identify what contributions were made by each contributor to the work-based project. In each case, a copy of the introductory note(s) must be countersigned by each participant co-worker and attached to the work-based project submission.

### ***Format of work-based project***

93. Work based projects should be produced in A4-size and all pages numbered serially. Subsidiary papers and other material may be submitted separately for consideration by the examiners, with each item clearly identified with the apprentice's full name, the year of submission, the degree for which they are registered, and the work-based project's approved title.
94. Each work-based project should have a title page with the following:
- the work-based project's approved title
  - the apprentice's full name
  - the degree apprenticeship for which the apprentice is registered
  - the year in which the work-based project is presented
  - a statement in a form approved by the University that the work-based project is the work of the author and that the work of others is indicated by explicit references

- a statement in a form approved by the University that asserts the apprentice's right to be identified as the author of the work and the copyright owner.

For each work-based project a 300-word summary of the work-based project in English (see below) must follow the title page.

#### ***Language of the work-based project***

95. The work-based project should be written in English, other than when the nature of the subject requires that it be submitted in another language and prior approval has been given, in accordance with the programme handbook. As noted above, the summary must always be written in English.

#### ***Submission of the work-based project***

96. Apprentices should submit an electronic copy of their work-based project in an approved format, according to the requirements set out in the programme handbook, to facilitate submission to the University's plagiarism detection services (see Regulation 42 above). Apprentices are advised to keep a copy of their work-based project for their personal use and as set out in the apprenticeship assessment plan.
97. No alterations or additions may be made to a work-based project after it has been submitted other than in the case of reassessment.

#### ***Examination of work-based projects***

98. The marking scale for work-based projects is 0-100. Examiners are required to make their recommendations as follows:
- that the work-based project is of pass standard, or
  - that the work-based project is failed, but that the apprentice is permitted to submit a revised work-based project by a specified date within 6 months so long as this is in line with the apprenticeship standard, assessment plan and the ESFA Funding Rules
99. The Executive Dean of Faculty may invite those apprentices who have produced a work-based project that has been awarded a Distinction to have their work-based project permanently hard bound so that it can be placed in the Library. If the apprentice accepts this invitation it is on the understanding that they bear the cost of binding to the University's specifications.

#### ***Failure of work-based project and submission of revised work-based project***

100. Where, in the academic judgement of the examiners, a work-based project has failed to meet the required pass standard the reasons for their finding are communicated to the apprentice.
101. An apprentice may submit a revised work-based project once only so long as this is in line with the apprenticeship standard, assessment plan and the ESFA Funding Rules. If the work-based project is not submitted within six months the University will normally consider the apprentice's registration to have lapsed. Where there are confirmed extenuating circumstances, however, SPAB may grant an extension of the time permitted. The procedure for submitting a revised work-based project is set out in the programme handbook and is the same as for the original submission.
102. A revised work-based project is normally examined by the same examiners as the previously failed work-based project. The Executive Dean of Faculty may, however, appoint other examiners. The recommendations that may be made by examiners are that the work-based project passes or that it be failed. Examiners may not recommend a second re-submission.

103. Compensation is not available for the work-based project. If the revised work-based project is failed but the apprentice has accrued the necessary credits elsewhere in the programme the Board of Examiners recommends the relevant intermediate exit award.

***Copyright and access to the work-based project***

104. Copies of work-based projects with a mark of 70% or higher may be placed in the University Library and will be available for consultation or loan as indicated in Regulation 99 above. An electronic copy of such work-based projects will also be added to a database which will be accessible for academic purposes to University of Surrey staff, students and apprentices.
105. As noted in Regulation 94 above, apprentices are advised to mark their work-based projects as copyright. It is, however, a condition of the University's acceptance of a work-based project that the University Director of Library and Learning Support Services is granted the authority to reproduce the work-based project by photocopy or otherwise, and to lend copies to those institutions or persons who, in the Director's opinion, require them for academic purposes.

***Commercial or other confidentiality of the contents of a work-based project***

106. If an apprentice's employer or a collaborating body considers that the work-based project contains matter of a confidential nature, the apprentice may request the University Director of Library and Learning Support Services, through the Programme Leader, to restrict access to their work-based project for a period not exceeding five years. Requests must be in writing, stating the grounds on which the restriction is sought and the requested duration of the restriction. If the Director agrees to this request, access to the work-based project may be allowed during this period only with the permission of the author, or those specified by them. If it is desired to extend the restriction beyond the agreed period, or restrict access on other grounds, further application must be made in writing to the Director stating the grounds for the request.
107. Where the author, their employer, or a collaborating body wishes to seek a patent based on material in the work-based project, the author may request the University Director of Library and Learning Support Services, in writing, to restrict all access to the work-based project for a period not exceeding one year. Requests for such restrictions must be in writing, stating the grounds on which they are sought and the requested duration of the restriction. If it is desired to extend the restriction beyond the agreed periods, or restrict access on other grounds, further application must be made in writing to the Director stating the grounds for the request.

***Intellectual property rights***

108. While the copyright of the work based project belongs to its author or authors, the apprentice is required to assign to the University or its nominee any intellectual property rights (whether patentable or otherwise) that the apprentice is considered to have acquired resulting directly or indirectly from study at the University in return for a fair proportion of any net receipts in accordance with the terms of the University's [Intellectual Property Code](#). An apprentice may, however, be subject to a specific agreement with their employer concerning the assignment of intellectual property rights to the employer.

***Deferred assessment***

109. Where an apprentice has not completed all the units of assessment for one or more modules, and it has been confirmed that extenuating circumstances apply,<sup>5</sup> they are

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<sup>5</sup> See B1: [Regulations for extenuating circumstances](#).

allowed to be assessed in the relevant units of assessment for the module(s) as if for the first time through a 'deferred assessment', to be taken in the next teaching period.

### **Alternative assessment**

110. Alternative assessment can be employed for reassessment when it is not possible to reassess apprentices in the methods used in the original assessment. Alternative assessment should allow apprentices to demonstrate achievement of the relevant learning outcomes in a comparable way to the original assessment. Alternative assessment should be specifically approved at the validation or periodic review of the relevant module(s) or through a subsequent programme amendment formally agreed by a Board of Studies.

### **Failure and reassessment**

111. An apprentice who has failed a module is reassessed on a single occasion in the units of assessment they have failed in order to pass the module and progress through their programme, or to take their award. Reassessment takes the form of the original assessment as specified in the module descriptor, unless alternative assessment is being employed (see Regulation 110 above). Where an apprentice passes the reassessment, the mark used in calculating the apprentice's overall module mark, is the pass mark for the unit. Where an apprentice fails a reassessment in modules other than core modules, they may be entitled to pass the module via compensation (see Regulations 119-122 below). Eligibility for compensation is calculated at the end of a level and so an apprentice who has failed a module twice during a level but has a compensatable mark in the module(s) concerned will remain on the programme until the end of the level when compensation will be calculated.
112. In all cases, where an apprentice is reassessed the mark recorded for the unit of assessment is the better of the two marks achieved (assessment and reassessment) but the mark used to calculate the overall module mark is the pass mark.
113. Where an apprentice has passed a module after reassessment or compensation this is recorded in their transcript.

### **Timing of reassessments**

114. Reassessments for units of assessment are taken in the next teaching period alongside the modules being taken in that period.

### **Failure to attend for assessment/examination**

115. Where an apprentice has failed an assessment, or reassessment, for a module through failing to attend a required examination, or by attending a required examination but not making (in the judgement of the Board of Examiners) a reasonable attempt to address the examination questions, and there are no confirmed extenuating circumstances, the apprentice has failed that unit of assessment at that attempt and will be given a mark of zero. If the attempt was the first attempt and the apprentice failed the module overall as a consequence, compensation will only be available after a re-assessment.

### **Failure of modules with a value of more than 60 credits**

116. Where an apprentice on an undergraduate programme has failed modules with a value of more than 60 credits by the end of that level of their programme, their progression through their programme is halted and the Board of Examiners will require them to retake the units of assessment they have failed when the next cohort commences, in order to pass any failed modules and progress to the next level of their studies. In such a case the Board of Examiners requires that the apprentice is reassessed, with or without attendance.

117. Where an apprentice on a taught postgraduate programme has failed modules with a value of more than 60 credits the Board of Examiners requires that their progression through their programme is halted and they retake the units of assessment they have failed (with or without attendance) in order to pass any failed modules and progress to complete their programme.
118. If the apprentice does not wish to retake the failed units of assessment and wishes to withdraw, or retakes the modules and subsequently fails, their registration is terminated at the end of the level. In such a case the Board of Examiners will offer an apprentice who has accrued the necessary credits the intermediate exit award to which they are entitled, if they are not otherwise in breach of University regulations.

### **Compensation**

119. Compensation is only available to apprentices who have failed a module(s). Compensation is not available for core modules.
120. Where the conditions set out in Regulations 123- 125 for both undergraduate and postgraduate taught programmes are met the apprentice's overall performance compensates for their failed unit(s) of assessment and the apprentice is allowed to progress to the next level of their programme or be awarded.
121. Where compensation is applied, the mark recorded for the compensated module is the aggregate module mark, including the mark awarded for the failed unit(s) of assessment. Where an apprentice has passed a module through the application of compensation their transcript shows that they have passed following the application of compensation.
122. Where compensation was awarded following a failure at the first attempt for units of assessment, apprentices at FHEQ levels 5 and 6 have the option to decline compensation, in accordance with deadlines set by the Academic Registry, and attempt a reassessment. If a student passes the reassessment, the mark awarded is the pass mark and the compensation remain declined. If a student fails the reassessment, compensation is applied using the original mark or the reassessment mark, whichever is the higher. If a student who wishes to attempt a reassessment subsequently does not re-submit coursework or fails to attend an examination, compensation is applied using the original mark. Once the deadline for declining compensation has passed a student cannot subsequently request a reassessment.

### ***Undergraduate programmes***

123. Compensation is available following a failure at the first attempt for units of assessment in modules with a value up to and including 30 credits at level 4. In subsequent years, compensation is available for modules with a value up to and including 15 credits. Circumstances that can affect eligibility for compensation are described in Regulation 115 above.
124. Compensation can be applied if the following two conditions are met:
  - the weighted level aggregate of all the apprentice's module marks at a level (including the failed modules) is 45.00% or higher; the weighted level aggregate mark is not rounded up
  - the lowest overall mark achieved in a failed module is at least 30%

### ***Taught postgraduate programmes***

125. Where an apprentice following a taught postgraduate programme has failed module(s) with a value of 15 credits compensation can be applied if the following two conditions are met:

- the weighted level aggregate of all the apprentice's module marks (including the failed module(s) and the work-based project) is 55.00% or higher; the weighted level aggregate mark is not rounded up
- the lowest overall mark achieved in a failed module is at least 40% (30% in a failed FHEQ level 6 module)

### **Approval, dissemination and publication of results**

126. Boards of Examiners make provisional recommendations for assessments and awards to SPAB as the body to which Senate has delegated authority to confirm awards (or otherwise) on its behalf. Awards will be conferred by SPAB within six months after the Board of Examiners recommends the apprentice for the award. This will provide the apprentice with the best chance of achieving the required Degree Apprenticeship end-point assessment before the University award is formalised. The apprenticeship certificate will be issued by Apprenticeship Certificates England (ACE) once the EPAO confirms that the end-point assessment has been successfully completed.
127. The confirmed results of assessments and University awards are published and distributed to apprentices by the Academic Registry.<sup>6</sup> Where, following a Board of Examiners, an apprentice's registration is suspended or terminated the Chief Student Officer is responsible for notifying them of the courses of action open to them, including the University's appeals procedures and providing general advice on the University's academic regulations.
128. The names of those who have been awarded Certificates, Diplomas, and Degrees and the classes or categories associated with them, are published in the University Gazette and may be published elsewhere.

### ***Apprentices seeking to decline an award and re-register in order to seek to achieve an improved award***

129. Where an apprentice who has achieved their award requests the University to rescind it, so that they may apply to re-register in order to improve their classification or grade, the University will not rescind the award in the absence of extenuating circumstances. Any such request must be made in accordance with the [Regulations for academic appeals](#) and the ESFA Funding Rules.

### **Academic appeals**

130. The grounds for and procedures for academic appeals are set out in the University's [Regulations for academic appeals](#).

### **Certification of awards**

131. Awards may be conferred at a degree congregation ceremony held for the purpose.
132. Each apprentice is given or sent a formal degree certificate appropriate to their award. Apprentices collecting their degree award certificates in person should be prepared to provide a form of photographic identification such as a passport.
133. Certificates not collected in person by the apprentice are sent through the ordinary post to the graduate's address as listed in the University's records.

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<sup>6</sup> Further information on the release of results is given in the [Code of practice for assessment and feedback](#).

**Higher Education Achievement Report (HEAR)**

134. The University provides each of its apprentices with a HEAR detailing their achievements on completing their studies. The HEAR is issued in electronic format. Only in exceptional circumstances will paper copies be issued.
135. The HEAR records each module for which the apprentice was registered, together with the level of the module, the credits awarded, and the marks awarded. The HEAR also records, where appropriate, any work-based learning completed among other matters.

**Replacement certificates and transcripts**

136. If a graduate or former apprentice requires a replacement degree certificate, they must apply to the Academic Registry stating the name under which their award was made; the title of the programme they followed; the dates between which they attended the University; and the month and year of their graduation. Replacement certificates can be issued only on receipt of a written request from the holder of the award, together with evidence of the identity of the holder of the award and on payment of the appropriate fee.
137. If a graduate or former apprentice requires a replacement degree qualification transcript, they should apply to the Academic Registry stating the name under which they were known to the University; the title of the programme they followed; the dates between which they attended the University; and either the month and year of their graduation or the date when they ceased to be registered. Replacement transcripts can be issued only on receipt of a written request from the holder of the award, together with evidence of the identity of the holder of the award and on payment of the appropriate fee.
138. If a graduate requires a replacement apprenticeship certificate they should apply to the Apprenticeship Certificates England (ACE).