

Guidance for External Examining

Date created: April 2017

Date updated: August 2023

Due for review: August 2024

Academic Registry

Glossary	3
Chapter 1: Introduction	4
Chapter 2: Nomination, Engagement and Period of Engagement of External Examiners	
.....	5
<i>CRITERIA FOR ELIGIBILITY OF EXTERNAL EXAMINERS</i>	<i>5</i>
<i>NOMINATION OF EXTERNAL EXAMINERS</i>	<i>5</i>
<i>UK VISAS & IMMIGRATION SERVICE REQUIREMENTS.....</i>	<i>7</i>
<i>EXTENSION OF A PERIOD OF ENGAGEMENT.....</i>	<i>7</i>
<i>AMENDMENTS TO DUTIES.....</i>	<i>8</i>
<i>ADMINISTRATIVE AMENDMENTS</i>	<i>8</i>
<i>TERMINATION OF ENGAGEMENT</i>	<i>9</i>
<i>PROGRAMME CLOSURES.....</i>	<i>9</i>
Chapter 3: External Examiner Induction	10
<i>INDUCTION ARRANGEMENTS AND REQUIREMENTS: EXTERNAL EXAMINER BRIEFING SESSIONS</i>	<i>10</i>
<i>INDUCTION ARRANGEMENTS AND REQUIREMENTS: MENTORING ARRANGEMENTS FOR FIRST-TIME EXTERNAL EXAMINERS</i>	<i>10</i>
<i>INDUCTION ARRANGEMENTS AND REQUIREMENTS: CREATION OF A STAFF IT ACCOUNT / ACCESS TO VLE</i>	<i>11</i>
Chapter 4: The Role and Responsibilities of the External Examiner.....	12
<i>MAIN DUTIES AND RESPONSIBILITIES</i>	<i>12</i>
<i>MODERATION.....</i>	<i>13</i>
<i>BOARDS OF EXAMINERS.....</i>	<i>14</i>
<i>MEETING WITH STAKEHOLDERS</i>	<i>14</i>
Chapter 5: The External Examiner Report Process	16
<i>COMPLETING REPORTS.....</i>	<i>16</i>
<i>NEGATIVE RESPONSES TO QUESTIONS ON ACADEMIC STANDARDS AND THE QUALITY OF THE ASSESSMENT PROCESS</i>	<i>17</i>
<i>RECEIPT AND USE OF REPORTS BY THE UNIVERSITY.....</i>	<i>17</i>
<i>OBTAINING LATE REPORTS</i>	<i>17</i>
<i>CONSIDERING AND RESPONDING TO REPORTS.....</i>	<i>18</i>
<i>GENERAL GUIDANCE ON RESPONDING TO EXTERNAL EXAMINER REPORTS</i>	<i>19</i>
Chapter 6: Liverpool John Moores University Staff acting as External Examiners elsewhere.....	20
<i>NOTIFICATION TO THE UNIVERSITY OF STAFF ACTING AS EXTERNAL EXAMINERS ELSEWHERE, AND CHECKING FOR POTENTIAL CONFLICTS OF INTEREST.....</i>	<i>20</i>

Chapter 7: External Examiner personal details, fees and expenses	21
<i>EXTERNAL EXAMINER PERSONAL DETAILS.....</i>	21
<i>EXTERNAL EXAMINER FEES AND EXPENSES</i>	21
Chapter 8: General Data Protection Regulation, Data Protection Act (2018) and the Freedom of Information Act (2000)	22
<i>THE DATA PROTECTION ACT 2018 / GENERAL DATA PROTECTION REGULATION / THE FREEDOM OF INFORMATION ACT (FOI) 2000 AND THE MARKING OF ASSESSED WORK AND EXAM SCRIPTS</i>	22

Glossary

AQSC	Academic Quality and Standards Committee
EEP	External Examiner Panel
EPA	End Point Assessment
FHEQ	Framework for Higher Education Qualifications
HE	Higher Education
PSRB	Professional Statutory and Regulatory Body
QAA	Quality Assurance Agency
RP(E)L	Recognition of Prior (Experiential) Learning
TEF	Teaching Excellence Framework
UKVI	UK Visas & Immigration
VLE	Virtual Learning Environment

Chapter 1: Introduction

1. The Guidance for External Examiners details the processes relating to the engagement of External Examiners, for all taught programmes that lead to an award of the university, and the operation of external examination within the university.
2. For Doctor of Business Administration and Professional Doctorate programmes, external examination of the taught elements of these programmes is managed via the processes described in this document, while external examining of the research (i.e. Thesis) elements of these programmes is managed via The Doctoral Academy and the [university's Research Degrees Framework](#).

For Research Degrees (i.e. MPhil and PhD), external examining is managed via the Doctoral Academy, and full guidance on this can be found in the [university's Research Degrees Framework](#).

3. Further guidance on External Examining can be obtained from the Academic Quality and Standards area of the [Academic Registry Helpdesk](#).

Chapter 2: Nomination, Engagement and Period of Engagement of External Examiners

This process relates to:

- The engagement of new External Examiners.
- Amendments to duties.
- Extensions to periods of engagement.
- The termination of an External Examiner's engagement.

Criteria for Eligibility of External Examiners

4. The eligibility criteria for the nomination and engagement of External Examiners, plus a list of conflicts of interest, are detailed [here](#). Further advice on this criteria can be obtained via the Academic Quality and Standards area of the [Academic Registry Helpdesk](#).

Nomination of External Examiners

5. The process for nomination of potential External Examiners is as follows:
 - a) The programme team identifies a potential External Examiner. This is normally the result of an expression of interest being received or an informal approach by the programme team(s) to ascertain if a potential nominee would be willing to engage.¹
 - b) Prior to proceeding with the nomination, the programme team checks for possible [conflicts of interest](#), utilising the External Examiner section of the university's [WebHub](#).
 - c) A representative from the applicable programme team(s) will then complete the [nomination form](#). In the case of collaborative programmes, certain sections of the form will involve consultation with the Link Tutor/Programme Leader, and Lead HE Contact at the collaborative partner.
 - d) The proposer sends the nomination form and the nominee's current CV to the relevant Director of School for consideration and endorsement.
 - e) Following endorsement by the Director of School, the nomination form and CV are submitted to ExternalExaminers@ljamu.ac.uk for consideration at the university's External Examiner Panel. Prior to submitting a nomination form for consideration, proposers must ensure that the nominee's CV is sufficiently detailed to facilitate an informed judgement being made with regard to their suitability.

¹ Nominations for an additional External Examiner to a programme may be sought where an increasing workload is identified, or where there is a need for an additional subject specialist.

- f) There are three possible outcomes of the External Examiner Panel's consideration of External Examiner nominations:
- Approval of the nomination, with or without conditions.
 - Deferral of the nomination, pending further actions/clarification.
 - Rejection of the nomination.
- g) Following approval by the External Examiner Panel, Academic Registry confirm the outcome to the programme team, and to the External Examiner.
- h) Should the nomination be approved by the External Examiner Panel, approval is only granted in principle, in the first instance (based on the Panel's assessment of a nominee's experience and expertise), and will be subject to successful verification that the nominee is eligible to work in the UK. **The External Examiner's engagement will not be considered to have been fully approved or to have commenced until this check has been satisfactorily completed**². Further details on the procedures and requirements for this verification check are sent to the External Examiner with the outcome from the External Examiner Panel.

Following successful verification of the External Examiner's eligibility to work in the UK, the Academic Quality and Standards Team will send the following to the External Examiner:

- A letter confirming the details of their engagement.
- Terms and Conditions.
- Information on applicable university regulations and procedures³
- Details of the mentor for the newly approved External Examiner (if applicable).

NB - External Examiners are required to return a signed copy of their Terms and Conditions to Academic Registry.

- i) **For Amendments to Duties, Extensions to Duties and Terminations of Engagement**, the Academic Quality & Standards Team will confirm the outcome of External Examiner Panel's consideration of the application to the External Examiner and the programme team.
- j) If approval of an External Examiner is subject to a mentor being assigned, it is the responsibility of the programme team to facilitate these arrangements, including arranging the relevant meetings between the mentor and the mentee. Further details on mentoring arrangements for External Examiners can be found [here](#).
- k) In addition to the above, the applicable programme team also provides the External Examiner with programme specific information⁴, including the arrangements for mentoring (if applicable), and a schedule for moderation activity and Boards of Examiners, for all provision covered by the engagement.

² This is required in order to comply with UKVI requirements. For details of acceptable documents, and further UKVI guidance, please see the [External Examining section](#) of the Academic Registry web page, and [Guidance from the Home Office/UKVIS](#).

³ For a full list of items sent to External Examiners at the beginning of their engagement, please see 'Information Sent to External Examiners' [here](#).

⁴ Ibid.

6. Details of External Examiners' engagement are recorded by Academic Registry on [WebHub](#).
7. All External Examiner engagements (except for those covering programmes with non-standard timescales, or those covering newly validated programmes) should be filled by the 1st October each year⁵. It is important to ensure that all programmes maintain complete, uninterrupted, External Examiner coverage from the programme start date and then continuously thereafter.
8. Outstanding engagements are monitored by the External Examiner Panel and updates are also provided, by Academic Registry, to Directors of School and Faculty Pro Vice-Chancellors on a monthly and bi-monthly basis, respectively.

UK VISAs & Immigration Service Requirements

9. The UK VISAs & Immigration Service (UKVI) Immigration Regulations, require the university to verify the 'right to work' of any person who undertakes work at Liverpool John Moores University. This is a compulsory requirement, and failure of the university to comply with guidance could result in the university being subject to a fine, being downgraded from a UKVIS Category A rating, or losing its sponsorship licence altogether. A list of documents which are acceptable as proof of eligibility to work in the UK, is available [here](#).
10. In order to comply with UKVI requirements, External Examiners are asked to present proof of eligibility to work in the UK.
11. Full approval of an External Examiner engagement by the university is subject to successful verification that the nominee is eligible to work in the UK (as described in Paragraph 5h above). **Please note that the External Examiner's engagement will not be considered to have commenced until this verification is completed by a member of Liverpool John Moores University Staff.**

Extension of a period of engagement

12. Requests to extend an External Examiner's period of engagement should be made via the '[Extension of Period of Engagement](#)' form. All requests to extend the period of engagement of an incumbent External Examiner should follow the same approval process as new nominations (as described in Paragraph 5).
13. Normally, extensions to an External Examiner's period of engagement will not be granted for more than one year. Periods of Engagement may normally be extended for

⁵ The normal period of an External Examiner's engagement is four years, and this will normally run from 1 October – 30 September inclusive. Exceptions to this may include:

- Newly validated programmes (which are recruiting External Examiners to a programme's first year of delivery). In these circumstances, the period of engagement would be in place from 1 September in the first year, until 30 September in the final year. Subsequent External Examiners will then revert to periods of engagement which run from 1 October – 30 September inclusive.
- Programmes with boards at non-standard times or MRes programmes.
- Masters programmes, where an overlap is permitted between the incoming and outgoing External Examiner. Under these circumstances, the periods of engagement would be in place from the 1st October in the first year, until 30th October in the final year.

the following reasons:

- If the extension provides continuity within External Examiner teams, or if there is reason to allow a period of overlap between incoming and outgoing External Examiners.
- If the extension provides continuity following a decision to close the recruitment to a programme.
- If the External Examiner has had a period of leave (for example, maternity leave, long-term illness or sabbatical leave) during which alternative examining arrangements have been agreed by the External Examiner Panel.

Amendments to Duties

14. Occasionally, there may be changes to an External Examiner's coverage, for example, a change to the specific programmes or modules that they oversee, assigning additional programmes/modules, or removing programmes or modules. The programme team should consult the External Examiner concerned, before requesting any change to their engagement.
15. When amending the duties of an External Examiner, Faculties are permitted, under certain circumstances, to propose the payment of an additional fee. For further details of the parameters for this, please see the [Regulations Governing External Examiner Fees and Expenses](#).
16. Amendments to duties should be made via the ['Amendment to Duties' form](#). Submissions involving additional duties should be accompanied by an up-to-date copy of the External Examiner's CV. All requests to amend the duties of an incumbent External Examiner should follow the same approval process as new nominations (as described in Paragraph 5).

Administrative amendments

17. Occasionally, amendments may be made to an External Examiner's engagement, which are purely administrative. Administrative amendments to engagement are amendments which do not materially affect the tasks carried out by the External Examiner, or the nature of the activities associated with their engagement. Such changes may include amendments to programme titles, or the addition of 'With Foundation Year' programme codes to the External Examiner's engagement (where the modules and levels associated with the existing engagement remain unchanged). For full details of what constitutes an administrative amendment to engagement, please see the [External Examining](#) section of the Academic Registry website.
18. Administrative amendments are not required to be considered through a formal approval route. External Examiners will receive written confirmation, from Academic Registry, of an administrative amendment to their engagement. All administrative amendments are noted by the External Examiner Panel.
19. A judgement as to whether a change to an External Examiner's engagement can be classed as administrative, or whether it requires approval by the External Examiner Panel, will be made by the Head of Academic Quality and Standards.

Termination of Engagement

20. An engagement may normally be terminated by the university for the following reasons:
 - If an External Examiner is not carrying out the minimum requirements of their engagement (as set out in the letter of engagement/Terms and Conditions, and in Chapter 4). For example, non-submission of the annual External Examiner report.
 - If a conflict of interest arises that cannot be resolved.
21. The above instances will first be brought to the attention of the programme team(s), the Director of School, and the Head of Academic Quality and Standards. If the matter remains unresolved, the engagement may be terminated. In these circumstances, applications to terminate an External Examiner's engagement should be made via the ['Termination of Engagement' form](#).
22. Requests to terminate the engagement of an External Examiner follow the same process as nominations (as described in Paragraph 5) and are approved by the External Examiner Panel. Following this approval, the External Examiner concerned will be informed in writing by Academic Registry.
23. In line with their Terms and Conditions, if an External Examiner wishes to resign before the agreed end date of their engagement, they must inform the university in writing, and a formal acknowledgement is provided by Academic Registry.

Programme Closures

24. Where a programme closes and students/apprentices have completed the programme of study before an External Examiner's period of engagement is due to end, the External Examiner should be consulted as part of the Programme Closure Process (further details of this are available in ['Guidance for Programme Title Change, Suspension and Closure'](#)). When closure of the programme(s) is confirmed, the External Examiner will be notified by Academic Registry.

Chapter 3: External Examiner Induction

Induction Arrangements and Requirements: External Examiner Briefing Sessions

25. All External Examiners who are newly engaged by Liverpool John Moores University, are expected to engage with the university's suite of External Examiner Briefing Sessions during the first year of their engagement. These will be held virtually.
26. The External Examiner Briefing Sessions are facilitated by the university, at various points in the academic year, and these provide guidance and information on various topics, such as:
 - An introduction to the university.
 - The university's assessment regulations.
 - The operation of Boards of Examiners.
 - Data Protection and IT Security.
 - External Examiner reports.
27. To supplement centrally delivered training, programme teams are required to facilitate an introductory meeting with their newly engaged External Examiner. Guidance for programme teams on conducting these meetings can be found [here](#).
28. Following completion of the first year of their engagement, new External Examiners are asked (in their Annual Report) to comment on their induction to external examining within the university, and to confirm that this was sufficient to prepare them for the first year of their engagement, and to enable them to fulfil their duties.

Induction Arrangements and Requirements: Mentoring Arrangements for first-time External Examiners

29. All first-time External Examiners will be allocated a mentor. It is the responsibility of the programme team, at the point of nomination, to confirm the agreed mentoring arrangements for a first-time External Examiner. The mentor must be another External Examiner assigned to a programme(s) of at least the same Framework for Higher Education Qualification (FHEQ) level as the mentee. Although the mentor can be assigned to a cognate subject area / the same programme as the mentee, they must not be from the same institution as the mentee. Prior to the commencement of the mentoring arrangement, assigned mentors must have been engaged by Liverpool John Moores University for at least one year. Mentors should assist the first-time External Examiner throughout their first academic year, as they gain experience in the role. Further details on this are available [here](#).
30. In addition, first-time External Examiners for collaborative provision programmes must normally have both recent and relevant External Examining experience, but should a programme team wish to nominate a potential External Examiner for collaborative provision, who does not have both recent and relevant experience, then a rationale for this decision must be included within the nomination form. This rationale should also include, evidence-based, assurances with regard to their suitability, based upon their experience and expertise.

Decisions on the approval of such arrangements will be risk-based, and will be conditional upon:

- a) Allocation of mentor, and
- b) The External Examiner completing, as a minimum, the following sessions from the university's suite of External Examiner training, during their first year of engagement:
 - An introduction to the role of the External Examiner.
 - Liverpool John Moores University's Academic Framework Regulations and their use in practice.
 - Marking, moderation and Boards of Examiners.
 - External Examiner annual reports

The mentoring arrangement must be proposed at the point of nomination, and must comply with the university's agreed [criteria](#).

Academic Registry will monitor the External Examiner's successful completion of the above training sessions during their first year of engagement.

Induction Arrangements and Requirements: Creation of a Staff IT Account / Access to VLE

31. Following the commencement of engagement, Academic Registry will liaise with External Examiners to arrange for them to be given access to the university's IT facilities.
32. Academic Registry will also send a Staff Card to External Examiners. This is essential for access to university buildings, and for unlocking lapsed/locked IT accounts. **Please note, it is important that External Examiners activate their university IT account within 60 days of issue, and that they continue to access their account at least once every 60 days afterwards.** If there is no activity on their account after this period, it will be locked.
33. The university can facilitate External Examiners' access to students'/apprentices' assessed work, online. Online access to students'/apprentices' assessed work is normally facilitated via SharePoint, and via the WebHub/SharePoint interface. Access to this, and to the CANVAS Virtual Learning Environment (VLE), will be arranged and set up by the Programme Leader. Guidance on how to access assessed work online can be found [here](#).

Chapter 4: The Role and Responsibilities of the External Examiner

Main duties and responsibilities

34. External Examiners approved by the university are allocated to programmes. They may be engaged to cover whole programmes, or clusters of modules within their allocated programmes. The role of the External Examiner is to provide informative comment and recommendations upon whether or not:
- The university is maintaining the threshold academic standards set for awards in accordance with national qualifications frameworks (such as the FHEQ, Characteristics Statements, and applicable Subject Benchmark Statements).
 - The assessment process measures student achievement transparently, rigorously and fairly against the intended outcomes of the programme(s) and is conducted in line with university policies and regulations.
 - The academic standards are comparable with those in other UK higher education institutions of which External Examiners have experience.
 - The achievement of students/apprentices are comparable with those in other UK higher education institutions of which the External Examiners have experience.
- and to provide informative comment and recommendations on:
- Good practice and innovation relating to learning, teaching and assessment.
 - Opportunities to enhance the quality of the learning opportunities provided to students/apprentices.
35. In addition to the above, External Examiners engaged to oversee apprenticeships are asked to make judgements on areas such as, but not limited to:
- The alignment between the apprenticeship and the applicable Apprenticeship Standard and Assessment Plan.
 - The effectiveness of the apprenticeship in enabling apprentices to achieve the required knowledge, skills and behaviours.
 - The university's management of on and off the job training.
 - The alignment between off the job learning and apprentices' day to day work activities.
 - The effectiveness of tripartite reviews.
 - The effectiveness of the apprenticeship in preparing apprentices to progress to timely completion of the End-Point Assessment.
 - The university's collaboration with employers to support apprentices' progress and outcomes.
36. External Examiners engaged to oversee integrated apprenticeships, are also asked to make judgements on a range of areas relating to the operation of integrated End-Point Assessments and the university's effectiveness as an End-Point Assessment Organisation.
37. For apprenticeships, programme teams will need to brief their External Examiners on the nature of the End-Point Assessment (whether they are integrated or not). If the End-Point Assessment is integrated, External Examiners will need to have a role in overseeing this activity, and, at the start of each academic year, will be required to

approve that the End-Point Assessment will be conducted in accordance with the agreed End-Point Assessment Plan.

38. The minimum duties required of all External Examiners are set out in the letter of engagement and Terms and Conditions. In summary, External Examiners are required to:

- Approve all summative assessments associated with their programme(s), for the coming academic year, in order to ensure that students/apprentices are assessed fairly.
- Engage with the process of moderation for assessed work, and judge whether students/apprentices have fulfilled the objectives of the programme, the learning outcomes of the modules and reached the required standard. (This may involve additional visits, for example, placement visits if required by Professional Statutory and Regulatory Bodies (PSRBs)).
- Be able to compare the performance of students/apprentices with that of their peers on comparable programmes elsewhere.
- Ensure that assessments are conducted in accordance with all applicable regulations.
- Consider and comment on: (i) the effectiveness of the assessments, (ii) the programme and module content, (iii) programme and module amendments, where required.
- Attend Boards of Examiners meetings (as reasonably requested).
- Ensure that the standard of university awards is upheld and maintained.
- Provide feedback on Recognition for Prior (Experiential) Learning (RP(E)L) applications, where required. (Further Guidance can be found in the [RP\(E\)L Handbook](#) and [RP\(E\)L Policy](#)).
- Comment on mappings relating to proposed Advanced Standing arrangements, where required.
- Meet with students/apprentices on their designated programme(s) at least once during their period of engagement.
- Report annually to the university on academic standards, assessment and related issues, and on items of good practice, in accordance with the template provided by the university.
- Be responsible for ensuring the security of all personal data that they use or have access to as part of this role.

Further information on the specific duties of External Examiners, within the context of the university's Academic Framework, can be found in the [university Academic Framework Regulations](#).

Moderation

39. All External Examiners are required to moderate a sample of assessed material from the modules to which they are allocated (as defined in the university's [Assessment and Feedback Policy](#), and as defined in the [Academic Framework Regulations](#)).⁶ The arrangements for moderation activity will be co-ordinated by the relevant Schools. External Examiners should be informed of the arrangements for moderation at the start of the academic year. In the first year of an External Examiner's engagement, this information should be provided to External Examiners by Schools as soon as possible following confirmation of the External Examiner's engagement.

⁶ Please note the requirements of the Data Protection Act 2018 / UK General Data Protection Regulation (see Chapter 8) which may impact on External Examiners as well as internal assessors.

40. The university has a policy of anonymous marking and internal moderation for written formal examinations and coursework, where feasible (please see the university's [Assessment and Feedback Policy](#)).
41. Marks for both examinations and coursework will be revealed against student/apprentice names before External Examiner involvement.
42. External Examiners will be required to engage with, and confirm their involvement, in the moderation process (as defined in the university's [Assessment and Feedback Policy](#)).
43. Following each moderation period, any scripts should be returned to the institution once they are no longer required by the External Examiner. Arrangements for this should be made with the relevant Faculty.
44. Further information on moderation can be found in the university's [Academic Framework Regulations](#), and the accompanying [Assessment and Feedback Policy](#).

Boards of Examiners

45. External Examiners are members of Boards of Examiners. The operation of Boards of Examiners, and the university's expectations with regard to the involvement of External Examiners, both prior to and during Boards of Examiners, are described in the [Academic Framework Regulations](#) and the accompanying [assessment and moderation policies](#).
46. The scheduling of Boards of Examiners is undertaken by the relevant Faculty.
47. External Examiners should be informed of the dates of Boards of Examiners at the start of the academic year. In the first year of an External Examiner's engagement, this information should be provided to External Examiners by Schools as soon as possible following confirmation of the External Examiner's engagement.

Meeting with Stakeholders

48. It is a requirement that all External Examiners at the university are offered the opportunity to meet with students/apprentices at least once each academic year. All External Examiners should meet with students/apprentices at least once during their four-year period of engagement. This meeting can be held virtually.
49. Where a physical meeting is not possible (for example, collaborative programmes with overseas or long-distance partners, or distance-taught provision) a virtual meeting with students/apprentices may be arranged.
50. There is no expectation that External Examiners should act as advocates, either for students/apprentices or for programme teams. Rather, these meetings are intended to facilitate and encourage an active dialogue between students/apprentices and External Examiners, and to give them a chance to discuss their experiences of their programme. External Examiners will be asked to comment briefly on this in their reports.
51. In addition, External Examiners engaged to oversee apprenticeships must be offered the opportunity to meet with employers. Again, these meetings can be held virtually or in-person. Where it is not possible for a meeting to take place, programme teams should make appropriate arrangements for External Examiners to consider employers'

feedback, in lieu of a meeting.

52. Furthermore, External Examiners of integrated apprenticeships must also be offered the opportunity to meet with independent assessors and/or other End-Point Assessment Organisation staff. Again, these meetings can be held virtually or in-person.

Chapter 5: The External Examiner Report Process

53. [External Examiner Annual Reports](#) are integral to the evidence base for the monitoring of standards and quality within the university, and for the identification of good practice. They are considered at Boards of Study meetings and as part of the university's monitoring process.
54. External Examiner Annual Reports, and the associated responses, are made available to all students/apprentices on the programme through Boards of Study, and via ['MyLJMU'](#).

Completing Reports

55. External Examiners are required to report annually to the university. Through this process, External Examiners' views are sought on the standards of the awards examined and the comparability of those standards within a UK context. It also invites comments on the effectiveness of the assessment process and features of good practice, as well as covering some programme specific requirements, for example, alignment with the requirements of PSRBs.
56. The deadline for submission of annual reports relating to 2023-24 is **6 September 2024**. For programmes with a non-standard timescale, reports should be returned within 1 month of the Board of Examiners. Reports for internal and collaborative provision are completed and submitted to the university, online, via the WebHub interface, whilst reports relating to apprenticeships should be completed via the designated template and submitted to DegreeApprenticeships@ljmu.ac.uk.
57. Reports for collaborative programmes must be completed separately from reports on internal programmes. In these instances, separate report templates will be made available to External Examiners.
58. Where External Examiners are reporting on collaborative provision, where possible, comparisons should be made between the quality, standards and student experience of the collaborative provision, and cognate internal provision.
59. External Examiners should consider the Data Protection Act (DPA) 2018 and the General Data Protection Regulation when completing their reports, and must not refer to students/apprentices, staff, or other External Examiners by name, nor include matters of a confidential/sensitive nature. Matters of a serious, sensitive or confidential nature, or matters which reflect concerns about standards of assessment and performance (particularly if it is felt that this jeopardises either the fair treatment of individual students/apprentices or the quality or standards of university awards) should be conveyed separately to the Academic Registrar (or, in very exceptional cases, to the Vice-Chancellor, as set out below).
60. All External Examiners have the right to raise issues directly with the Vice-Chancellor, and to receive a timely response outlining any actions to be taken. Where an External Examiner has a serious concern relating to systematic failings with the academic standards of a programme(s), and has exhausted all published applicable internal procedures, including the submission of a confidential report to the Vice-Chancellor, they may inform the relevant PSRB.

61. Further guidance on completing the Annual Report is provided [here](#).

Negative responses to questions on academic standards and the quality of the assessment process

62. Questions within the 'Academic Standards and Assessment' section of the report⁷, ask External Examiners about the core elements of their engagement with their designated programme(s), such as the rigour and transparency of assessment, and comparability of standards.
63. For External Examiners who are practitioners or industry professionals, and not working in Higher Education, it is appreciated that they may not be in a position to provide a judgement on the questions in the 'Academic Standards and Assessments' section. In cases such as these, the 'Neither agree nor disagree' option can be selected⁸.
64. Where External Examiners provide a negative or inconclusive response to one or more of the core questions relating to quality and standards⁹, further clarification will normally be sought by Academic Registry, in the first instance. Negative responses to these questions will be brought to the attention of the Director of School and the Head of Academic Quality and Standards. For apprenticeships, negative responses to these questions will be brought to the attention of the Director of School and either the Head of Academic Quality and Standards or the Degree Apprenticeship Manager¹⁰. An action planning meeting will be convened by Academic Registry. The outcomes of these meetings will be considered by External Examiner Panel. A response will be provided to the External Examiner as part of the programme team's response, to illustrate how these issues are being considered and progressed.

Receipt and use of reports by the university

65. External Examiner Annual Reports are considered public documents and will, subject to any relevant exemption under the Freedom of Information Act (2000) and consultation with the External Examiner, be disclosed upon request. The university's guidance on completing External Examiner Reports is available [here](#).

Obtaining late reports

66. External Examiners who have not submitted their report(s) within one month of the deadline will be sent a reminder from Academic Registry. For reports which are not submitted after this initial reminder, and are still outstanding three months after the original deadline, a second reminder will be sent to the External Examiner by Academic Registry, and liaison will take place with the relevant programme team. Failure to respond to the reminders may lead to the termination of the External Examiner's engagement.

⁷ Within the apprenticeship report template this section is entitled "Quality and Standards".

⁸ This does not apply to apprenticeships.

⁹ Excluding arrangements as per paragraph 63.

¹⁰ To be determined based upon the nature of the issue raised.

Considering and responding to reports

67. The university monitors the content of reports closely. Each report will be responded to by the programme team and Director of School.
68. Reports are considered at different levels:
- At programme and School level, by programme/subject teams and Directors of School, who will respond to each External Examiner's report. Where issues or concerns have been raised, replies will detail how these have been, or are being considered.
 - At institutional level, where an overview report on the operation of the External Examiner report process is received by the Academic Quality and Standards Committee (AQSC) on an annual basis. In addition, where External Examiners have raised issues that they feel can only be addressed at institutional level, a response is normally provided by the Head of Academic Quality and Standards¹¹. Should issues of this nature be raised by External Examiners, they are also considered by AQSC.
69. When External Examiner reports are reviewed at School level, comparisons should be drawn between External Examiner reports for internal and collaborative provision for cognate programmes, to ensure comparability of academic standards and quality of learning opportunities across internal and collaborative provision.
70. All External Examiners should receive a timely and comprehensive individual response following submission of their report. For internal and collaborative provision, this response will be provided via the online tool, housed within WebHub.
71. In relation to apprenticeships, responses will be provided via the relevant sections of the report template and should be submitted to Academic Registry, via DegreeApprenticeships@ljmu.ac.uk, who will conduct a final review and send to the External Examiner.
72. For the 2023-24 reporting cycle, programme teams and Directors of School should complete their responses to External Examiners no later than **31 October 2024**. For programmes with a non-standard timescale, programme teams should complete their responses within six weeks of receipt of the report.
73. Responses will be made via the designated sections of the report template and must be approved by Directors of School prior to being issued to External Examiners.
74. For collaborative programmes, the responses should be agreed between the Programme Leader/Link Tutor, prior to being submitted via the online tool¹² by the Link Tutor or the lead contact at the partner, and then approved by the Liverpool John Moores University Director of School.
75. For reports which span more than one Programme Leader/School/ Faculty, Programme Leaders will liaise to co-ordinate one response per External Examiner report, and this will be submitted online¹³ by a nominated Programme Leader (or in the case of

¹¹ For apprenticeship programmes this response may be provided by the Degree Apprenticeship Manager (to be determined by the nature of the issue raised).

¹² Or via the designated template for apprenticeships.

¹³ Ibid.

collaborative provision, a nominated Link Tutor/Programme Leader). In these instances, responses will be approved by the Director of School for the owning School.

General Guidance on responding to External Examiner reports

76. It is the responsibility of programme teams/Schools to ensure that External Examiner reports and responses are uploaded to the relevant Programme Information Document SharePoint Site(s). When sharing the External Examiner report/response with students/apprentices, or more widely (for example with other staff, or PSRBs), programme teams/Schools must ensure that they use the final version (which has been signed off by Academic Registry on the WebHub interface). For apprenticeships, programme teams should ensure that they obtain a copy of the final report and response from Academic Registry's Degree Apprenticeship Team.
77. Programme teams may find it useful to consider aspects of the Teaching Excellence Framework (TEF) while writing their response(s). In their response(s), programme teams should comment on identified features of good practice and positive outcomes, in order to ensure they are acknowledged and considered in the ongoing enhancement of their programme(s).

Chapter 6: Liverpool John Moores University Staff acting as External Examiners elsewhere

Notification to the university of staff acting as External Examiners elsewhere, and checking for potential conflicts of interest

78. In order to ensure the independence of the External Examining process, the university keeps up-to-date records of its own staff acting as External Examiners elsewhere. This facilitates the cross-checking of nominations for potential conflicts of interest or reciprocal arrangements (further information on conflicts of interest is available [here](#)). It also facilitates this university's awareness of its own staff acting as External Examiners elsewhere, so that support can be provided, where applicable, and both the university and the relevant staff can benefit from the sharing of good practice.
79. As part of the [Advance HE Degree Standards Project](#), Liverpool John Moores University is an 'Early Adopter' of the Advance HE Professional Development Course for External Examiners. This training is provided for Liverpool John Moores University staff who act as External Examiners elsewhere, or who aspire to act as External examiners elsewhere, and is a national training scheme, designed to support them in their role.
80. A list of all Liverpool John Moores University staff acting as External Examiners elsewhere is received annually by the External Examiner Panel.
81. Before they agree to undertake the role of External Examiner at another institution, university staff should check the External Examiner Database on WebHub for potential conflicts of interest. Members of staff who take up external examining engagements elsewhere, or staff whose period of engagement is extended beyond their original tenure, should notify their Director of School and Academic Registry immediately. Academic Registry will update [WebHub](#) accordingly, to ensure that a 'live' record is maintained by the university.

Chapter 7: External Examiner personal details, fees and expenses

External Examiner personal details

82. The university holds External Examiners' personal data securely, and processes it with care. For full details, please see Liverpool John Moores University's [Privacy Statement for External Examiners and External Verifiers \(taught programmes\)](#).
83. External Examiners' name, position and institution/workplace will be available to students/apprentices in Programme Guides. In the event of a student/apprentice making direct contact with an External Examiner, the External Examiner is advised to refer the query to the Programme Leader.

External Examiner fees and expenses

84. The annual fee is paid by the university on receipt of the completed fee claim form, and following receipt of the External Examiner's annual report. (if the university is expecting more than one report from an External Examiner under one fee and during one academic cycle, the fee will be paid on receipt of all reports for that academic cycle). External Examiners are also able to claim all reasonable expenses incurred whilst undertaking their duties. Information on the current annual fee, and the regulations governing External Examiner expenses is available [here](#).
85. The university will not deduct tax from payments made. External Examiners will need to make their own arrangements.
86. In order to comply with UKVI regulations, the engagement of a new External Examiner will not be considered to have commenced until their 'right to work' has been verified.

Please see 'UK Visas and Immigration Services Requirements' in Chapter 2 above for further details.

Chapter 8: General Data Protection Regulation, Data Protection Act (2018) and the Freedom of Information Act (2000)

87. The university collects, stores and processes a wide range of data about individuals during the course of its day to day business, and the use of personal data is an integral aspect of many of the university's activities. The University's Privacy Statement for External Examiners and External Verifiers (Taught Programmes) is available [here](#).
88. External Examiners should be aware of the university's obligations under the Freedom of Information Act 2000, the Data Protection Act 2018 and the General Data Protection Regulation, and also of their own responsibilities. External Examiners are responsible for the personal data that they process as part of their role. The university's Data Protection Officer can be contacted by email at DPO@ljmu.ac.uk or by phone on 0151 904 6134.

The Data Protection Act 2018 / General Data Protection Regulation / The Freedom of Information Act (FOI) 2000 and the marking of assessed work and exam scripts

89. All External Examiners and staff (including those engaged in the marking of examination scripts) have a duty to ensure that they comply with the data protection principles (set out in the [university's Data Protection Policy](#)), and should note the following:
- Marks, comments and opinions expressed by an External Examiner about individual students/apprentices during the assessment process may be disclosed to the student concerned, if the student makes a Subject Access Request under the Data Protection Act/General Data Protection Regulation.
 - Information recorded by candidates during examinations (e.g. examination scripts) is expressly exempted from the data subject (i.e. the student/apprentice) access rules. This means that the university is under no obligation to permit examination candidates to have access to either original scripts or copies of scripts. However, comments by External Examiners about an individual, both internal and external, whether made on the script or in another form that allows them to be held and applied to the original script (e.g. in a coded table) are covered by the Act.
 - Should a student/apprentice request to see the External Examiner's comments, they may be made available. A data subject has the right to request that a copy or summary 'in intelligible form' of information about them is provided within the stipulated timescale (see below).
 - All External Examiners need to be aware that the university may be obliged to make their comments available (upon formal request) to individual students/apprentices. To ensure compliance and to simplify the process, should requests be made, Examiners are advised to write their comments on a separate sheet which they should attach to the script.
 - Where Examiners' comments have been made directly onto scripts the annotated script itself is exempt in the event of a Subject Access Request (though may be provided at the discretion of the university). However, if an annotated script is withheld, all comments must be reproduced onto a separate form, which is

available to the subject as a minimum requirement.

- All Examiners should be reminded that their comments will be provided to students/apprentices if requested, and should therefore ensure that all comments can be justified and that no careless remarks are made on exam scripts, in emails/correspondence to colleagues, or on mark sheets. Any informal notes passed between Examiners in the course of marking an examination script or piece of coursework should be disposed of securely once the final mark has been agreed and there is genuinely no need for the notes to be retained.
- Staff, including External Examiners, are advised that examination board minutes can include the personal data of individual students/apprentices and therefore may be accessible to students/apprentices on request.

All requests for personal information must be directed to the Data Protection Officer without delay and should be dealt with in accordance with university's [Data Subject Rights Request Policy](#). The standard response time for requests is 1 month, but may, in limited circumstances, be extended to three months.

90. Any requests received by the university for the disclosure of External Examiner reports, or the personal information of External Examiners, will be treated on a case-by-case basis.