

**The London Institute of Banking & Finance Code of Practice for Quality Assurance
(Higher Education)**

Chapter 8: External Examining

8.1 Introduction and scope

8.1.1 This chapter applies to all taught programmes offered by The London Institute of Banking & Finance at both undergraduate and postgraduate levels and has been aligned to the QAA UK Quality Code for Higher Education, Chapter B7: External Examining. The Quality Code sets out the following expectation about external examining, which higher education institutions are required to meet:

‘Higher education providers make scrupulous use of external examiners’

Chapter A5 Externality is also relevant. It provides that: *‘Higher education providers ensure independent and external participation in the management of threshold academic standards.’*

Chapter B7 may be accessed at: <http://www.qaa.ac.uk/en/Publications/Documents/quality-code-B7.pdf>. Chapter 8 of The London Institute of Banking & Finance’s Code of Practice is also informed by the following documents:

- i. ‘Universities UK and Guild HE 2011 report on the Review of External Examining arrangements in universities and colleges in the UK’ which can be found at: <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2011/review-of-external-examining-arrangements.pdf>
- ii. The separate The London Institute of Banking & Finance Guidelines for External Examiners which can be found at: <http://www.libf.ac.uk/about-us/academic-quality/external-examiner-information>

8.2 Principles

8.2.1 Where relevant, no The London Institute of Banking & Finance higher education qualification shall be awarded without participation in the assessment process by at least one External Examiner to ensure the appropriateness of the academic standards being applied.

8.2.2 The number of External Examiners must be sufficient to cover the full range of modules within a programme without compromising standards.

8.2.3 These guidelines may be varied in the case of programmes which form part of a dual award delivered collaboratively with a strategic partner institution.

8.3 Criteria for Appointment

8.3.1 External Examiners will hold the relevant qualifications and / or extensive practitioner experience where relevant to enable them to carry out their respective responsibilities with regard to the maintenance of academic standards in the context of UK higher education.

8.3.2 External Examiners will have relevant current or recent experience of the standards set and achieved on the type of programme for example the nature and level of award, for which they carry out their external examining duties.

8.3.3 External Examiners will have some prior experience of examining, relevant to the level and subject for which they are appointed. Where appointments are made in cases of limited external examining experience, training and support is provided by the Head of Postgraduate Programmes or the Associate Dean, Degree Programmes (see 8.7 Induction of External Examiners).

8.3.4 External Examiners should be fully conversant with the different components of the Academic Infrastructure, and in particular with any Subject Benchmark Statements relevant to the module / programme for which they are acting and the qualification descriptors in the Framework for Higher Education Qualifications (FHEQ) for the level of programme concerned.

8.3.5 To allow sufficient time for them to fulfil their duties effectively, External Examiners will not normally concurrently hold more than two external examining appointments, including any The London Institute of Banking & Finance appointment. Potential appointees will be asked to declare any other current external examining appointments as part of their application.

8.3.6 Normally, to avoid potential or perceived conflicts of interest, appointments to the position of External Examiner to a given programme are not made from:

- i. departments within institutions for which an academic member of staff of The London Institute of Banking & Finance is currently acting as an External Examiner
- ii. the same department within an institution from which the preceding appointment to the external examining position was made
- iii. the same department of the same institution from which one external examiner has already been appointed by The London Institute of Banking & Finance
- iv. former academic staff or students of The London Institute of Banking & Finance, unless more than five years have elapsed since they left employment or graduated
- v. academic staff from departments within institutions which are delivering the programme, or otherwise contributing directly to it, and may, therefore, not be seen as independent or impartial (eg through appointment as a member of The London Institute of Banking & Finance academic community)
- vi. academic staff who act as consultants to The London Institute of Banking & Finance
- vii. academic staff who have close links with anyone delivering or studying the module / programme in question (eg through collaborative research, etc)
- viii. academic staff from a collaborative partner of The London Institute of Banking & Finance
- ix. a reciprocal arrangement involving cognate programmes at another institution

8.3.7 Where a programme is delivered both by The London Institute of Banking & Finance and also through a partner, it is often desirable to appoint a single external examiner to cover all versions of the programme, as an aid to ensuring consistency of practice and equity of treatment of students.

8.3.8 The Academic Standards and Quality Committee retains the right to recommend to the Academic Board, with full reasons, the appointment of an external examiner where the criteria differ from those set out in 8.3.6 above. Being a key player within a relatively small specialist community means that the pool of potential external examiners is limited. This is amplified by the distributed nature of The London Institute of Banking & Finance's academic community which further limits truly external organisations to approach for external examiner appointments.

8.4 Responsibilities and Duties

8.4.1 External Examiners are ultimately responsible to the [Academic Board](#) of The London Institute of Banking & Finance.

8.4.2 External Examiners are responsible for ensuring that the standards of The London Institute of Banking & Finance awards are consistent with national standards in terms of level and credit tariff, as reflected within

areas such as the Framework for Higher Education Qualifications (FHEQ) and subject benchmark statements and are monitored and maintained over time.

8.4.3 External Examiners are responsible for ensuring that students are consistently treated fairly and equivalently with regard to the application of academic standards across modules within a programme.

8.4.4 Judgements on the academic standards of a programme or module made by External Examiners must be based solely upon the assessment evidence available to them and should not be influenced by other factors.

8.4.5 External Examiners must satisfy themselves that the assessment arrangements allow students to be fairly assessed in relation to the learning outcomes of the module(s) / programme for which they are responsible.

8.4.6 External Examiners review a sample of dissertations across all programmes / modules as is clearly explained within the External Examiners contract.

8.4.7 External Examiners have a role as a "critical friend", offering constructive criticism, comment and suggestions for enhancement of the curriculum and / or assessment.

8.4.8 It is the responsibility of External Examiners to declare an interest if they find themselves placed in a position of making academic decisions regarding any student with whom there may be a potential, a perceived or an actual conflict of interest.

8.4.9 External Examiners are required to inform Quality, Policy & Regulation at The London Institute of Banking & Finance of any change in their personal or professional circumstances which might impact on their role as External Examiner.

Module External Examiners

8.4.10 Module External Examiners must satisfy themselves that the assessment arrangements allow students to be fairly assessed in relation to the learning outcomes of the module(s) for which they are responsible. Prior to any changes being implemented, external examiners will be consulted to ensure that they are satisfied with the suggested change.

8.4.11 For modules with formal assessment, Module External Examiners are required, in advance of the assessment being made available to students in final form, to review and approve all assessment materials that contribute to the final assessment of a module, eg examination papers, coursework assignments and associated guidelines. At FHEQ Level 4, assessment is reviewed at designated intervals throughout the year.

8.4.12 Module External Examiners have a right to see all examination scripts, assignments, and other completed tasks that contribute to the final module mark. If only a sample of assessed work is initially made available for review by the External Examiner, the sampling criteria (normally at least 10) must be agreed in advance. The guiding principle for selection is that the External Examiner must have sufficient evidence to determine that internal marking is of an appropriate standard and consistent across students.

8.4.13 Module External Examiners have the right to moderate the internal marking and ask for the marks of all candidates for an assessment component within a module to be systematically adjusted. Module External Examiners cannot require the adjustment of individual marks unless asked by the Assessment Board to investigate individual cases.

8.4.14 Module External Examiners are expected to attend the relevant Module Assessment Board, and are invited to attend meetings of the Programme Assessment Board at which recommendations are made for the award of degrees, diplomas and / or certificates as per section 8.4.19 below.

8.4.15 Module External Examiners are required to submit an annual report to the Associate Dean, Quality, Policy & Regulation using the prescribed form and according to the agreed timetable. Receipt of the

completed report will prompt payment of fees due to the External Examiner. Module External Examiners are also required to submit a session report for consideration at the Module Assessment Board.

8.4.16 Where considered appropriate, Module External Examiners may hold concurrent appointments for more than one module in a programme / across programmes and may also be appointed as Programme External Examiners.

Programme External Examiners

8.4.17 A Programme External Examiner is appointed in respect of each The London Institute of Banking & Finance programme. Programme External Examiners are responsible for ensuring both the overall standard of the award and parity of standards across modules.

8.4.18 Programme External Examiners must satisfy themselves that the assessment arrangements allow for students to be fairly assessed in relation to the learning outcomes of the programme(s) for which they are responsible.

8.4.19 Programme External Examiners are required to attend meetings of the Programme Assessment Board at which recommendations are made for the award of degrees, diplomas, and / or certificates, unless their absence is exceptionally agreed in advance with the Chair. The London Institute of Banking & Finance operates a two tier approach to assessment boards whereby programme and module assessment boards take place on the same day, depending on the level, and as such External Examiners are invited to attend both.

8.4.20 Programme External Examiners are required to submit an annual report to the Associate Dean, Quality, Policy and Regulation using the prescribed form and according to the agreed timetable. Receipt of the completed report will prompt payment of fees due to the External Examiner.

8.4.14 At FHEQ Level 4, the Programme External Examiner submits one annual report which includes comments on both the programme and its associated modules.

8.4.21 Programme External Examiners may not be appointed for more than one The London Institute of Banking & Finance programme unless there is commonality of modules across programmes.

8.5 Appointment of External Examiners

8.5.1 The Head of Postgraduate Programmes or the Associate Dean, Degree Programmes are responsible for seeking applications from suitably qualified individuals to act as External Examiners.

8.5.2 Applications should be made to the Head of Postgraduate Programmes or the Associate Dean, Degree Programmes using the [External Examiner Application Form](#) and should be accompanied by the applicant's curriculum vitae. The Head of Postgraduate Programmes or the Associate Dean, Degree Programmes submits nominations for appointment to the Academic Standards and Quality Committee for consideration and approval in line with the criteria set down by the [Academic Board](#) (see 8.3 Criteria for appointment). Such nominations are made via the Manager, Quality, Audit and Review.

8.5.3 It is the responsibility of the Academic Standards and Quality Committee, acting on behalf of the Academic Board, to ensure that applicants satisfy the criteria for appointment; that there is no conflict of interest; that they have appropriate academic expertise and experience; and that there is no reason to doubt their ability to operate in a fair and impartial manner.

8.5.4 On approval by the Academic Standards and Quality Committee, External Examiners receive a letter of appointment from the Associate Dean, Quality, Policy & Regulation and are required to sign an External Examiners Agreement.

8.5.5 The London Institute of Banking & Finance keeps a central register of External Examiner appointments so as to ensure effective management of appointments in line with agreed policy and to avoid conflicts of interest.

8.6 Period of Appointment

8.6.1 External Examiners are normally appointed for a maximum of four consecutive years, with the possibility of an extension for a further one year in exceptional circumstances. In such cases, the Head of Postgraduate Programmes or the Associate Dean, Degree Programmes will recommend the extension to the Academic Standards and Quality Committee.

8.6.2 A five year interval will apply before a retiring External Examiner may be considered for appointment to another programme offered by The London Institute of Banking & Finance. An External Examiner will not be re-appointed for the same programme(s) without exceptional reason and may only be reappointed once following the initial term.

8.6.3 As far as possible, appointments of External Examiners are phased to avoid a number of new External Examiners starting at the same time and thus allow for the mentoring of new External Examiners by more experienced colleagues.

8.6.4 An appointment may be terminated by either party with 6 months' notice.

8.6.5 The appointment of an External Examiner may be terminated early by The London Institute of Banking & Finance in the following circumstances:

1. failure to carry out agreed duties regarding the quality assurance of assessment materials and marking, or to act within The London Institute of Banking & Finance [General and Academic Regulations](#).
2. repeated failure to attend Assessment Board meetings
3. failure to submit an annual report within the specified time
4. as a result of the withdrawal of the programme or relevant modules within it
5. a change in the circumstances of the External Examiner which may result in conflict of interest or significant operational difficulties

8.6.6 The early termination of the appointment of an External Examiner is a matter for decision by the Academic Board.

8.7 Induction of External Examiners

8.7.1 The Head of Postgraduate Programmes or the Associate Dean, Degree Programmes is responsible for ensuring that, prior to the commencement of their duties, External Examiners are:

1. appropriately briefed, either in person or by telephone
2. provided with all necessary documentation, both with regard to their module / programme related duties and to the aims and philosophy of the programme for which they will act as an External Examiner
3. given an opportunity to clarify any issues

8.7.2 Wherever possible, External Examiners are provided with an opportunity to attend an induction meeting and meet relevant academic staff prior to commencing their duties. This also includes shadowing opportunities where appropriate / possible.

8.7.3 On appointment, External Examiners are sent the following:

1. Contact details for relevant staff at The London Institute of Banking & Finance

2. The London Institute of Banking & Finance Guidelines for External Examiners
3. The Student or Programme Handbook / student induction pack for the programme
4. Information regarding the module(s) / programme and their assessment for which they will have responsibility, including a full programme specification and all relevant module specifications
5. Latest module assessment reports and relevant assessment material
6. Information regarding any planned changes to the programme or to relevant modules
7. Details of the membership and responsibilities of the Programme and / or Module Assessment Boards
8. The timetables and deadlines for external examining activities together with the dates and locations of key meetings
9. The London Institute of Banking & Finance Code of Practice for Quality Assurance
10. Minutes of the last Programme and / or Module Assessment Board meeting(s) as appropriate
11. A copy of the regulations pertaining to the programme and The London Institute of Banking & Finance General and Academic Regulations for Students
12. The final report of the retiring External Examiner.

8.7.4 The Head of Postgraduate Programmes or the Associate Dean, Degree Programmes is responsible for ensuring that External Examiners are kept up-to-date with regard to any changes to the module / programme which may impact upon their ability to carry out their duties and / or discharge their responsibilities as External Examiners. This may also include any changes in legislation regarding students with disabilities (see Appendix A - Students with Disabilities).

8.8 Annual Reports

8.8.1 The annual report forms are designed to seek independent, objective feedback from each External Examiner, allowing for free comment on the full range of issues within the remit. Annual report forms will be made available to students and members of the academic community via **myLIBF** and also through consideration by the deliberative committees. Summaries of examiners' reports and the action taken in response will also be made available to student representatives as part of the annual monitoring process.

8.8.2 Where a Module External Examiner also acts as a Programme External Examiner they will complete two annual report forms, one for the module / s that they have responsibility for and one for the programme.

8.8.3 The annual report must be submitted to the Associate Dean, Quality, Policy & Regulation within four weeks of the final module or programme assessment board meeting(s) of the year (as relevant).

8.8.4 The External Examiner may be asked to resubmit the annual report if it is deemed incomplete.

8.8.5 The Associate Dean, Quality, Policy & Regulation will send a formal reminder should an External Examiner fail to submit their report within the deadline (failure to submit a report within the extended two weeks of the deadline, or continuing late submission of reports, could lead to the appointment being terminated).

8.8.6 The report will be distributed by the Quality, Policy & Regulation team to the Head of Postgraduate Programmes or Associate Dean, Degree Programmes as appropriate highlighting any matters of concern / good practice.

8.8.7 Any areas of serious concern identified by the Quality, Policy & Regulation team will be reported directly to the Principal and the Academic Standards and Quality Committee.

8.8.8 External Examiners may also refer to the QAA Concerns Scheme should they have a serious concern about the academic standards and / or quality of the programme they are responsible for overseeing or may raise these concerns with The London Institute of Banking & Finance via a separate confidential written report addressed to the Principal. Such a written report would be in addition to the annual report form. This should

only be necessary if no satisfactory action is forthcoming as a result of any issue or concern being highlighted within the annual report.

8.8.9 Either the Head of Postgraduate Programmes or Associate Dean, Degree Programmes responds by letter to the External Examiner providing a full commentary on issues raised and clearly showing the action taken in response and / or providing an explanation if action is not to be taken. The response will be copied to the Associate Dean, Quality, Policy & Regulation and, wherever possible, is to be completed within twelve weeks of receipt of the report with any delay reported to the Associate Dean, Quality, Policy & Regulation.

8.8.10 The Head of Postgraduate Programmes / Associate Dean, Degree Programmes incorporate issues raised in External Examiners' report(s), and the accompanying action plan(s), into the annual monitoring report. These are presented to the Learning and Teaching Committee as part of the annual monitoring process.

8.8.11 The Quality, Policy & Regulation team prepares an annual, overarching report to the Academic Standards and Quality Committee on general issues of concern and / or examples of good practice raised by External Examiners, and the actions taken. The committee is required to confirm that issues raised have been fully considered and reported accordingly to the Academic Board.

8.8.12 A summary of the annual report process can be found at Annex 1.

8.9 Contact between Students and External Examiners

8.9.1 External Examiner details (name and institution) are published via **myLIBF**. However, students are not permitted to contact External Examiners directly regarding any aspect of their programmes of study. Any attempt to do so will be treated as suspected malpractice under The London Institute of Banking & Finance's Code of Practice [Chapter 9: Malpractice](#). External Examiners are required to inform The London Institute of Banking & Finance should they be contacted directly by a student.

8.9.2 External Examiners may request to hold formal meetings with students. Such requests must be made in writing to the Associate Dean, Quality, Policy & Regulation and be supported by a clear rationale setting out the reasons for such a meeting. Written authority must be obtained prior to any such meeting taking place. Representatives from The London Institute of Banking & Finance have the right to observe such meetings.

Annex 1: Annual report process

External Examiner completes annual report form template provided by The London Institute of Banking & Finance



External Examiner submits report to Associate Dean, Quality, Policy & Regulation



Associate Dean, Quality, Policy & Regulation will acknowledge receipt of the report and arrange for the payment of fees



The Quality, Policy & Regulation department distributes the report to the Head of Postgraduate Programmes or Associate Dean, Degree Programmes highlighting any matters of concern / good practice



The Head of Postgraduate Programmes / Associate Dean, Degree Programmes responds in writing to the External Examiner



The Head of Postgraduate Programmes / Associate Dean, Degree Programmes incorporates issues raised in External Examiners' report(s) into the annual monitoring report for presentation to the Learning and Teaching Committee



Quality, Policy & Regulation presents an annual report to the Academic Standards and Quality Committee on general issues of concern and / or examples of good practice.



Quality, Policy & Regulation make the completed annual report forms available to students via **myLIBF**