ANNEX 1 – MINIMUM COMPLIANCE CHECKLIST

Area	CRA requirement	Exeter TQA/UK HE Norms – to be defended. Negotiation and significant risk	Potentially changeable within reasonable parameters/questions to consider
Admissions	Clear information on the programme made available to applicants (CRA requirement).	Offer letter is binding so need to be clear on length of programme and fees before sent to student.	
Registration	A contract containing finance and programme information, should be available for each student to sign at or before registration. This will often need negotiation well in advance.	Students should be registered at both/all institutions.	
Funding		Details of how each institution manages funding and Research Training Support Grant (RTSG) needs to be discussed in advance of registration to ensure each party is aware how the process will work and have procedures in place before the students arrive.	
Student Handbook	CRA requires this to be available to students' pre: application. Full QA alignment and partnership	Clear information about the programme including all instances of variance from standard procedures must be available to students and	Length of degree; required training; extensions; disability support, how the partner institutions administer funding.

	requirements and a contract must be produced before the studentship is advertised.	supervisors, including rules and timeframes around. A version of the PGR student handbook must be produced.	
Annual Monitoring	Student must be able to give annual confidential feedback on supervision.		
	Progress must be officially monitored annually.	Use of MyPGR whilst the student is at both partner institutions would be preferable.	
	If registered on MPhil/PhD an upgrade must take place, which includes a meeting with the student, assessment by staff other than the supervisors.	Can be done at a distance if necessary. Most PhD students at Exeter will be registered on to the MPhil and must pass an upgrade process.	Consider the progression milestones for each of the partners and how this might work when the students are moving between institutions.
Complaints and Appeals	Whilst at Exeter, our process must be adhered to. Where right of appeal does not exist at other institutions in a similar way, Exeter procedures will be used. All students on a partnership will have access to the OIA.		
Supervision	Required to show that there is sufficient opportunity for		

	training. At Exeter this is via the Supervision agreement and training needs. Training needs are based on individual needs assessment.		
	Need to show supervisory team meets our criteria for appointment, and that external supervisors have access to training and sufficient workload for the role, and that the supervision provided is kept under review. Supervisors must be aware of differences in support around the partnership.		
Thesis	Assessment needs to be clear, which means we would need to be able to define any exceptions to our regulations clearly and in advance, this must include clarity over criteria for examiner appointment, conduct of the viva, communication of results to candidate, failure	One Exam Process.	

	to reach consensus, disclosures of conflict of interest.		
	Supervisor cannot be an active examiner but may be present as an observer only.	No public viva.	Language of thesis and viva.
	There must be at least one external examiner (external to both institutions).	One thesis, submitted where possible to Exeter as per Exeter's procedures (link to thesis submission)	Length of degree.
	Assessment needs to be made against NQF standards.	One set of outcomes if joint	Format of thesis.
		Examiner feedback as per Exeter handbook.	If the viva is to take place at the partner institution, the procedure must be agreed and communicated to the student in advance.
		Examination as per Exeter handbook.	Responsibility for producing a joint degree parchment (see section below).
		Outcomes as per Exeter Handbook.	
Certificates and	The awarding institution retains the		

Transcripts/ Diploma supplements	means to exercise proper security and control over all certificates and transcripts issued in its name. They are responsible for the accuracy of certificates and transcripts.		
	The information on a certificate or transcript does not omit anything needed for a full understanding of a student's achievement.		
	The single certificate should list the names of all awarding institutions and bear the signatures of the competent authorities in each institution.	The logos of both institutions should appear on the Joint certificate.	Two certificates rather than one single certificate could be permitted when a single combined certificate is impossible due to partner's regulations and where approval* is received in advance; however the certificate and/or transcript should reference Joint nature of award.
			The transcript or award certificate may need to include the language of study,

			where this is specified within the formal agreement.
	The certificate and/or the transcript should record the name and location of any partner organisation engaged in delivery of the programme of study (subject to any overriding legal provision in relevant jurisdictions).		It is good practice for the transcript, Diploma Supplement, or HEAR (Higher Education Achievement Report) to indicate at which institution the different parts of the programme were studied.
		Arrangements for the template and production of certificates should be agreed in advance of the contract being signed and included within the contract.	
Modes of Attendance	Maternity Leave rights as per Exeter Handbook for PGR students must be available to all students registered at Exeter.	If the partner code varies from Exeter this must be highlighted as a risk.	

	Interruptions – Exeter students may have 2 years with F permission	This can be negotiated, but must be outlined in advance of any agreement. Not allowing Exeter students the time given to other Exeter students would need to be mitigated as a risk.	
	Exeter students may be 0.5, 0.6, 0.7, 0.8, 0.9 or 1.0 – this must be available to all students		

*Approval from e.g., the General Counsel and Deputy Director of Compliance, Governance and Risk, and the Dean of Graduate Research for PGR partnerships, or the Dean or Associate Dean for Taught Students for partnerships involving Taught programmes.

It is important to define all instances of exceptions to our regulations and be clear about how those exceptions operate. In particular, the following need careful consideration:

- The criteria to be used in appointing examiners the preparatory period prior to the viva
- How the viva will be conducted
- How and when the result will be communicated to the candidate
- How to handle cases where the examiners cannot reach a consensus
- The criteria to be used for selecting external examiners when they have had previous affiliations with the degree-awarding body or the provider.