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| External Examiner Nomination Form for Taught Programmes |

*The completed form and any accompanying documentation (e.g. nominee’s CV) should be sent to the Quality, Standards and Accreditation Team (QSAT) (external.examiners@soton.ac.uk) for final review and approval on behalf of Academic Quality and Standards Subcommittee (AQSS), organisation of the right to work check (where applicable) and preparation of a Letter of Appointment on behalf of the Vice President (Education)/Chair of AQSS.*

Please refer to the *External Examiner Procedures* in the [Quality Handbook](https://www.southampton.ac.uk/quality/external_examiners/external_examiner_index.page) when completing this form. In line with the General Data Protection Regulation (GDPR) a copy of the University’s Privacy Notice for external examiners is available [here](https://cdn.southampton.ac.uk/assets/imported/transforms/content-block/UsefulDownloads_Download/DED15F2D03624C7FAEBFB44129F1E4AE/External%20Advisors%20and%20Examiners%20Privacy%20Notice%20August%202018.pdf#_ga=2.221631832.1794764661.1538309823-248137710.1538309823).

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| PART I - To be completed by the Curriculum and Quality Assurance (CQA) Team with the Programme Lead or Director of Programmes  *Should a proposed external examiner choose to submit a curriculum vitæ (CV) to provide the information requested in Part II of this form, the Programme Lead/Director of Programmes/CQA Team must ensure that the CV includes all the required information and that the relevant sections of the CV are cross-referenced on this form.* | | | | |
| Name of Faculty: |  | | | |
| Name of School: |  | | | |
| 1. Programmes and modules to be examined | | | | |
| **Programme(s) to be examined:**  **Modules to be examined:** | | | | |
| **Programmes to be examined:** | | **UG** | **PG** | **UG & PG** |

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| 2. Proposed period of office and fee  *The normal and maximum period of office is four years. It is recommended that appointments are aligned to an academic year or programme year e.g. 01 October 2020 to 30 September 2024* | |
| **From: (date/month/year):** | **To: (date/month/year):** |
| **Fee details:** £700 per annum | |

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| 3. External examining team  *Provide details of all external examiners who are members of the Board of Examiners for this programme, placing an asterisk against the external examiner to be replaced. (Please add more fields as appropriate).*  *NB: the new external examiner must not be from the same institution as his or her predecessor or as other external examiners on the Board of Examiners for that award.* |
| Name:  Current place of work:  Area of responsibility in the team:  Date of appointment (from/to): |
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| **4. Collaborative arrangements** | | |
| Is the nominee being asked to be the external examiner for any programme(s)/module(s) delivered under collaborative arrangements with the University of Southampton? |  |
| **If yes,** please provide details: | |

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| 5. Professional, Statutory or Regulatory Body (PSRB) requirements | |
| Is the nominee being asked to be the external examiner for any programme(s)/module(s) where additional or specific criteria is set by a PSRB(s)? |  |
| **If yes,** please provide details: | |

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| PART II - To be completed by the proposed external examiner  *A CV may be submitted in place of completing this section, providing the CV covers all the required information and relevant sections of the CV have been cross-referenced on this form.* | | |
| **6.** **Proposed external examiner’s name and institution** | | |
| **Title:** | **Forename(s):** | **Surname:** |
| **Current place of work/institution, including department** | | |

| 7. Current position *(if retired, details of the most recent post, with dates, and home address)* |
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| **Present/last post:** |
| **Position:** |
| **Details if retired:** |

| **8. Contact details** |
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| **Correspondence address:** |
| **Email address:** |
| **Contact number:** |

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| **9.** **Potential** c**onflict of interests or reciprocal arrangements**  **Conflicts of interest:** Conflicts may arise during engagement or tenure, where providers reasonably believe the interests of one party affect the motivations or impartiality of another. This might include close personal or professional relationships with staff, students, or previous experts involved in their area of responsibility, an excessive influence due to their standing in other roles, or because their inclusion in a team of experts creates an unbalanced view. A conflict of interest might build up over time because of an excessive engagement period or re-engagement by the same provider.  **Reciprocal arrangements:** These may arise during the engagement or tenure of an external expert, if a reasonable person would interpret one service in exchange for another. For example, if one provider engages an expert from another provider and then provides an expert to the same or closely-related provision in return.  *(UK Quality Code for Higher Education, Advice and Guidance, External Expertise).*  *Please answer each statement below to identify if there are any potential conflicts of interest which may preclude your appointment as an external examiner at the University of Southampton. Answering ‘Yes’ to any statement will not automatically constitute a conflict of interest prohibiting an appointment as an external examiner. A judgement will be made on behalf of the Chair of AQSS by QSAT based on the details provided and will be referred to the Chair for a final decision if necessary.* | |
| Are you a current employee of the University of Southampton or one of its collaborative partners? |  |
| **If yes,** please provide details: | |
| Are you a former member of staff or student of the University of Southampton? |  |
| **If yes,** please provide dates: | |
| Are you a member of the governing body or other committee of the University of Southampton or one of its collaborative partners? |  |
| **If yes,** please provide details: | |
| Do you have a close professional, contractual or personal relationship with any member of staff or student involved with the programme? |  |
| **If yes,** please provide details: | |
| Are you required to assess colleagues who are recruited as students to the programme? |  |
| **If yes,** please provide details: | |
| Will you be in a position to influence significantly the future of students on the programme? |  |
| **If yes,** please provide details: | |
| Do you have or have you had in the last 3 years any substantive collaborative research activities with members of staff at the University of Southampton (such as joint, funded research contracts, co-authored publications)? |  |
| **If yes**, please provide details, including names of staff members: | |
| Have you previously acted as an external examiner for the University of Southampton? |  |
| **If yes,** please provide details, including dates: | |
| Have you previously acted as an External Adviser in the validation (approval or periodic review) of the programme(s) for which you have been invited to act as external examiner? |  |
| **If yes**, please provide details, including dates: | |
| If you are aware of any other association with the University of Southampton which could give rise to a conflict of interest**[[1]](#endnote-1)** please give details: | |

| 10. Qualifications *University/College attended with qualifications gained and dates* |
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| 11. Professional qualifications (if applicable) |
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| 12. Previous employment *Please provide employment details for the past 5 years (add more fields if required)* |
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| **Employer:**  **Post:**  **Dates:** |
| **Employer:**  **Post:**  **Dates:** |

| **13.** **Previous/current experience as an external examiner for taught programmes** | |
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| I have previous and/or current experience as an external examiner for taught programmes within the UK Higher Education system.  **If yes,** please provide details below (add more fields if required): |  |
| **Name of institution:**  **Programme title and level (UG/Masters/PhD):**  **Dates of appointment:** | |
| **Name of institution:**  **Programme title and level (UG/Masters/PhD):**  **Dates of appointment:** | |

| **14.** **Scholarly experience**  *Please give below a brief account of main activities in teaching, research and other related scholarly/professional activity - with particular reference to the past five years - with dates, including internal examining experience, list of major publications, including books, articles in refereed academic or professional journals. Please include in particular reference to experience relating to the enhancement of the student learning experience.* |
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| 15. Eligibility to work in the United Kingdom  *The University is required by the UK Visas and Immigration rules to verify the right to work in the UK of any person undertaking work at the University of Southampton.* | |
| I confirm that I am a member of the UK/EEA states and have the right to work in the UK with no restrictions. |  |
| If no, please confirm your right to work status and include details of indefinite leave to remain, right of abode and/or dates of any visas or work permits. | |
| External examiners responsible for undergraduate or a mix of both undergraduate and postgraduate taught programmes only  HM Revenue and Customs outlines special arrangements for deduction of tax for first degree examinations conducted by universities <https://www.gov.uk/hmrc-internal-manuals/employment-status-manual/esm4151>. All external examiners for first degrees are paid via the University’s payroll system. This requires the University to verify eligibility to work in the UK for all external examiners who are responsible for undergraduate or a mix of both undergraduate and postgraduate taught programmes. Verification of right to work in the UK must be carried out before a letter of appointment is sent or any work is undertaken by the external examiner. The University will verify an external examiner’s right to work by sight of original documents only. This can be by submission via the YOTI system and then a meeting by Teams, with the original documents ie. Passport. | |
| Please answer ‘yes’ to only one of the options below: | |
| I confirm that I will upload my passport via the University of Southampton YOTI system and then I will attend a short meeting via Teams to present my passport to be verified. |  |
| I confirm that I have Settled Status and will provide my Share Code and date of birth when requested. I will then be able to attend a short meeting via Teams to present my passport to be verified |  |
| I confirm that I will send my original documents to the University of Southampton (via secure postage prepaid by the UoS) and when received I will participate in a Teams meeting. The documents will then be returned to me by secure postage.[[2]](#footnote-1) |  |
| **Signed by the nominee**:  *(electronic signature acceptable)* | |
| **Date:** | |

**Please return the fully completed form to the University via the Programme Lead or Director of Programmes or the Faculty CQA Team.**

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| PART III - To be completed by the Programme Lead or Director of Programmes after the proposed external examiner has completed Part II |
| 16. Reciprocity and other conflicts of interest **Conflicts of interest:** Conflicts may arise during engagement or tenure, where providers reasonably believe the interests of one party affect the motivations or impartiality of another. This might include close personal or professional relationships with staff, students, or previous experts involved in their area of responsibility, an excessive influence due to their standing in other roles, or because their inclusion in a team of experts creates an unbalanced view. A conflict of interest might build up over time because of an excessive engagement period or re-engagement by the same provider.  **Reciprocal arrangements:** These may arise during the engagement or tenure of an external expert, if a reasonable person would interpret one service in exchange for another. For example, if one provider engages an expert from another provider and then provides an expert to the same or closely-related provision in return.  *(UK Quality Code for Higher Education, Advice and Guidance, External Expertise).*  Please confirm by signing below that you have checked with academic staff in the relevant disciplinary areas that no reciprocal external examiner relationship will result from this appointment (i.e. no members of the School currently act as an external examiner in the nominee’s own institution and disciplinary area) and that there are no other known conflicts of interest. If a potential conflict of interest is highlighted, please provide details below and discuss with the Deputy Head of School (Education). If the School considers there to be an exceptional reason why the proposed external examiner should still be appointed please ensure this is explained in section 17.3 and in Part IV of this form. |
| **Signed by the Programme Lead or Director of Programmes** (please print and sign name):  *(electronic signature acceptable)* |
| **Date:** |
| **Details of any potential conflict of interest between a member of academic staff at the University and the nominee and how this is to be addressed (if applicable):** |

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| 17. Exceptional arrangements |
| 17.1 Where the individual nominated does not fully meet the selection criteria, please articulate the rationale for the appointment in the box below. Additional information may be attached as appropriate. If required, advice may be obtained from QSAT. |
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| 17.2 If the nominee does not possess previous external examining experience, mentoring arrangements[[3]](#endnote-2) and information about the additional support to be provided by the School must be given below. Provision of such support will be a condition of appointment (see Part VI) and the appointment cannot be processed unless this section is completed.  Some examples of additional support include shadowing the current external examiner, mentoring by an experienced external examiner or conversations with the Deputy Head of School (Education) and Programme Lead/Director of Programmes. |
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| 17.3 Where a School can provide evidence that the pool of potential external examiners is restricted, the rationale for an appointment which is an exception to the University's position regarding Conflicts of Interest must be articulated below together with an explanation as to how the School will manage the responsibility for standards of the programme/award and the other responsibilities involving the external examiner and/or members of University staff. Applications for such exceptions require approval by the Vice President (Education). |
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| **18. School contacts** | |
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| Queries regarding samples of work |  |
| Academic queries (curriculum/examination scripts) |  |
| Queries regarding administrative arrangements and/or the Board of Examiners’ meeting |  |

| **19. University contacts** | |
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| Submission of annual report(s) and queries regarding the appointment | [external.examiners@soton.ac.uk](mailto:external.examiners@soton.ac.uk) |

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| PART IV - To be completed on behalf of the School Programmes Committee by the Deputy Head of School (Education)  *When reaching a decision regarding the suitability of the nominee, the Deputy Head of School (Education)* *should take into account any factors raised on the form, in particular any points noted in sections 9, 16 and 17, and record these in the box below.*  *The Deputy Head of School (Education) should indicate any conditions to the appointment in the box below. If required, advice may be obtained from QSAT.*  *Where a nominee is appointed who does not fully meet the selection criteria, the specific rationale for this appointment will be included in the Institutional Overview Report to AQSS prepared by QSAT.* | |
| **The nomination is endorsed by the School:** |  |
| **Please note any factors which have been considered when reaching a decision on the suitability of the nominee, and if appropriate, provide additional information to support the nomination and to mitigate any potential conflicts of interest or other issues** *these should be discussed with the Programme Lead or Director of Programmes and normally refer to sections 9, 16 and 17 in particular.**For example potential conflicts of interest that have been highlighted.* | |
| **Conditions of appointment** *these should be discussed with the Programme Lead or Director of Programmes and normally refer to sections 9, 16 and 17 in particular.**For example mentoring arrangements for first-time external examiners or details of any exceptional arrangements.* | |
| **Signed by the Deputy Head of School (Education)** (please print and sign name):  *(electronic signature acceptable)* | |
| **Date:** | |

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| PART V - To be completed on behalf of the Chair of AQSS by QSAT | |
| **The nomination has been reviewed and endorsed by QSAT on behalf of AQSS and the right to work check can be conducted and a letter of appointment sent** |  |
| **The nomination has been reviewed and endorsed by QSAT on behalf of AQSS and a letter of appointment can be sent.** |  |
| **Comments (if applicable)** | |
| **Signed by QSAT on behalf of the Chair of AQSS**:  *(electronic signature acceptable)* | |
| **Date:** | |

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| **For CQA team use:**  **Please complete the checklist, by adding a √ next to each question prior to submitting the nomination form to QSAT**   Section 1 – have all programmes and modules been listed?   Section 2 – have correct appointment dates been provided (normally 4 years) e.g. 1 October 2020 – 30 September 2024?   Section 3 – has a complete external examining team been included, with an asterisk next to the external examiner(s) being replaced?   Sections 4 and Section 5 – have these sections been fully completed and details provided if the answer is Yes to either?   Sections 6, 7 and 8 – has all information requested been completed by the proposed external examiner?   Section 9 – has each statement been answered and details provided if the answer is Yes?   Sections 10, 11 and 12 – have these sections been completed by the proposed external examiner?   If a CV has been referred to in answer to any section of Part II, has this been supplied by the proposed external examiner and appended to this nomination form?   Section 13 – if the answer is Yes, have details been provided of past appointments? If the answer is No, has 17.2 been completed by the Programme Lead or Director of Programmes? Has a condition of appointment been set by the Deputy Head of School (Education) in Section IV to support the new examiner?   Section 14 – has this been completed?   Section 15 – has this been completed, signed and dated by the proposed external examiner?   Section 16 – has this been completed, signed and dated by the Programme Lead or Director Programmes?   Section 17 – has the Programme Lead or Director Programmes completed 17.1, 17.2 or 17.3 depending on the individual circumstances relating to the appointment?   Section 18 – have the School contacts been provided?   Part IV – are there any factors arising from the information supplied on the form (particularly in sections 9, 13, 16 or 17) which the Deputy Head of School (Education) should have considered and made reference to in the comments section, before approving the nomination? Has the Deputy Head of School (Education) completed, signed and dated this section?  Checked by a member of the CQA Team on behalf of the Faculty/School:  **Name:** **Date:** |

1. **To avoid conflicts of interest:**

   The nomination must not constitute a reciprocal external examining relationship between same discipline academic groupings in different Higher Education Institutions (HEI). Schools must ensure that the nomination does not constitute a reciprocal relationship within the relevant Boards of Examiners. Disciplines should not regard universities like Oxford, Cambridge and London as the HEI but rather particular colleges. Recruiting from different colleges within the same university is not a breach of the reciprocity rule:

   1. The nominee must not be from the same institution as his or her predecessor or as other external examiners on the Board of Examiners for that award;
   2. Current members of staff, or members of the governing body or other University committees of the University of Southampton or its Accredited Institutions or its collaborative partners, are not eligible to act as external examiners for University of Southampton awards;
   3. Former academic staff or students of the University and its accredited Institutions may not be invited before a lapse of five years and sufficient time has elapsed for all students taught by or with that person to have passed through the system;
   4. External examiners should not have any previous or current close involvement with the University (whether professional, personal or contractual) that might compromise their objectivity (for example, a nominee should not be a close relative of a student or member of staff of the University; he/she should not assess colleagues who are recruited as students to the programme nor be in a position to influence strongly the possible employment of examinees);
   5. External examiners should not be involved significantly in current or recent research collaborations with a member of staff closely involved in the delivery, assessment or management of the programme for which they are appointed.

   [↑](#endnote-ref-1)
2. If this option is selected, a secure envelope will be posted to you. The relevant original documents are to be sent using this method only. Upon receipt you will be contacted by a member of QSAT who will arrange a convenient time for a Skype/Teams/WhatsApp video call. This call will take no more than five minutes. [↑](#footnote-ref-1)
3. A mentor should be a current or recent external examiner at the University of Southampton with at least one year’s experience of examining normally in the same or a cognate subject area. The mentor will also normally have held an external examiner’s position at one other institution. Where there is a team of external examiners for a subject area it may be appropriate to appoint one of the other members of the team as a mentor. Alternatively the outgoing external examiner may be willing to act as a mentor to his/her replacement. A mentor will normally be agreed for a minimum of one year to offer advice and support in the first year of an inexperienced external examiner’s appointment.

   A mentor can offer guidance on any aspect of the role of external examiner, depending on the needs of the individual, including:

   * + external and internal reference points in making a judgement about the appropriateness of academic standards and student achievement;
     + feedback on draft examination papers and other forms of assessment e.g. coursework;
     + reviewing samples of student work;
     + providing advice and feedback to the programme team and the Board of Examiners, as appropriate;
     + reporting requirements and guidance on writing an annual report;
     + general information and advice about current issues in HE that are relevant to external examining.

   There is no requirement for face to face meetings between mentor and mentee although, where appropriate, the external examiners concerned are encouraged to use the opportunity provided by attendance at the Board of Examiners for this purpose. [↑](#endnote-ref-2)