

**PROCESS, ROLES AND RESPONSIBILITIES FOR CHECKING RIGHT
TO WORK ELIGIBILITY FOR TAUGHT AND RESEARCH
EXTERNAL EXAMINERS**

Academic Standards and Quality

2018-19

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PROCESS, ROLES AND RESPONSIBILITIES FOR CHECKING RIGHT TO WORK ELIGIBILITY FOR TAUGHT AND RESEARCH EXTERNAL EXAMINERS

1. OBLIGATIONS

- 1.1.** Lancaster University (the University) is obliged under the Immigration, Asylum and Nationality Act 2006 to ensure that incumbents of External Examiner positions for its approved or validated provision delivered in the UK, have the legal right to work in the UK.
- 1.2.** In order to comply with this obligation, the University requires all External Examiner nominees to present valid proof of their eligibility to work in the UK before any appointment is made and again in person on their first visit to the University.

2. TERMINOLOGY

- 2.1.** This document pertains exclusively to the procedures for verifying the eligibility to work in the UK of External Examiners employed by Lancaster University. Throughout the document references are made to specific roles, functions or systems relevant to those procedures. Guidance to terminology follows:

Term	Descriptor
The University	Lancaster University
Collaborative Partners	Including all partners of the University by formal agreement providing validated or franchised provision leading to a Lancaster award.
CoreHR	The University's employee record system.
Designated Officer	Staff member who has been identified and trained to complete right to work checks
Designated Document Store	Application, system or platform which the University uses to share and store documents pertaining to the nomination, approval and employment of External Examiners.
External Examiner (Research Programme)	External Examiner who has been appointed to assess a candidate's research via thesis, or equivalent, and oral examination leading to the award of a doctoral qualification.
External Examiner (Taught Programmes)	External Examiner who has been appointed to assure the quality and standards of taught provision at any level of the FHEQ.
Register of Designated Officers	Database of University staff identified and trained to complete right to work checks.
Research provision	Programmes of study, which may include a substantial taught element, leading to the award of a doctoral qualification assessed primarily by thesis, or equivalent, and oral examination.
RTW	Right to work
Taught provision	Any provision which involves the dissemination of specific knowledge identified by prescribed learning outcomes which are formally assessment.

3. SELECTION AND APPOINTMENT OF EXTERNAL EXAMINERS

- 3.1.** For full details of the criteria pertaining to the appointment of External Examiners please refer to the following:
- a) [For taught programmes.](#)
 - b) [For research programmes.](#)
- 3.2.** External Examiners must inform the University if their circumstances change (e.g. academic position, institution, Visa status, contact details), using the External Examiner Change of Details Form.

4. RIGHT TO WORK ELIGIBILITY AND VERIFICATION

4.1. Overview

- 4.1.1. Procedures for checking the eligibility to work in the UK for all new External Examiners of the University who will examine provision in the UK must be robust and systematic in order to ensure that the University complies with its obligations under the law. As such, the roles, responsibilities and points at which eligibility checks are undertaken are clearly documented, and must be adhered to at all times.
- 4.1.2. Proof of eligibility includes a current UK/EEA passport, or a passport with a valid visa entry, or other relevant documentation.
- 4.1.3. The UK Visa and Immigration (UKVI) agency provides [guidance on checking an applicant's right to work documents](#) and [guidance on what constitutes evidence of eligibility](#). However queries on completing right to work checks can be directed to HR in the first instance.
- 4.1.4. A colour scan of the original eligibility documents should be taken when the External Examiner is present, and saved as a .pdf file to the designated document store. Local or additional copies of these documents should not be maintained. Any queries relating to the evidence of eligibility can be directed to HR.

5. ROLES AND RESPONSIBILITIES

5.1. External Examiner

- 5.1.1. External Examiners are required to complete an External Examiner New Starter Form as part of the nomination and approval process. In completing this form they confirm their right to work in the UK, and that they will provide evidence of this right, in its original form, in person on their first visit to campus.
- 5.1.2. Terms of office for External Examiners (taught programmes) at the University is normally for 4 years. However in cases where an External Examiner's Visa may expire before the normal term of office is completed, the nominee will only be appointed for the period remaining on their Visa. Where the individual is successful in renewing or extending their Visa beyond this time their contract with the University may be reviewed and extended up to the normal full term. In such cases the External Examiner should inform the University, by email, that their Visa has been renewed or extended, including a colour scan of their new Visa. When next visiting campus, the External Examiner should bring the new Visa for a further face-to-face check to be completed.

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5.1.3. External Examiners must notify the University immediately if their circumstances change, particularly with regard to their Visa status. An External Examiner Change of Details form should be completed to detail the change and, with accompanying evidence where applicable, emailed to externalexaminers@lancaster.ac.uk at which point the University's records can be updated.

5.1.4. External Examiners should note that they will not be paid a fee or expenses until verification of their eligibility to work in the UK has been completed.

5.2. Academic Standards and Quality Unit

5.2.1. Academic Standards and Quality Unit (ASQ) are responsible for the quality assurance and standards processes relating to the external examining of taught programmes of the University, regardless of where those programmes are delivered. ASQ provide the point of contact for queries on external examining relating to quality assurance and standards of the academic provision of the University, and can be contacted at externalexaminers@lancaster.ac.uk.

5.2.2. Nominations for External Examiners for taught programmes are submitted to ASQ for consideration and approval subject to meeting the criteria set out in the [Manual of Academic Regulations and Procedures \(External Examiner Procedures Taught Programmes\)](#).

5.2.3. ASQ also undertakes initial right to work checks for new External Examiners (taught programmes) at the nomination stage, by receiving copies of the nominee's evidence of their right to work in the UK. This evidence is checked along with the completed External Examiner New Starter Form, and a New External Examiner Verification form (parts,1, 2 and 3a) completed. These documents are used to confirm the eligibility of the nominee and are uploaded to the document store for External Examiner right to work checks.

5.2.4. ASQ maintain a database of all External Examiners (taught programmes) of the University which indicates which programme(s) each External Examiner is appointed to, along with their term of office and a record of External Examiner reports received.

5.2.5. ASQ is responsible for the payment of fees and expenses to External Examiners (taught programmes). External Examiners claim forms are submitted to ASQ at the end of each academic year, which are then checked and submitted to Payroll for processing. At this stage ASQ will confirm if face-to-face right to work checks have been conducted and recorded. Where this is not the case, ASQ will contact the External Examiner in question to notify them that payment will be withheld until such checks have been completed.

5.3. Student Registry

5.3.1. Student Registry are responsible for the processes relating to the appointment of External Examiners for research oral examinations of research programmes of the University, regardless of where those programmes are delivered or oral examinations conducted.

5.3.2. Nominations for External Examiners (research programmes) are submitted to Student Registry for consideration and approval subject to meeting the criteria set out in the Guidance Notes for Examiners of Research Degrees.

5.3.3. Student Registry will also check a nominee's eligibility to work in the UK by receiving copies of the nominee's right to work evidence and the completed External Examiner New Starter Form. A New External Examiner Verification form (parts,1, 2 and 3b) is then completed. These documents are used to confirm the eligibility of the nominee and are uploaded to the document store for External Examiner right to work checks.

5.3.4. Student Registry is responsible for the payment of fees and expenses to External Examiners

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(research programmes). External Examiners claim forms are submitted to Student Registry following completion of their allotted work. These claims are then checked and submitted to Payroll for processing. At this stage Student Registry will confirm if face-to-face right to work checks have been conducted and recorded. Where this is not the case, Student Registry will contact the External Examiner in question to notify them that payment will be withheld until such checks have been completed.

5.4. Departments

- 5.4.1. The process for the nomination and appointment of External Examiners for both taught and research provision remains the same, however additional forms must be completed by the nominee and Department.
- 5.4.2. Once a nomination form has been submitted for approval, Departments should advise the nominee to complete the New Starter Form, which is available to them to download online, along with other documentation relating to external examining at Lancaster, via [the ASQ website](#)
- 5.4.3. Once completed, the nominee should return the New Starter Form directly to ASQ or Student Registry. This form contains sensitive personal information and therefore should not be processed through the Department. Departments should ensure nominees are clear on this process. If a Department does receive a completed form, it should be forwarded immediately to ASQ or Student Registry as appropriate, either via the document store or by encrypted email, and then deleted. **Under no circumstances should a Department retain any copy of a completed New Starter Form.**
- 5.4.4. Designated Officers are responsible for undertaking right to work checks for each new External Examiner appointed for provision which their department administrates. Normally the Designated Officers within a department would be the Departmental Officer and PGR Co-ordinator for taught and research provision respectively. However, it is the right of Faculties and Departments to specify which staff are most appropriate to undertake the role. HR should be informed of all staff nominated to be a Designated Officer, including any change of roles/personnel.
- 5.4.5. New External Examiners are required to present their original documentation proving their right to work in the UK to the Designated Officer on their first visit to the department. It is advised that departments remind External Examiners of this requirement when corresponding with them to arrange any visit.
- 5.4.6. On presentation of the right to work documentation, the Designated Officer will check the documents, in the presence of the External Examiner, for authenticity and currency, before taking a full colour scan of the relevant documentary evidence. The Designated Officer should complete part 4 of the relevant New External Examiner Verification Form (available from the document store), indicating when the check took place, and finally upload all documents to the file store for record.
- 5.4.7. Where appropriate departments can nominate reserves to undertake right to work checks in the event that a Designated Officer is not available during the External Examiner's visit. It is advised that any nominated reserve should also have undertaken the relevant training. A Register of Designated Officers will be maintained to provide cover in the event that no trained Designated Officer is available to undertake a right to work check.
- 5.4.8. Departments must ensure that all Designated Officers have completed the appropriate training. Details of staff nominated to undertake this role should be forwarded to HR.

5.5. HR

- 5.5.1. HR are responsible for initiating and maintaining records detailing eligibility to work in the UK for External Examiners of the University. Employment records are held in CoreHR.
- 5.5.2. CoreHR records are initiated at the External Examiner approval stage using information gathered in the External Examiner New Starter form and evidenced via the New External Examiner Verification form. Once the face-to-face right to work check has been completed for an External Examiner, the CoreHR record is updated allowing payments to be made.
- 5.5.3. HR provide training to Designated Officers to enable them to carry out their role effectively, providing additional updates on guidance and requirements relating to the University's responsibilities under the law as they occur.
- 5.5.4. HR also provide the point of contact for queries relating to the employment of individuals covered by the Immigration, Asylum and Nationality Act 2006, and are the only service able to provide advice and guidance on immigration and employment in the UK.

6. EARLY TERMINATION OF APPOINTMENT

- 6.1. Whilst the University takes seriously the importance of the role of the External Examiner in contributing to the management of standards and quality, it cannot absolve itself of its responsibilities under the law. Thus the University reserves the right to terminate with immediate effect the appointment of an External Examiner if it becomes apparent that that individual's right to work in the UK is no longer valid.
- 6.2. In such cases, the Head of Academic Standards and Quality (for taught provision) or the Head of Student Registry (for research provision) will notify the External Examiner of the termination, specifying the reasons.
- 6.3. If a member of a department, or other member of staff of the University, is aware that an appointed External Examiner is no longer eligible to work in the UK they must inform ASQ or Student Registry immediately. ASQ/Student Registry will then confirm the work status of the individual in question, and take action where appropriate and inform the relevant department. Any resignation or termination of appointment will be included in the summary reports of appointments made to Senate.

7. COLLABORATIVE PROVISION

7.1. Regional Teaching Partnerships

- 7.1.1. The University has validation agreements with two Regional Teaching Partnerships; Blackburn College and Blackpool and the Fylde College. Programmes of study are delivered at and by the Colleges which lead to a Lancaster University, and as such the University is responsible for the appointment and employment of External Examiners for this provision.
- 7.1.2. The appointment and employment process is conducted by the University as per the roles and responsibilities set out within the RTP Partnership Handbook.
- 7.1.3. Lancaster University and the Colleges have agreed that the required face-to-face checks of original right to work documents will be conducted by nominated individuals (Designated Officers) at the respective College's campuses at the point that these External Examiners visit. These checks will be conducted as per the processes for Lancaster University provision at

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Bailrigg campus (see section 4.4 above) and training provided for Designated Officers.

7.2. University of Cumbria

- 7.2.1. Postgraduate research provision at the University of Cumbria is validated by the Lancaster University. This means that External Examiners for this provision are appointed and employed by Lancaster University.
- 7.2.2. Lancaster University and the University of Cumbria have agreed that the required face-to-face checks of original right to work documents will be conducted by nominated individuals (Designated Officers) at the University of Cumbria’s campuses at the point that these External Examiners visit. These checks will be conducted as per the processes for Lancaster University provision at Bailrigg campus (see section 4.4 above) and training provided for Designated Officers.
- 7.2.3. The remainder of the appointment and employment process both before and after right to work checks is conducted by the University as per the roles and responsibilities set out within this document and the procedures recorded in MARP.

7.3. International Teaching Partnerships

- 7.3.1. Right to work checks are applicable to External Examiners who conduct work on behalf of the University in the UK. Thus External Examiners who live overseas *and* who examine any University provision delivered overseas are exempt from such checks, unless they are also examining provision delivered in the UK. Where checks should be conducted the roles and responsibilities set out within this document and the procedures recorded in MARP apply and must be followed.

8. KEY CONTACTS

8.1. Function	8.2. Responsibility	8.3. Contact
Responsible for employment checks and record keeping for the University	HR	a.chamberlain@lancaster.ac.uk m.ireland1@lancaster.ac.uk
Responsible for External Examiner (taught) process and procedures (including initial RTW verification)	ASQ	externalexaminers@lancaster.ac.uk
Responsible for External Examiner (research) process and procedures (including initial RTW verification)	Student Registry	recordsenquiries@lancaster.ac.uk
Responsible for face-to-face RTW checks of original documentary evidence at Bailrigg	Identified by Faculty/Department	Various – contact the Departmental Officer in the first instance.
Responsible for face-to-face RTW checks of original documentary evidence at University of Cumbria (research programmes)	Graduate School (on programme) Administrator/Oral examination chair/internal examiner	graduateschool@cumbria.ac.uk
Responsible for face-to-face RTW checks of original documentary evidence at RTPs	Assistant Registrars for RTPs, ASQ	externalexaminers@lancaster.ac.uk
Designated document store for	Stonefish	HR

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External Examiner RTW checks		
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Revision and Approval History

Ver.	Date	Author/Committee	Notes
1.0	20/11/2018	Paula Ainsworth	First draft
2.0	18/12/2018	Paula Ainsworth	Clarifications and completions
2.1	13/02/2019	Paula Ainsworth	Adjustment of face-to-face process
2.2	19/02/2019	Paula Ainsworth	Revision to section 7.1.3
2.3	14/03/2019	Paula Ainsworth	Revision to use of New Starter and New External Examiner Verification forms Revision to clarify training for Colleges and University of Cumbria Designated Officers