



UGANDA MANAGEMENT INSTITUTE

**EXAMINATION REGULATIONS AND GUIDELINES FOR ALL
ACADEMIC MERIT AWARDS: ORDINARY DIPLOMAS,
POSTGRADUATE DIPLOMAS, MASTERS AND PhD**

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ABBREVIATIONS AND EXPLANATIONS

CGPA	-	Cumulative Grade Point Average
EE	-	External Examiner
GPA	-	Grade Point Average
HOD	-	Head of Department
IE	-	Internal Examiner
MoES	-	Ministry of Education & Sports
NCHE	-	National Council for Higher Education
QA	-	Quality Assurance Department
SCH	-	Semester Credit Hours
UMI	-	Uganda Management Institute
UOTIA	-	Universities Other Tertiary Institutions Act
VLE	-	Virtual Learning Environment
PhD	-	Doctor of Philosophy

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1.0 INTRODUCTION

1.1 Preamble

These guidelines address general principles of good practice, as well as outlining the procedures that should be adopted to ensure transparent, efficient and effective examination handling in the context of Uganda Management Institute. The guidelines deal with examinations at all levels and all modes of examination (coursework, final written examinations, and internship) at the Institute. The guidelines are addressed to both staff and participants in examination related processes. The guidelines shall apply to all UMI branches and cover all UMI programmes. The smooth administration of the examinations is essential for the well-being of all involved namely; candidates, examiners and staff and administrative staff. The guidelines are there to protect the institution's integrity, strengthen quality and equity. These rules and regulations shall apply to all UMI programs conducted in all the Branches.

The conduct, supervision and examination of proposals and dissertations are provided for under the approved Guidelines for Proposal and Dissertation writing.

The conduct, supervision and examination of Internship are provided for under the approved Guidelines for Internship for Ordinary Diplomas, November 2011.

These Examination Regulations and Guidelines shall apply in cases where there are no provisions under the approved Guidelines for Proposal and Dissertation writing and the approved Guidelines for Internship for Ordinary Diplomas, November 2011.

1.2 Justification for the review

This review is in line with the UMI Senate guidelines and best practices. It was also prompted by:

- i. The revised NCHE guidelines
- ii. Identified omissions in the old examinations guidelines
- iii. The need to align it with other Senate guidelines
- iv. Changing knowledge in technological advancements
- v. Introduction of new programmes and curriculum changes

1.3 Purpose of UMI examination regulations

The purpose of these regulations is to maintain the standard and integrity of the assessment process at the Institute. It should be noted therefore, that examination is one of the most important functions of any institution of learning. Equity, integrity and transparency are essential, since examination outcome can have a profound effect on the future careers of the participants and institutional profiling and image.

1.4 Objectives of the regulations

- (a) To ensure fair and consistent decision-making and promote clear and objective interpretation of the rules and procedures of examination management.
- (b) To promote and protect the image and integrity of Uganda Management Institute.
- (c) To provide information to participants on the UMI examination management processes.
- (d) To instill ethics and professionalism in scholars.

1.5 Commencement

These Examination regulations shall be effective **August 2019** and supersede any Examination Regulations already issued earlier unless otherwise stated herein

1.6 Application

- (a) Unless otherwise expressly provided for, either in the regulations or elsewhere, or unless the context requires, these regulations applies to all stakeholders of the Institute.
- (b) Nothing in these regulations overrules any obligations required of the parties by the Laws of the Republic of Uganda as may from time to time be enacted or amended; and
- (c) Where there is a conflict between these Regulations and any management instructions in the form of notices, circulars or memos, these Regulations shall prevail.

1.7 Interpretation and Amendment

- (a) Any dispute as to the interpretation of the Regulations shall be referred to the Director General whose decision in the matter shall be final.
- (b) The interpretation and application of these regulations rests with the Director General
- (c) The UMI examination Regulations contained herein are subject to change from time to time as circumstances may require.
- (d) Any proposals for amendments shall be submitted by a stakeholder to the Directorate of Academic Board through the Institute Registrar.
- (e) The Institute Registrar shall compile and submit the proposals to the Directorate of Academic Board, after which the Chairperson shall convene the Senate Sub Committee on Examinations to consider the proposals.
- (f) Upon consideration of the proposals, agreed reviews will be presented to Senate for discussion and approval.

1.8 List of Stakeholders

The examination regulations are applicable to the following stakeholders:

- (a) Members of the Governing Council
- (b) Senators members
- (c) Members of the Directorate Academic Board
- (d) Members of the School Boards
- (e) Departmental Boards
- (f) Heads of Department
- (g) Chief Invigilator
- (h) Module Leaders
- (i) Program Managers
- (j) Consultants/Lecturers
- (k) Associate consultants
- (l) Participants
- (m) Administrative Assistants/Secretaries
- (n) All Members of Staff involved in the examination management process including; Institute Registrar's Staff, Quality Assurance staff, logistics staff etc.

1.9 Scope of Assessment and Examination

The Institute administers modes of assessments and examinations that include but are not limited to: written, oral, practical, coursework, virtual learning forum discussions open book and closed book assessments and web-based examinations. Projects, case studies, dissertations and internships also apply in UMI assessments and examinations.

1.10 The purpose of assessment and examination

The examination administered by Uganda Management Institute to her candidates are:

- (a) To enable participants demonstrate that they have fulfilled the objectives of the course of study for which they registered and have achieved the standard required for the award they seek.
- (b) To guarantee that graduates of Uganda Management Institute are of the desirable skills, knowledge and attitudes sought after by the national and international job markets and the world of work.
- (c) To enable Uganda Management Institute evaluate the relevance, effectiveness and success of her academic programmes at the institute, and in accordance with NCHE objectives.
- (d) Assess the correlation between inputs and outcomes

2.0 THE UGANDA MANAGEMENT INSTITUTE EXAMINATION STRUCTURES

The organs of assessment at Uganda Management Institute shall include; UMI Governing Council, the Senate, Directorate Academic Board, School Board, and Departmental Board.

2.1 Senate

2.1.1 Composition of Senate

- (i) The membership of Senate is as detailed in the Manual on Rules and Procedure for Meetings of UMI Senate and its Committees
- (ii) The Institute Senate shall be presided over by the Chief Executive of the Institute. In the absence of the Chief Executive, the Director Programmes and Students Affairs shall preside over Senate. The Senate shall uphold the voice and the interests of the Institute in a tripartite relationship of the Senate, Council and Management.
- (iii) The Senate shall play an important role in debating, developing and implementing the core functions of teaching, research and community engagement.

The Senate has three standing committees namely; Senate Sub Committee on Examinations, Senate Sub Committee on Research and Innovations and Senate Sub Committee on Academic Programs.

2.1.2 Functions of Senate

- (i) In these regulations, the Senate is the Principal Academic body as provided for in Section 44 of UOTIA (2001) as amended.
- (ii) The Senate is the principal policy-making and advisory body on all matters relating to and affecting the Institute's teaching, research, consultancy and educational programmes. It is also responsible for assuring academic quality including academic freedom, academic integrity, assessment, admissions, and research conduct.

Section 45 of the Universities and Other Tertiary Institutions Act (2001) as amended spells out the following as functions of Senate in line with UMI examination structures to;

- (a) Control and direct the academic matters namely teaching, research and general standards of education and assessment of the Institute.
- (b) Initiate the academic policy of the Institute and advise the UMI Council on the required facilities to implement the policy.
- (c) Direct and regulate the instruction programme and the structure of any degree, diploma, and certificate course within the Institute.
- (d) Advise the UMI Council regarding the eligibility and qualifications of persons for admission of courses leading to the award of degree, diploma, certificate or other awards;
- (e) Make regulations regarding the content and academic standard of any course of study in respect of degree, diploma, or certificate or other awards;
- (f) Make regulations regarding the standard of proficiency to be attained in each examination for a degree, diploma, certificate or other ward by the Institute;
- (g) Decide which persons have reached the standard of proficiency and are fit for the award of any degree, diploma, certificate or other wards of the Institute;
- (h) Advise the UMI Council on the promotion, coordination, control and general direction of research in the Institute;
- (i) Consider and report to the UMI Council on any matter relating to or in connection with the academic work of the UMI;

- (j) Deprive any person of a degree, diploma, certificate or other awards of UMI after due inquiry if it is found that the award was obtained through fraud or dishonourable or scandalous conduct. A person deprived of an award under subsection (3) may appeal to the UMI Council against the decision of Senate;
- (k) Delegate any of its powers or functions to a School Board of Studies, Committee or any other Academic Structure as Senate may consider fit.

2.1.3 Duties of the Director General

- i) Chairs Senate meetings
- ii) Signs results approved by Senate.
- iii) Signs Certificates of Awards
- iv) Oversees the implementation of Senate Resolutions

2.1.4 Roles of Institute Registrar

- (a) Release examination timetable at the beginning of the academic year.
- (b) Send reminders to internal examiners on the examination dates.
- (c) Draws examination timetable for each examination diet.
- (d) Oversee the procurement of all examination related materials.
- (e) Secures rooms for each examination in liaison with logistics staff.
- (f) Receive signed hard copy and soft copy of coursework results for each module
- (g) Receive moderated questions from Heads of Department (HoDs) for type setting, collating and packing
- (h) Oversees the distribution of examination materials.
- (i) Orients invigilators appointed by the Institute Registrar on the invigilation exercise.
- (j) Receives and securely store examination scripts and all examination related materials in preparation for marking.
- (k) Arranges and coordinate the marking retreats.
- (l) Provides logistics support to the external examiners during the external examination process.
- (m) Avails copies of mark sheets to Schools for compilation of results.
- (n) Receives results recommended for approval by Directorate Academic Board and forward them to the Senate Sub Committee on examinations.

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- (o) Compiles a report of the Senate Sub Committee meetings for presentation to Senate by the Committee Chairperson.
- (p) Acts as Secretariat to Senate.
- (q) Submits the final approved results to the Chairperson Senate for signature.
- (r) Prepares transcripts and certificates based on approved results.
- (s) Prepares the graduation ceremony.
- (t) Issues certificates and transcripts.
- (u) Certifies and verifies UMI academic documents.
- (v) Attends to participants complaints on examinations.

2.1.4.1 School Registrars

- (i) Review examination results and report submitted by HoDs.
- (ii) Provide secretarial services to the Academic School Board meetings
- (iii) Prepare and submit graduation lists to IR.

2.1.4.2 Administrative Assistants

- (i) Compile coursework marks for all programmes in the Department and display them for viewing by participants.
- (ii) Compile examination results for all programmes in the Department and display them for viewing by participants.
- (iii) Attend to participants' queries in regards to missing results in relation to examinations and coursework.
- (iv) File and store hard copies of mark sheets and coursework results for all programmes in the Department.
- (v) Coordinate external examination of all programmes in the Department.
- (vi) In liaison with Module Leaders, coordinate the submission of marking guides for all programmes and modules in the Department

2.1.5 The Role of Senators

- (i) Initiate academic policies of the Institute Council on the required facilitates to implements academic policies.
- (ii) Direct and regulate the instruction programme and the structure of any Degree, Diploma, Certificate or courses.

- (iii) Advise the Institute Council on matters of eligibility and qualification on persons seeking admission to courses leading to certificates, degrees, diplomas and other awards.
- (iv) Make regulations regarding the standard of proficiency to be attained in each examination.
- (v) Decide which persons have reached the standard of proficiency and are fit to attain any academic award.
- (vi) Advise the Institute Council on the promotion, coordination, control and general direction of the research in the Institute.
- (vii) Handle examination malpractices.

2.1.6 Directorate Academic Board

There shall be a Directorate Academic Board consisting of the following:

- (i) The Director, Programs and Students Affairs who shall be the Chairperson.
- (ii) Deans of School; IR, CRD, CPC
- (iii) Heads of Academic Department(s) and other Heads as may be determined by Management.

2.1.7 Functions of the Directorate Academic Board

The Directorate Academic Board is responsible to Senate through the Senate Sub Committees for the following key functions:

- (a) The approval of monitoring and evaluation of academic training research and consultancy strategy for the Institute.
- (b) The strategic consideration of initial programme proposals for submission to the Senate.
- (c) The strategic consideration of proposed collaborations, partnerships, exchanges, and co operations.
- (d) The assessment of the academic standards and quality of education, training, consultancy and research outputs in the Schools and or Departments and dissemination of good practice.
- (e) The monitoring and review of the Departmental implementation of the Institute quality assurance and academic frameworks.
- (f) Consideration of award of degrees, diplomas and certificates on the recommendation of Schools or Departmental Academic Committees for submission to Senate.

- (g) The conduct and outcomes of student academic reviews and investigations of assessed offences.
- (h) The monitoring of participants' complaints, participants' academic reviews and investigation of assessed offences.
- (i) The Appointment of External Examiners and visiting academic staff under delegated powers of Senate.
- (j) The approval of part time academic appointments and appointment of postgraduate research students into teaching roles.
- (k) The receipt and consideration of reports from Schools and Departments.

2.1.8 Duties of Director Programs and Students Affairs

- (a) Chairs the Directorate Academic Board
- (b) Oversees the process of examinations administration and Management of the entire Institute.
- (c) Presents results to Senate Sub Committee
- (d) Presents Reports to Senate Sub Committees of Senate

2.1.9 School Academic Boards

According Section 48 (1) of the UOTIA (2001) as amended, each School, Institute and other academic body shall have a Board consisting of the following:

- (a) The Dean who shall be the Chairperson;
- (b) Heads of Departments within the School, Institute or other academic body.
- (c) Representatives of the course managers;
- (d) School Registrars will be the minute secretaries, and
- (e) Such other persons as the UMI Senate may decide.

2.1.10 Functions of the School Academic Board

The School Academic Board shall make recommendations to the Directorate Academic Board on matters relating to:

- (a) Participants Admission, Registration and Attendance.
- (b) Promotion of teaching, and research writing.
- (c) Setting and moderating of examinations.

- (d) Submission of examination results.

2.1.11 Departmental Academic Board

Composition of a Departmental Board as stipulated in Section 49(2) of the UOTIA (2001) shall consist of:

- (a) The Head of Department, who shall be Chairperson;
- (b) Academic staff members in that Department

2.1.12 Functions of Departmental Academic Board

There shall be a Departmental Academic Board in each Academic Department reporting to the School Academic Board whose functions shall be to:

- (a) Propose study plans and academic decisions to the Dean or Director for approval;
- (b) Assign its members to particular courses, lectures, seminars and workshops;
- (c) Set, moderate, mark and recommend results to the School Academic Board for approval.

2.1.13 Programme Management Structures

The programme management structures of Uganda Management Institute shall consist of Head of Department, Programme Manager, Module Leader, and Module Facilitators.

(a) Head of Department

There shall be a Head for every Department whose duties shall be as follows:

- (i) Oversee the teaching, research and examination processes in the Department;
- (ii) Oversee the moderation of examinations;
- (iii) Solicit, manage and maintain the examination data bank for the examination questions and case studies;
- (iv) Oversee the external examination process and identifies potential examiners;
- (v) Present the examination results to the School Academic Board;
- (vi) Chairs Departmental Academic Board meetings.

(b) Programme Manager

There shall be a Programme Manager whose duties are as outlined below

- (i) Convene pre-programme meetings prior to the commencement of the programme;
- (ii) Coordinate all training activities of a particular program
- (iii) Ensure that the final timetable for each module is produced by the module leader at least two weeks before module commencement.
- (iv) Ensure through the module leaders that take home assignments and tests have been administered, marked and returned to participants not exceeding four weeks after the end of each module.
- (v) Liaise with the Quality Assurance Department and ensure that module evaluation is done.
- (vi) Liaise with the Assistant Registrars on matters relating to participants' records.
- (vii) Provide quarterly program progress report to the Departmental Board meeting
- (viii) Submit to the Office of the Institute Registrar through the Head of Department all Coursework results for the six (6) modules before Semester examinations begin.
- (ix) Liaise with the Senior Assistant Registrar- Examinations and ensure that all participants who fail or miss course work do not write end of course or Semester examinations.
- (x) Keep records of participant's assessment for all modules.
- (xi) Ensure that examination questions for all modules are submitted and proof read at least one week before examinations commencement.
- (xii) Liaise with the HoD to ensure that all set examinations are moderated and marking schemes provided
- (xiii) Participate in the invigilation of examinations when called upon

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- (xiv) Ensure that internal and external marking of examinations scripts are completed within two months after the examinations have ended.
- (xv) Tabulate and present results to the Departmental Board of Examiners before they are presented to the School Academic Board, Directorate Academic Board and Senate respectively.
- (xvi) Incorporate comments/recommendations made by the Departmental Board of Examiners for submission by the Head of Department to the relevant Organs.

(c) **Module Leader**

There shall be a module leader for every module whose duties are listed below:

- (i) Convene pre-module meetings prior to commencement of the module.
- (ii) The pre-module meeting shall be attended by the module leader, module expertise and facilitators.
- (iii) Coordinating the timetabling of any module
- (iv) Ensure that course materials are ready for delivery.
- (v) Address participants' module related concerns.
- (vi) Ensure timely setting of examinations and tests pertaining to the module.
- (vii) Provide participants with timely feedback on their performance in take home assignments and tests.
- (viii) Keep a database of marked assignments and examinations
- (ix) Ensure that individual participants take home assignments, tests and examinations are marked compiled and submitted to the Program Manager.
- (x) Provide technical support to the Program Manager.
- (xi) Track performance of participants.

(d) **Facilitators**

There shall be Facilitators for every module whose duties are listed below:

- (i) Adequately prepare relevant and up-to-date teaching materials,
- (ii) Timely appear to facilitate classes,
- (iii) Contribute to the setting of coursework (take-home assignments and tests), VLE forum discussion questions and examination questions,
- (iv) Prepare marking guides,
- (v) Mark tests, take home assignments, VLE forum discussions, and examinations, and

- (vi) Submit results to Module Leader.

3.0 EXAMINERS AND THEIR DUTIES

3.1 Internal Examiners

Internal examiners shall include UMI full time staff and Associates Consultants, who may be deployed to facilitate, set, invigilate and mark examinations on UMI Programmes.

3.1.2 Appointment of Internal Examiners

Internal examiners for the various modules of study on a given program shall be:

- (a) The Department shall deploy academic staff and such other qualified staff in the Institute, to facilitate on academic programmes leading to the award of PhD, Master(s), Post Graduate Diploma(s), Ordinary Diploma(s) or Certificate(s) of Uganda Management Institute.
- (b) Internal examiners shall be appointed in accordance with such procedures as shall be prescribed by the Senate from time to time; and
- (c) In circumstances where there are special needs candidates, the Chairperson Senate shall approve on behalf of Senate such internal examiners with relevant expertise.

3.1.3 Duties of Internal Examiners

- (a) Setting, moderating, administering and marking coursework and final examinations,
- (b) Invigilating tests and examinations,
- (c) Compiling and submitting examination results to the Module Leader,
- (d) Keeping academic records of tests and examination results for participants, and
- (e) Participating in Academic Departmental Board meetings.

3.1.4 Duties of the Chief Invigilators

- a) The Chairperson, Directorate Academic Board shall appoint a Chief Invigilator who will oversee the invigilation, general management and administration of the entire examination diet including the following:
 - (i) adequacy of the examination room and sitting arrangement,
 - (ii) deployment of and conduct of invigilators,
 - (iii) conduct of candidates,
 - (iv) time management before, during and after examination for both invigilators and candidates,
 - (v) examination malpractice incidences, if any,
 - (vi) examination materials (quality of the questions, quantity and packaging),
 - (vii) health-related issues,
 - (viii) examination environment within and outside,
 - (ix) challenges encountered, and
 - (x) areas that need improvement.
- b) The Chief Invigilator shall prepare and submit a written report within one week after the end of the examination diet to the Appointing Authority.
- c) The Institute Registrar Staff who take examinations to the Branches will be the Chief Invigilators of the respective branches.

3.2 External Examiners

3.2.1 Appointment of External Examiners

- (a) At least one External Examiner shall be appointed for each programme leading to an award. The number of External Examiners shall be determined by the diversity of the academic work contributing to the Ordinary Diploma, Postgraduate Diploma, Masters, and PhD. It shall be the responsibility of the Head of Department to ensure that all elements of programs that contribute to an award from the Institute are represented by at least one External Examiner.
- (b) External Examiner(s) shall be a person who is competent and having the requisite knowledge and experience to examine the program at the level at which it is taught. As a rule, an examiner shall normally be a holder of academic qualifications higher than the level s/he is to examine.

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- (c) The external Examiner shall be approved by Senate on recommendation from the responsible Senate Sub-Committee and in accordance with procedures set out in this document.
- (d) External Examiners shall preferably be resident in Uganda. If the examiner is resident abroad, the Department shall ensure that the Institute is prepared to pay all costs associated with his/her engagement, before proposing the appointment.
- (e) Subject to these conditions, External Examiners may be appointed either for a specified period of time or on a three year-basis.
- (f) No person who has ever held an academic appointment in the Institute, or who has been granted honorary status by the Institute or has held the status of a participant in the Institute is eligible to be appointed External Examiner until a period of three years has elapsed since the termination of appointment or status. In exceptional circumstances, Senate may waive this rule.
- (g) No person who has held an appointment as an External Examiner for a period of three consecutive terms is eligible for re-appointment until s/he has ceased to hold that office for not less than three years. In exceptional circumstances, Senate may waive this rule.
- (h) If an external examiner seeks early termination of his/ her contract, the request must be expressed in writing to the DPSA.
- (i) If, in special circumstances, a Department wishes to terminate an External Examiner's contract, this shall be discussed at the Departmental and School levels and a formal submission made to Directorate Academic Board and Senate for approval.
- (j) The External Examiner will be informed in writing by the appointing authority.
- (k) Recommendations for the appointment of External Examiners will be invited before the expiry of existing contracts in each academic year. The Chairperson, Directorate Academic Board shall ascertain in advance that the External Examiner she/he wishes to recommend is willing to accept the appointment, is competent and a person of integrity
- (l) The Department shall submit names of External Examiners to Senate for approval through their respective School Academic Boards' to the Directorate Academic Board. The Chairperson, Directorate Academic Board shall then write appointment letters highlighting the roles and duties of the approved External Examiners enclosing a copy of the Department's Programmes and information about the modules to be examined, relevant information about assessment and the Code of Practice for External Examiners. The letters shall make reference to remuneration as per UMI guidelines.

- (m) An External Examiner shall receive a reporting format as an attachment to his/her appointment letter. The format shall be approved by Senate and shall include items such as name of the module, number of scripts received, number sampled out, major observations regarding strengths and weaknesses of the examination, quality of the marking scheme and marking, trends in performance; suggestions for improvement and any area that requires improvement.

3.2.2 Duties of External Examiners

- (a) To verify that standards are appropriate for each unit of study and to provide independent impartial comment on standards set and student achievement of those standards. The capacity to fulfil this is based on those standards set and achieved in the Institute.
- (b) To verify that the process of deciding assessment outcomes for individual students is fair, fairly operated, and in line with the Institute regulations.
- (c) To make adjustments independent of the internal examiner.
- (d) To recommend to the Departmental Academic Board the adjustment of marks of individual or all candidates examined.
- (e) To access the assessed parts of the program (candidate's scripts and Course work)
- (f) To recommend to the Departmental Academic Board the remarking of scripts
- (g) To check cases of suspected cheating.
- (h) To endorse results and report before presentation to the Department Academic Board.
- (i) To determine the method and extent of sampling of candidates scripts to scrutinise them for marking.
- (j) The external examiner shall be furnished with the following documents to guide the external examination process and report writing
 - i. The Reporting Format
 - ii. The Module Descriptor,
 - iii. Course work results and marking guide,
 - iv. Final examination questions papers and marking guides,
 - v. The examination scripts,
 - vi. Internal Examiners' mark-sheet
 - vii. Module Timetable
 - viii. Course work question items and marking guides

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- m) The External Examiner has the right to examine all examination scripts and any other examination related materials that contribute to the final assessment if he/ she deems fit. Where the Department and the External Examiner agree to sample examination scripts and other examination related materials, the principles governing the sampling must be agreed upon in advance between the Department and the External examiner including the sampling of borderline scripts and extreme cases. The guiding principle is that the External Examiner should have enough evidence to determine that internal marking and classification are of an appropriate standard and consistent.
- n) Where an oral examination is held for only a proportion of the candidates, the principles for selection of candidates shall be agreed upon in advance with the External Examiner. The External Examiner and one or more internal examiners shall conduct an oral examination jointly.
- o) Oral examination may also be conducted jointly by the internal examiner and the external examiner for special needs cases, provided it has been approved by Senate.
- p) In circumstances where there are special needs candidates, the Chairperson Senate shall approve on behalf of Senate such external examiners with relevant expertise.
- q) External Examiners shall attend meetings of Departmental Academic Boards at the end of the examination process to present and discuss the report with the Internal Examiners. The signature of an External Examiner shall be appended to the following declaration, which must appear on the Examination Report, "I declare that I approve the process of examination which produced the examination results reported on this List." If an External Examiner declines to sign the final list, then the Head of Department after consultation with the External Examiner, the relevant Course Manager, and with the Chairpersons, Directorate Academic Board and Senate, has delegated authority from the Chairperson, Senate to sign the Examination report.
- r) After exercising such authority, the Head of Department shall fully report in writing to the Chairperson Senate, the circumstances, including the views of the External Examiner which led to the External Examiner's decline to sign the examination report.
- s) For special and reconvened Departmental Examinations Boards where an External Examiner is unable to attend, it shall be acceptable for him/her to contribute, ideally by video, tele-conferencing, email, fax, or otherwise. Even when the external examiner cannot be physically present, they shall be involved in the scrutiny of scripts and shall have access to assessed coursework. It is also acceptable for this to be faxed or e-mailed

initially provided the signed paper copy follows. Emails are not acceptable as final submissions.

3.3 Examiners and Conflict of Interest

- a) No member of the academic staff of the Institute or External Examiner shall be involved in the conduct or assessment (whether by setting, invigilating, marking or otherwise) of any examination, including an examination for a prize or scholarship, in which s/he may reasonably be regarded as having a strong personal interest because of close relationship or intimacy with a candidate(s) whom s/he would be expected to examine.
- b) In circumstances where a member of staff or External Examiner is a close relative to a candidate, she/he shall declare the status to the Departmental Academic Board. It will be to the discretion of the Dean and Head of Department whether such a person should decline to act as examiner in the particular situation. For purposes of this regulation categories of “close relatives” shall comprise a spouse or partner, a parent or a child, a brother or a sister.
- c) If in doubt as to what constitutes professional Code of Conduct the prospective examiner shall consult the relevant Head of Department or the Institute Registrar.

4.0 EXAMINATION MODALITIES

UMI examinations shall comprise; take home assignments, module tests, module final examinations, VLE forum discussions, and on certain programs, there shall be internship examinations, Proposal defence, viva voce and under special circumstances examinations for special needs as shall be approved by Senate.

4.1 Coursework Assessment

- a) Coursework shall comprise of either group or individual take home assignment equivalent To 20% and face to face test(s) equivalent to 20%, totalling to 40% of the entire examination except for modules and or programs as shall be approved by Senate.
- b) For the Distance Learning programmes, coursework shall comprise of VLE forum discussions equivalent to 10% and 30% take home individual assignment totalling to 40% of the entire examination except for modules and or programmes as shall be approved by Senate.

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- c) A participant who scores less than 15 marks out of 40 in total coursework assessment shall not be permitted to sit the final examination for the module.
- d) A participant who has not done course work shall not be allowed to sit for the final examination of that module.
- e) A participant who shall not be permitted to sit the final examination in any module may re-register for the module during subsequent cycles within the stipulated years.
- f) A participant shall notify the Institute Registrar of his/ her inability to write an examination 14 days prior to the start of examinations save for exceptional circumstances that must be communicated to IR prior to examination commencement or immediately after the examination.
- g) The Administration of group or individual assignment and face to face tests will be the responsibility of the Module Leader under the supervision of the Program Manager and Head of Department.
- h) In reference to face to face tests, it is incumbent upon the relevant Departmental Academic Board to decide whether or not the use of dictionaries, other reference books and calculators may be permitted in an examination. The Departmental Board shall determine the type of calculator to be used. Where the use of such aids has been permitted, the Institute Registrar must be informed in writing at least 2 weeks before the face to face test and arrangements must be made with the Institute Registrar, if necessary, to ensure that such a test can be appropriately administered.
- i) Both soft and hard copy signed course work marks pertaining to a particular module shall be submitted by the Deans four weeks after the end of the module to the Institute Registrar.
- j) If discovered, four weeks after end of module assessment, that participants' performance in coursework is generally poor, the module leader in consultation with the Course Manager and Head of Department administer a remedial coursework for those interested for that particular module.
- k) A remedial coursework shall be permitted only once and the new mark taken. Where 50% of the participants score less than 12 marks out of 20 in course work, the module leader, course manager and Head of Department may set a remedial for those affected.
- l) The course work marks for the last taught module in a Semester may not be readily available before that particular examination is done but the module leader must ensure that marks are handed in not more than four weeks after the examination.

- m) Departments shall hand in to candidates at the start of each course a clear hand out of how each of the modules will be assessed, clearly specifying what pieces of coursework are or are not to be counted in the final assessment. The weighting of each piece of coursework shall clearly be spelt out to the candidates. In any case, Departments shall not set less than two coursework assessments in each module *of which one must be a test and the other individual or group take-home assignment. For Distance Learning programmes,* Departments shall not set less than two coursework assessments in each module *of which one must be a VLE forum discussion and the other individual take-home assignment.*
- n) If oral performance is to be assessed, there shall be specific assessment guidelines which should be availed to participants prior to the assessment.
- o) Coursework that is used for assessment shall, in principle, be of a type that could be made available for re-evaluation by an External Examiner. When required, the Head of Department shall make readily available copies of coursework assessment questions, marking guides, checklists, video recordings, and any other mode of assessment.
- p) If a participant misses a coursework he/she shall *not be given a special coursework* but instead attempt another *coursework when it is next offered*. In exceptional circumstances a participant could be allowed to sit a missed test or do a missed coursework provided there is prior approval from the *Institute Registrar*.
- q) Departments should provide candidates with the assessed coursework marks, at the time that the assessment is marked, as a guide to each candidate's performance, together with guidance on the meaning of the marks. Where such marks count towards the overall result of the course and are released prior to confirmation by the Board of Examiners, candidates will be advised that the marks are provisional and may be modified by the Departmental Academic Board

4.2 Group Assessment Modalities

- a) The maximum number of candidates in a group should not exceed 10.
- b) The total mark earned from group work should not exceed 10%.
- c) Presentation of individual group members should be encouraged.
- d) VLE discussion forum marks should not exceed 10%.

4.3 Assessment of Final Examination

- a) Candidates are only eligible to sit Examinations, if they have been certified by the Institute Registrar to have dully accomplished class work, attended at least 75% of the module and have duly accomplished class tasks and assignments, and scored at least 15 marks out of the maximum 40 marks in the module course work. Those candidates who do not fulfil the module requirements will be excluded from the module examination.
- b) For Distance Learning programmes, candidates are only eligible to sit Examinations, if they have been certified by the Institute Registrar to have dully accomplished class tasks and assignments, and scored at least 15 marks out of the maximum 40 marks in the module course work. Those candidates who do not fulfil the module requirements will be excluded from the module examination.
- c) The final written examinations shall be undertaken at the end of each Semester and shall carry 60% of the entire examination mark except in special circumstances as approved by Senate.

4.4 Setting and Printing Examinations

- a) The Office of the Institute Registrar shall notify the Deans, Heads of Department and entire academic staff of any diet of examinations at the beginning of every semester and remind **four** weeks before the date of the examinations.
- b) It is incumbent upon the relevant Departmental Academic Board to decide whether or not the use of dictionaries, other reference books and calculators may be permitted in an examination. The Board shall determine the type of calculator to be used. Where the use of such aids has been permitted, the Institute Registrar must be informed in writing at least 2 weeks before the examinations and arrangements must be made with the Institute Registrar, if necessary, to ensure that such examinations can be appropriately administered.
- c) Where specialised expertise is required to support an examination management, the Institute Registrar shall be informed in writing at least four weeks in advance.
- d) At the end of every module, the module leader shall ensure that facilitators set a minimum of 12 questions from which the final set of questions would be selected and moderated by the Head of Department together with the Course Manager and any other internal or external module expert.

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- e) The Head of Department shall forward the moderated examination papers and moderators report to the Institute Registrar two weeks to the examination date. This will be part of the data bank from where 6-8 questions per module will be randomly selected by the Institute Registrar together with HoD.
- f) Marking guides will be submitted to the Institute Registrar within five working days after the examination has been sat.
- g) A total of four questions will be expected to be answered by candidates on the Ordinary and Postgraduate Diploma programmes and a total of three questions for masters and PhD except for special cases as approved by Senate.
- h) Handling of examination papers and marking guides shall be conducted with uttermost secrecy and confidentiality. The Institute reserves the right to take appropriate measures against anyone who shall either knowingly or inadvertently fail to observe the secrecy and confidentiality befitting examination handling.
- i) For UMI staff, measures against failure to observe the secrecy and confidentiality befitting examination handling shall include being served with a warning letter or suspension from service or termination of employment depending on the seriousness of the offence as the Senate may recommend. The Institute reserves the right to sue the offender in the court of law.
- j) The Institute Registrar's Office will be responsible for typing, photocopying, collating, packing and dispatching of examination papers. Confidentiality should be ensured in all the processes.
- k) All examinations should be hand written or typed on personal/private computers that are not connected on the Institute Server.

4.5 Examination Timetables

- a) A master timetable indicating dates of examinations shall be distributed to all stakeholders at the beginning of every Semester. A draft examination timetable shall be displayed at least six (06) weeks prior to examination commencement. The final examination timetable shall be given four (04) weeks before the start date of an examination diet.
- b) It is the candidate's own responsibility to ascertain his/her examination times and locations from the Institute Registrar's office.

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- c) Candidates with special needs known by the Institute Registrar shall receive separate notification of the times and locations from the Institute Registrar.
- d) Candidates shall appear for examinations on designated days and times, except in cases of serious illness, injury or physical handicap or unavoidable overlapping of examination hours, or in other exceptional circumstances, and in each case only with the express approval of the Institute Registrar after consultation with the Chairperson, Directorate Academic Board.
- e) There shall be no special examinations unless a particular module is no longer offered.
- f) For candidates to appear at examinations at times or places other than those prescribed, detailed arrangements must be made in consultation with the candidate, Department and the Institute Registrar, at least five (05) working days prior to the date of the examination.
- g) A candidate who, because of handicap or injury, suffers from serious disability in writing may be allowed extra time, or may be permitted to provide someone who takes down the candidate's answers in longhand. In all such cases, arrangements must be approved in advance by the Institute Registrar and the examiners notified accordingly. The Institute Registrar must see and accept a medical certificate relating to the candidate's disability.

4.6 Absence from an Examination

- a) In cases where a candidate is unable to sit for an examination, a notification should be given to the Registrar before the exam commencement and request to sit with another group when the examination is next offered. The candidate shall be requested to pay all associated costs.
- b) A distressed or sick candidate may ask and be permitted to leave the Examination Hall temporarily during an examination, accompanied by an Invigilator, and subsequently return to complete the examination, provided the continuity and quality of supervision is not affected. The Chief Invigilator may, following consultation with the Institute Registrar, and the Internal Examiner if deemed necessary, give a time extension to such a candidate at the end of the examination equal to the period of absence, or arrange for such a candidate to complete the examination in a separate room under separate supervision.
- c) If in the course of an examination, the candidate is unable to continue due to medical reasons, the invigilator should refer the candidate to the UMI officer in charge of health services, who should furnish the Institute Registrar with a report about the candidate(s) health.

5.0 CONDUCT AND INVIGILATION/SUPERVISION OF COURSEWORK AND EXAMINATIONS

This Section outlines the conduct and invigilation of coursework and final examinations.

5.1 CONDUCT OF COURSEWORK AND EXAMINATIONS

5.1.1 Conduct of Coursework

Coursework shall comprise two components; i.e., take home assignments and a test. For the Distance Learning programmes, coursework shall comprise two components ie, VLE forum discussions and the take-home assignments.

- (i) The coursework questions shall be set by the respective facilitators and submitted to the module leaders for moderation prior to module commencement.
- (ii) The module leader shall be responsible for the management of the conduct of coursework and the VLE forum discussions.

5.1.1.1 Conduct of Take-home Assignments

- (i) Take home assignments shall be competence-based and may for example include, project work, proposal development, essay writing, field work reports.
- (ii) The take home assignments shall be given to the participants on the first day of the module commencement.
- (iii) The completed take home assignments shall be submitted by the participants to the module leader before sitting the module test.

5.1.1.2 Conduct of Tests

- (i) Conduct of tests shall be managed by the module leaders with the support of the respective Department.
- (ii) The module leader shall set the module test from the moderated questions as provided for in Section 2.1.13 subsection (c) and section 4.4.
- (iii) A total of three questions shall be set for each module, out of which one shall be selected and attempted by the candidates.
- (iv) The test shall be administered at the end of the module at a time and place designated by the module leader.
- (v) The duration of the test shall be one hour.

5.1.1.3 Conduct of Virtual Learning Environment Forum Discussions

- (i) Forum discussions shall be posted to the VLE as per the given schedule of the Department of Distance Learning.
- (ii) The VLE forum discussions shall be managed by the Module Leader with the support of the respective department.
- (iii) Module Leader shall set the module forum discussions as provided for in Section 5.1.1.
- (iv) Two (2) forum discussions shall be set for each module. The first one to be conducted at the beginning of the Semester, and the second one to be conducted after the return of coursework results.

- (v) The module leader shall ensure that comments are given per discussion.
- (vi) The module leader shall ensure safety of forum discussions using back up or print.

5.1.2 Conduct of Final Examinations

- (i) All examinations shall be administered at the end of every semester as per the approved examination timetable, and in line with these Regulations.
- (ii) The conduct of the examinations shall be managed by the office of the Institute Registrar with the support of the respective Schools.
- (iii) The module leader shall set the final examination from the moderated questions as provided for in Section 4.4 Sub section (d) and (e) and Subsection 5.1, four (4) weeks prior to examination commencement.
- (iv) The total number of questions for the examination shall be as follows:
 - a. Six (6) for Ordinary Diploma and Postgraduate Diploma Programmes, out of which four (4) shall be selected and attempted by the candidates,
 - b. Five (5) for the Masters' degree Programmes out of which three (3) shall be selected and attempted by the candidates, and
 - c. Four (4) for PhD Programme(s) out of which two (2) shall be selected and attempted by the candidates.
- (v) The duration of the final examinations shall be three hours, unless stipulated otherwise by the office of the Institute Registrar.

5.2 INVIGILATION OF TESTS AND EXAMINATIONS

5.2.1 Invigilation of Tests

- a) Invigilation of tests shall be managed by the module leaders with the support of the Department.
- b) The module leader shall ensure adequate invigilation of the test.
- c) The invigilation of the test shall be guided by the Section 5.2 of these Regulations with the exception of (g), (n), (s-ii & iii), (x), (y), and (z).
- d) All test scripts (used and non-used) shall be submitted to the module leader immediately at the end of the test.

5.2.2 Invigilation of Examinations

- a) Invigilation of examinations shall be managed by the office of the Institute Registrar with the support of the respective Schools.

- b) Invigilation shall be undertaken by members of the Academic Staff and/or other authorised Staff on the basis of arrangements made from time to time by the Institute Registrar in consultation with the Heads of Departments.
- c) The Chief Invigilator appointed by the Chairperson, Directorate Academic Board will oversee the invigilation, general management and administration of the entire examination diet, prepare and submit a written report within one week after the end of the examination diet to the Appointing Authority.

5.3 Guidelines for invigilating examinations

The guidelines cover the examination venue, commencing and ending of an examination.

(a) Examination venue

- (i) Every examination venue shall be properly secured before commencement of examinations.
- (ii) The examination venue shall have at least two invigilators who must be at the venue 20 minutes before examination commencement.
- (iii) The Invigilators are responsible for searching the students to ensure that no authorised materials is in the participants' possession.
- (iv) Candidates shall enter the examination room 15 minutes before the examination start time.
- (v) Candidates shall not be allowed to enter the examination room 30 minutes after commencement of an examination.
- (vi) As each candidate enters the examination room, the Invigilator shall ensure that; phones, Ipads, Ipods, tablets, laptops, books, papers, briefcases, handbags and any other unauthorised materials and suspicious materials are not brought in the examination venue.
- (vii) Invigilators reserve the right to alter the candidates sitting arrangement.
- (viii) Candidates must take their seats within the sitting plan provided and must not communicate with other candidates either by word or sign, nor let their papers be seen by any other candidates nor consult their notes.

(b) Commencement of the Examination

- (a) Invigilators shall distribute both question papers and examination answer booklets to every candidate 10 minutes before commencement of the examination.

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- (b) Candidates shall not open question papers and start answering examinations until the Invigilators gives the instruction to do so.
- (c) Candidates shall sign the exam attendance register in the course of writing an examination.
- (d) Candidates shall only write on their examination scripts the examination numbers provided by the Institute Registrar for the purpose unless otherwise explicitly specified.
- (e) Answers shall be written in the answer booklets provided and rough work (if any) shall be written in the answer booklet and thereafter crossed out.
- (f) Candidates will be permitted to use only materials such as reference books and calculators as shall be determined by the internal examiners.
- (g) The use of hand-held personal technologies such as Personal Digital Assistants, “Personal Organisers” and mobile telephone is not permitted and constitutes an offence. Calculators that have a QWERTY AZERTY or similar keypads are not permitted unless their use is expressly authorised by the internal examiners. Such authorisation will be communicated before the examination and shall be clearly stated on the front page of the examination question paper.
 - a. Candidates wishing to attract attention of an invigilator shall do so by raising their hands.
 - b. Any candidate who causes disturbance in an examination room shall be required to leave the room and shall be reported by the invigilators to the Institute Registrar in writing.
 - c. Borrowing, lending and exchanging materials is not allowed. All candidates should come with the required examination materials.
 - d. Candidates shall be required to display their Institute Identity Cards and Examination Cards on the desk throughout the examinations.
 - e. Smoking and eating are not allowed inside the examination room.
 - f. If a candidate must receive a dose of medication during an examination, notice must be given to the invigilators.
 - g. If an Invigilator suspects and/or finds a candidate cheating, being in possession of any unauthorised materials, s/he shall impound such material, be ordered to stop that examination and accordingly notify the Chief Invigilator.
 - h. The notification shall first be given verbally, immediately after completion of the examination paper, followed by a confirmation in writing within 24 hours to the Institute Registrar from the end of the examination paper.

- i. If an Invigilator finds a candidate in possession of any prohibited and/or offensive weapons such as; a gun, pistol grenade in the examination room or any other materials that might jeopardise the security of the examination processes, the Institute Safety and Security Guidelines shall apply.

(c) Ending of the Examination

- a. At the end of the set examination time, the Invigilators shall instruct candidates to stop writing and stand up. The invigilators shall move around to collect the answer scripts and other examination materials from the candidates after signing the attendance register at exam commencement and at the end of the exam. It is only after all the examination answer booklets have been collected that candidates will be allowed to leave the examination room.
- b. Candidates shall not be allowed to leave the examination room unless authorised by the invigilators.
- c. Candidates shall only be allowed to leave the examination room after 1 (one) hour of exam commencement and before 30 minutes to the exam end.
- d. The invigilators shall count the examination answer booklets, tally them with the examination registration form and complete and sign the examination registration form before leaving the examination hall/room.
- e. All examination scripts (used and unused) shall be submitted to the Institute Registrar immediately after the end of the examination.
- f. The Institute Registrar shall count the scripts, check the completion of examination registration forms and ***acknowledge receipt of scripts received on the examination table-table against the examinations attempted on that day.***

6.0 MARKING OF TAKE-HOME ASSIGNMENTS, TESTS, VLE FORUM DISCUSSIONS AND EXAMINATION SCRIPTS

6.1. Marking of take-home assignments, test scripts and VLE discussion forums

- (i) Marking and submission of the results for take-home assignments, test scripts and vle forum discussions shall be managed by the module leader.
- (ii) Marks shall be clearly displayed on each marked script and on the VLE by the Module Leader.
- (iii) The marks shall be captured using the class register format.
- (iv) The signed coursework results shall be submitted by the module leader to the office of the Institute Registrar two weeks upon completion of the module.
- (v) The Internal Examiner shall keep a record of the coursework results.
- (vi) Marked scripts shall be returned to the participants upon completion of the marking exercise.

6.2. Internal marking of examination scripts

- (a) Except in special circumstances, marking shall commence not later than two (2) weeks after the end of an examination diet.
- (b) All scripts and marking guides shall be under the custody of the Institute Registrar during the marking exercise.
- (c) All marking of examinations shall be centrally done in UMI premises under the supervision of IR, except in special circumstances.
- (d) The Deans and Heads of Department in liaison with the Institute Registrar will coordinate the marking of the examinations.
- (e) Marking guides shall be submitted to the Institute Registrar by the Heads of Department within five (5) days after completion of examinations.
- (f) The Heads of Department shall identify and generate a duly signed list of Internal Examiners to the Institute Registrar office detailing the module and the areas of competence.
 - a) The Internal Examiners shall mark papers based on their areas of competence using the provided marking guides.
 - b) The Internal examiners shall declare conflict of interest prior to commencement of marking.

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- c) In circumstances where the Internal Examiner is unable to participate in the marking exercise, the Head of Department shall notify the Institute Registrar in writing the changes and propose a replacement.
- d) The Chairperson Directorate Academic Board shall approve all the logistical support to ensure that marking is completed within 30 working days.
- e) The internal examiners shall be remunerated for marking the final examinations.
- f) All examination scripts shall be marked anonymously. Candidates shall only write on their examination scripts the examination numbers provided by the Office of the Institute Registrar for the purpose unless otherwise explicitly specified.
- g) Candidates who shall write their names or omit to write their examination numbers on the examination scripts shall be penalised by deducting 5% of the total marks they will have scored in that examination paper.
- h) Internal and external examiners are prohibited from disclosing the examination-related information during and after the marking exercise.
- i) It is incumbent upon the Internal Examiner to accurately award marks and record results on examination mark sheets before submission to the Institute Registrar.
- j) The Administrative Assistants in the Departments and Schools shall enter the results from examination mark sheets provided by the Institute Registrar and send the recorded results to the module leader for verification.
- k) The Program Manager shall receive and compile results from the module leaders for submission to the Head of Department.

6.3. External marking of examinations

- a) The Head of Department shall coordinate the External Examination process in consultation with the Dean and DPSA.
- b) External examiners shall be appointed as per Section 3.2.1 of these Regulations.
- c) The Head of Department shall a week after completion of internal marking dispatch the following to the External Examiner the documentation highlighted in Section 3.2.2 1 of these Regulations.
- d) The duties of the External Examiner shall be as stipulated in Section 3.2.2.
- e) The External Examiner shall within one month submit the external examination report to the Appointing Authority upon receipt of the documents mentioned in Section 3.2.2(L).

- f) The External Examiner shall present and discuss the External Examination Report in the Departmental Academic Board as stipulated in Section 3.2.2(R) of these Regulations.

7.0 PROCESS OF APPROVAL OF RESULTS

There will be five levels at which examination results are considered i.e. Departmental Academic Board, School Academic Board, Directorate Academic Board, Senate Sub Committee on examination and Senate.

7.1 DEPARTMENTAL ACADEMIC BOARD

- a) The relevant Head of Department is responsible for giving reasonable notice of meetings at least five (5) days prior to the meeting unless impractical.
- b) All members of the Departmental Academic Board, Internal examiners hosting modules outside the Department and the External Examiner, shall attend examiners' meetings. The Board is properly constituted and empowered to act if not less than half of the Internal Examiners and all the relevant Program Managers are present.
- c) There should be a record of: minutes, persons who attended the meeting, relevant examination matters raised, documented comments by the external examiner on the examinations, and the performance of the candidates in general and outcomes of the discussions.
- d) The Departmental Academic Board will refer to key documents in the meeting which shall include the following;
 - i) Examination results
 - ii) Lead Invigilators' report(s)
 - iii) External Examiners' report(s)
 - iv) Individual Candidates' complaint(s)
- e) The safe custody and confidentiality of the Departmental Academic Board minutes shall be the responsibility of the Head of Department.
- f) Decisions by Departmental Academic Boards, once certified in writing are binding at that level.
- g) Confirmed minutes of the Departmental Academic Board shall be forwarded to the School Academic Board.
- h) Compensation of boundary marks between grades or classifications shall be recorded together with the reasons for compensation and presented to the School Academic Board.

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- i) Confidentiality should be preserved until, in the opinion of the Departmental Academic Board that the best interests of the candidates are no longer being served. Where candidates have to attend oral examinations or perform or otherwise present some of their work, anonymity is impractical. Where possible however, anonymity should be breached only for those examiners conducting the orals, and marks should be re-encrypted for presentation at the Board of Examiners' meeting.
- j) A Departmental Academic Board may, at the request of any of its members, review an earlier decision if;
 - i) information relevant to that decision was unavailable at the time the decision was taken,
 - ii) the decision was taken in error,
 - iii) an error in the written certification of that decision was made.
- k) In relation to (i) above, if the Departmental Academic Board was satisfied that there are grounds for varying the decision, the Board shall forthwith report its recommendations to that effect to the School Academic Board which may either implement the recommendations or refer it to the Directorate Academic Board for consideration.
- l) After due consideration of a candidate's general academic record, the Departmental Academic Board may in their discretion award the candidate a compensatory mark under the following conditions:
 - i) A candidate who fails not more than 30% of the modules in any diet of examination with marks in the range 45-49 for Ordinary Diplomas and 55-59 for Post Graduate Diplomas and Masters may be passed by compensation in each of the modules failed provided his/her Grade Point Average (GPA) is at least 2.00 for Ordinary Diplomas and 3.00 for Post Graduate Diplomas and Masters.
 - ii) A candidate who scores less than; 45% for Ordinary Diplomas and less than 55% for Post Graduate Diplomas and Masters in more than 30% of the modules in any diet of examinations shall be advised to register and pay for only the failed modules within four (4) years for the Ordinary Diplomas, Post Graduate Distance learning Programmes and Direct Masters Degree Programmes; three years (3) for the Post Graduate Diplomas and Masters in Management Studies.
 - iii) Given that modules have different weights, marks for compensation shall be deducted from modules which fall in the same category.
 - iv) A candidate who shall have passed all other modules and scored less than 45% for Ordinary Diploma and less than 55% for Post Graduate Diploma and Masters in

not more than 30% of the modules in diet of examinations shall be free to proceed to the next semester but shall be required to re-register for the failed modules during the next cycle the modules are taught or at the earliest opportunity.

- v) Any score below 45% for Ordinary Diploma and 55% for Post Graduate Diploma and Masters shall not be compensated and the candidate shall re-register afresh for the failed module.
- vi) A candidate who must re-sit a module shall **go back to class** so as to earn **new coursework** marks and is **liable for all the associated costs afresh**. The candidate shall write to the Registrar with a copy to HoD of his/her intention to re-sit a module in order to improve his/her grade.

7.2 SCHOOL ACADEMIC BOARD

The Dean shall give at least five days' notice for School Academic Board meetings.

- a) There shall be a record of: minutes, persons who attended the meeting, relevant examination matters, documented comments from the External Examiner raised and outcomes of the meetings.
- b) All members of the School Academic Board shall attend meetings of the Board. A meeting is properly constituted and empowered to act if not less than half of the Internal Examiners and all the relevant Programme Managers are present.
- c) The School Academic Board shall receive and consider reports from various Departmental Academic Boards.
- d) The School Academic Board shall refer to key documents in the meeting which shall include the following;
 - i. Examination results,
 - ii. Overall academic performance of candidates enrolled in the Departments,
 - iii. Minutes for the various Departmental Academic Boards & Departmental recommendations on examination related matters, and
 - iv. External Examiner's Reports.
- e) The safe custody and confidentiality of the School Academic Board minutes shall be the responsibility of the Dean.
- f) Decisions by the School Academic Boards, once certified in writing are binding at that level.

- g) A School Academic Board may, at the request of any of its members, review an earlier decision if;
- h) information relevant to that decision was unavailable at the time the decision,
- i) the decision was taken in error, and
- j) an error occurred in the written certification of that decision.
- k) In reference to (g) above, if the School Academic Board was satisfied that there are grounds for varying the decision the Board shall forthwith report its recommendations to that effect to the Directorate Academic Board who may either implement the recommendations or refer it to the Senate.
- l) The School Academic Board shall consider and incorporate recommendations from the Departmental Academic Board and prepare a revised copy for submission to the Chairperson Directorate Academic Board.

7.3 DIRECTORATE ACADEMIC BOARD

- a) The Chairperson of the Directorate Academic Board shall give at least five days' notice to convene meetings of the Directorate Academic Board to receive and consider results from the School Academic Boards.
- b) The composition of the Directorate Academic Board is as outlined in **Section 2.1.6** of these Regulations.
- c) The quorum for the Directorate Academic Board shall be simple majority.
- d) The Directorate Academic Board shall discuss provisional examination reports from Schools paying attention but not limited to the following: ascertaining accuracy of examiners' marks, grading, compliance to guidelines, external examiners' comments/concerns and recommendations.
- e) The Directorate Academic Board shall send examination reports to Schools to address the Board's concerns, if any.
- f) The Examination report considered by the Directorate Academic Board shall be submitted by the DPSA to the Senate Sub Committee on Examinations together with the compliance report through the Institute Registrar within five (5) working days.

7.4 Senate Sub Committee on Examinations

- a) The composition and quorum for Senate subcommittee on examinations is as stipulated in the approved Manual for Rules and Procedure for meetings of Senate and its Sub Committees.
- b) The Chairperson Senate subcommittee shall within five (5) working days convene meetings to receive and consider results / issues from the Directorate Board.
- c) The Senate Subcommittee shall handle the following;
 - i. All examination matters
 - ii. Examination malpractice
 - iii. Participants’ Appeal cases on examinations
 - iv. Assess evaluation methods of examinations

7.5 SENATE

- d) The composition and quorum for Senate is as stipulated in the approved Manual for Rules and Procedure for meetings of Senate and its Sub Committees.
- e) The Chairperson Senate shall within five (5) working days convene meetings to receive and consider results from the Senate Sub Committee on Examinations.
- f) Senate shall consider and approve results presented by the Chairperson Senate Sub Committee on Examinations.
- g) After Senate has approved the results, the School Academic Board shall incorporate Senate’s decision and prepare a final copy of the examination results and a graduation list for submission to the Institute Registrar.
- h) The final examination results shall be signed by the Programme Manager, Head of Department, Dean, Institute Registrar, and the Chairperson of Senate.

8.0 GRADING AND CLASSIFICATION OF DEGREES, DIPLOMAS AND CERTIFICATES

8.1 Grading of UMI Awards

- a) *The degrees and post graduate Diplomas and Certificates of UMI shall be graded as illustrated in Table 1 below:*

Marks	Letter Grade	Grade Point	Interpretation
80-100	A	5	Excellent
75-79	B+	4.5	Very Good

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70-74	B	4.0	Good
65-69	C+	3.5	Fair
60-64	C	3.0	Pass
55-59	D	2.5	Compensatory Pass
0-54	F	0	Fail

b) The Ordinary Diplomas of UMI shall be graded as illustrated in Table 2 below;

Marks	Letter Grade	Grade Point	Interpretation
80-100	A	5	Excellent
75-79	B+	4.5	Very Good
70-74	B	4.0	Good
65-69	C+	3.5	Fair
60-64	C	3.0	Fair
55-59	C-	2.5	Pass
50-54	D+	2.0	Pass
45-49	D	1.5	Compensatory Pass
0-44	F	1.0	Fail

8.2 Classification of UMI Awards

a) Post Graduate Certificates and Diplomas shall be classified as follows;

Table 3: Classification of Post Graduate Diplomas and Certificates

Class	CGPA-range
First Class	4.50-5:00
Second Class (Upper Division)	4:00-4:49
Second Class (Lower Division)	3.50-3.99
Third Class (Pass)	3:00-3.49

b) Ordinary Diplomas shall be classified as follows;

Table 4: Classification of Ordinary Diplomas

Class	CGPA-range
First Class (Distinction)	4.40-5:00
Second Class (Upper Division)	4:00-4:39
Lower Second (Lower Division)	3.00-3.99
Third Class (Pass)	2:00-2.99

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8.2.1 The overall pass mark for the award of an Ordinary Diploma of Uganda Management Institute shall be 50% or a GPA of 2.00.

8.2.2 The overall pass mark for Postgraduate Diplomas, Masters and PhD Degrees of Uganda Management Institute shall be 60% (GPA of 3.00).

A candidate who fails to obtain an award within the stipulated period shall be liable to be terminated. Upon termination, such a candidate shall be de-registered and required to apply afresh and pay full tuition. Before the termination, a letter shall be sent to the concerned candidate to show cause in writing why the provisions of this clause should not be invoked and applied to him/her.

8.2.3 **Certificate of Attendance:** A participant who registers to attend classes with post graduate students but who right from course commencement declares his/her intentions of not sitting for examinations, shall be awarded a ‘Certificate of Attendance of Uganda Management Institute.’ Such candidates must have 80% attendance requirement. A separate certificate of attendance shall be awarded for every module studied for those intending to study specific modules for skills improvement.

8.2.4 **Certificate of Merit:** A candidate who has satisfied the attendance requirements for all the modules on a programme, done coursework and sat examinations and passed the required level (currently at 50% for Ordinary Diploma and 60% for graduate programmes) shall be entitled to earn a certificate of merit. The Institute shall retain the grading for individual scores but the final grading of awards shall be in accordance with NCHE guidelines which are as follows:

Marks	Letter Grade	Grade Point	Interpretation
80-100	A	5	Excellent
75-79	B+	4.5	Very Good
70-74	B	4.0	Good
65-69	C+	3.5	Fair
60-64	C	3.0	Pass
55-59	D	2.5	Compensatory Pass
0-54	F	0	Fail

Certificate of Competence

A candidate who fails to complete a programme shall be de-registered from that particular programme and given a Certificate of Competence for the modules attempted and the classification shall be done as stipulated in section 8.2.5. Before the de-registration, a letter shall be sent to the concerned candidate to show cause in writing why the provisions of this clause should not be invoked and applied to him/her.

8.2.5 Awards

According to the NCHE, all higher educational institutions shall observe and use the following scheme of awards. Therefore UMI shall comply and adopt the standards indicated in the table here.

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STANDARD TYPE OF AWARD									
Classification Criteria		Certificate	Diploma	Advance Diploma	Postgraduate Diploma	Bachelor Degree	Masters Degree	Ph.D	Post Doctorate Award
1	Minimum Years spent in school	2	2	2	1	3	1 - 2	3	
2	Number of Credit Units	45	45	80	45	120	120	240	120
3	Internship and or requirement for practicals	Y	Y	Y	Y	Y	Y	Y	Y
4	Term/Semester Paper or Research Report	Y	Y	Research Paper	Research Paper	Major term paper			
5	Dissertation/Thesis required						Y	Y	Research Report

8.2.7 Grade point Average (GPA) shall be calculated as illustrated below:

- a) Multiply the grade points for each course by the number of semester credit hours (SCH) assigned to the course to arrive at the weighted score for the module.
- b) Add the figures for each of these modules to arrive at the grade point total. In case of the Cumulative Grade Point Average, the weighted scores for all modules taken up to the given time are added together.
- c) Divide the grade point total by the total number of credit units for which a grade was received.
- d) Example: If a candidate completed the following six modules in a given semester with the following scores:

Course	% Score	Letter Grade	Grade Point	SCH Value	Grade Points Earned
Modern Public Management	60%	C+	3.0	3.0	9.0
Quantitative Methods	50%	C-	2.0	3.0	6.0
Management Skills Improvement	70%	B	4.0	3.0	12.0
Economics and Public Finance	65%	B-	3.5	3.0	10.5
Management Information systems	75%	B+	4.5	2.0	9.0

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Managing NGOs	<u>55%</u>	C	2.5	2.0	5.0
TOTAL				16.0	51.5
GPA: $\frac{51.5}{16.0} = 3.20$					

8.2.8 Assessment of proposal, dissertation and viva voce shall follow the guidelines on proposal and dissertation writing. To pass a proposal, dissertation and viva voce, a candidate must obtain at least 60% in each.

9.0 NOTIFICATIONS AND PUBLICATION OF RESULTS

- (a) Departments shall, in consultation with the DPSA, release provisional examinations results not later than three months after the end of a particular diet of examinations, unless impractical. The Senate shall approve the provisional results not later than four months after the end of a particular diet of examinations, unless impractical. Once approved the final results shall be released by the Institute Registrar.
- (b) The Departmental Academic Board shall approve a single mark for each unit of assessment for which marks are to be released; the released marks will be the final marks used by the Board when determining the overall result for the Programme. In each case, the candidate will be informed of the status of the marks released and be reminded that the Board, in determining the final marks, may have exercised discretion by taking into account additional/relevant information.
- (c) Publication of examination results shall normally be done on an appropriate UMI Notice Board and on the UMI Corporate Website provided such publication omits candidates' names, although candidates' examination numbers may be displayed.

9.1 Confidentiality during release of Examination Results

The following confidentiality conditions shall hold.

- a) In no circumstances may the views of a particular examiner be made known to a candidate. All discussion at a Board of Examiners' meeting is confidential, and no comments or remarks may be reported to any candidates, whether or not they are unattributed.
- b) Other than with the permission of the candidate concerned, members of staff should not make available information about marks to persons or bodies outside the Institute except for statutory requirements.

9.2 Processing of Academic Transcripts and Certificates

- a) The Institute Registrar shall process and issue academic transcripts and certificates to candidates who meet the requirements for award of a Degree, Diploma or Certificate after final Senate approval of examination results. Transcripts shall bear the grading of the Degree, Diploma or Certificate and the classification of the respective award. They shall have five columns which list: the component of assessment; the percentage contribution this item made to the Degree, Diploma or Certificate; the mark obtained (expressed as a percentage); the grade of each item, and the academic year in which the result was obtained. Information about the Institute's common grading scale shall be pre-printed on the back of the transcript.
- b) Any transcript of interim results must contain the following phrase:
"These marks are provisional as the Board of Examiners which determines the final classification may review all marks counting towards such classification. Under the Institute's Regulations, various Academic Boards, may where, appropriate take account of information additional to the grading scale in deciding the final class awarded to any candidate."
- c) The Certificate shall bear the Candidate's name, programme name, class, date of award and relevant signatures.

10.0 EXAMINATION MALPRACTICES RELATING TO CANDIDATES AND PENALTIES

10.1 Malpractices in Relation to Take Home Assignments

It shall be an offence for a participant/candidate to avail to another Participant/Candidate his/her prepared assignment with a view to assisting the latter to do his/her coursework or to negligently expose his/her assignment to another candidate to use.

Penalty

Any student/candidate found guilty of the offence in 10.1 above shall be liable to:

- i. Caution and Cancellation of his/her take home assignment, or
- ii. Caution and Cancellation of his/her assignment and suspension from his/her studies for a period not exceeding one academic year.

10.2 Fraud in Relation to Take Home Assignments

It shall be an offence for a candidate to:

- (a) Submit an assignment not prepared by him/her.
- (b) Substantially plagiarise the work of any other person.
- (c) Solicit/purchase any assignment from any other person.
- (d) Falsify/alter marks awarded on a take home assignment script.
- (e) Plagiarise (the Research policy on dissertation guidelines shall apply)

Penalty

Any candidate found guilty of involvement in fraudulent conduct related to take home assignments as set out in 10.2 above shall be liable to:

- (i) Caution and Cancellation of his/her assignment, or
- (ii) Cancellation of his/her assignment and suspension from his/her studies for a period not exceeding one academic year, or
- (iii) Cancellation of his/her assignment and dismissal from the Institute.

10.3 Malpractices during Tests and Examinations

It shall be an offence for a candidate to:

- (a) Sit or attempt to sit a test or an examination without valid documentation.
- (b) Enter an examination hall/room later than 30 minutes after the test/examination has commenced.
- (c) Leave the examination hall/room before the end of the test or examination save for exceptional circumstances approved by the invigilator.
- (d) Engage in any conversation or any other communication with another candidate once the test or examination has commenced.
- (e) Indulge in any disruptive conduct including, but not limited to, whispering shouting, assault of another candidate, using abusive and/or threatening language, destruction of Institute property or the property of another participant/candidate.
- (f) Take out of the examination room/hall answer booklet(s), used or unused.
- (g) Neglect, omit or in any other way fail to follow lawful instructions or orders issued by the Invigilator.
- (h) Physically assault or insult an Invigilator or any Institute Official involved in the conduct of the test or examination.

Penalty

Any candidate found guilty of contravening 10.3 above, shall be liable to:

- (i) Caution and/or Cancellation of the relevant test or examination, or
- (ii) Cancellation of the relevant test or examination and/or suspension from the Institute for a period not exceeding two years, or
- (iii) Cancellation of the test or **entire examination** and/or dismissal from the Institute.
- (iv) Any candidate found guilty of physically assaulting an Invigilator or an Institute Official shall be dismissed from the Institute.

10.4 Cheating in a Test or Examination

It shall be an offence for any candidate involved in a test or examination to:

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- (a) Take into the examination room unauthorized materials including, but not limited to, plain papers, condensed/summarized notes, books, and handkerchiefs on which information is written or information written on any part of the body, recording apparatus, mobile phones or any unauthorized electronic equipment, offensive weapon such as gun, pistol grenade, etc.
- (b) Copy from any other candidate.
- (c) Plagiarise
- (d) Aid a candidate to copy from a script/book of another person.
- (e) Exchange answers or swap test or examination scripts with another candidate in or outside the examination room.
- (f) Collaborate with another candidate in the examination room to use telephone discussions and share material including calculators and other electronic equipment.

Penalty

Any candidate found guilty of cheating in a test or an examination as defined in 10.4 above shall be liable to:

- (i)
 - (a) Cancellation of the test or the examination and resit at a cost as approved by Senate
 - (b) Dismissal from the Institute.
- (ii) For avoidance of doubt; on the offence of plagiarism as defined in 10.4 (c) above;
 - (a) the examination shall be cancelled and the candidate failed.
 - (b) Where the entire material has been lifted from another source verbatim or with only slight alterations the candidate shall be dismissed from the Institute.

10.5 Fraud in Tests or Examinations

It shall be an offence for a candidate involved in a test or an examination to:

- (a) Import into the examination hall/room, in person or by agent, a pre-prepared answer script/booklet.
- (b) Substitute an answer script/booklet prepared outside the examination room/hall for the one already submitted to the Invigilator/ Examiner.
- (c) Falsify or alter marks awarded on a test or an examination script/book with intent to gain undue advantage.
- (d) Impersonate another candidate.

- (e) Procure or induce another person to sit for him/her.
- (f) Falsify official documents in relation to eligibility to sit Institute Examinations.
- (g) Sit or attempt to sit an examination without authority.
- (h) Deliver to the Examiner's office or his or her residence an examination script/booklet outside the scheduled time for delivery without due authority.
- (i) Fraudulently receive test or examination papers/questions which have been illegally procured or made available.
- (j) Fraudulently access or attempt to access test or examination questions before the test or examination is due.
- (k) Intent to procure test or examination questions/papers.

Penalty

Any candidate found guilty of fraudulent conduct as defined in 10.5 above shall be liable to:

- (i) Cancellation of the relevant test or examination and dismissal from the Institute.
- (ii) Publishing the culprits' names in the media.

10.6 Offences Relating to the Investigation and Hearing Process

It shall be an offence for any candidate whether or not he /she has been accused of any malpractices to:

- a) Interfere with Senate's investigations and hearing into the matter i.e. influence, shout, harass intimidate.
- c) Destroy evidence relating to an alleged malpractice.
- d) Forge or utter false documents in relation to an alleged malpractice.
- e) Bribe or attempt to bribe an Institute official witness or any other person in relation to an alleged irregularity.
- f) Harass or procure others to harass on his /her behalf an Institute official, witnesses or any other person in relation to an irregularity by making constant telephone calls, visits, etc.

Penalty

Any participant/candidate found guilty of interference with the conduct of an Irregularity hearing as defined in Rule 10.6 above shall be liable to:

- (i) Cancellation of the relevant test or examinations, or

- (ii) Cancellation of the relevant test or examinations and suspension from the Institute for a period not exceeding one academic year, or
- (iii) Cancellation of the relevant test or examination(s) and dismissal from the Institute.

10.7 Other forms of misconduct

- a) Manipulating registration forms in order to sit for a test or an examination which the candidate does not qualify to sit.
- b) Colluding with a medical doctor in order to obtain dully medical certificate on grounds of infringed illness or producing a fake medical certificate.
- c) Colluding with a member of staff in order to submit a newly prepared answer script as a substitute for the original script after a test or an examination.
- d) Writing examination related materials on one's body parts and/or clothing.
- e) Escaping from the examination venue without permission from the invigilator.
- f) Gaining entry into the examination by force.
- g) Bribing /influencing/terrorising examination staff, invigilators and internal examiners.

Penalty

Any participant/candidate found guilty of offences stated in 10.7 above shall be liable to

- i) Cancellation of the test or examination
- ii) Cancellation of the test or examination(s) and suspension from the Institute for a period not exceeding two years.
- iii) Cancellation of the relevant test or examination and dismissal from the Institute

11.0 PROCEDURAL ISSUES RELATING TO HANDLING EXAMINATION MALPRACTICE CASES

11.1 Guidelines on Apprehension of Suspects

When a candidate is suspected to be engaging in examination malpractice(s), he/she should, with the help of security, be apprehended immediately. In the apprehension of a suspect, the following should be taken into account:

- (a) A suspect should be handled in an appropriate manner to ensure that the privacy and bodily integrity of a person is not violated.

- (b) Body searches should be done in the presence of another person.
- (c) The materials should be witnessed before being kept away as exhibits.
- (d) Identity of the suspect and possible witnesses should be recorded immediately.
- (e) A suspect should be stopped from **writing that particular examination** but be allowed to **proceed with any other remaining examination(s)**.

11.2 Reporting Procedures

- a) Suspected misconduct may be reported to the Institute by examiners, invigilators, examination officials, candidates, patients, simulated patients and any other person who becomes aware of suspected misconduct.
- b) Anonymous reports of misconduct will be acted upon only if there is supporting evidence. In such cases invigilators and any other relevant officials may be informed of the allegation and asked to comment.
- c) Where an invigilator suspects a candidate of infringing examination room rules, he/she shall:
 - i. Confiscate any unauthorized material in the possession of the candidate and stop the candidate from continuing with that particular examination; *(The candidate should be made to append his/her signature in order not to deny knowledge and responsibility, except where the candidate refuses to cooperate).*
 - ii. Make a formal and contemporaneous note of the time when the alleged infringement was discovered. Wherever possible an invigilator should invite another invigilator to act as witness to the suspected infringement, and then countersign the note to confirm this;
 - iii. Allow the candidate(s) in question to continue **with the other examination(s)**.
 - iv. Prepare within three working days of the examination a written report on the alleged incident and send it with any confiscated materials to the Institute Registrar.
- d) Candidates must on request surrender to the invigilator any materials that are reasonably believed by the invigilator not to be permitted. The invigilator can, on request, issue a

brief receipt for such articles. The invigilator must include all such materials with his/her report, which may be copied or retained by the Head of Academic Division at his/her absolute discretion.

11.3 Guiding Principles

In the handling of examination irregularities and malpractices, the Senate Sub-Committee on Examinations shall take into account the following principles of natural justice:

- (a) Fair and equal treatment of all candidates;
- (b) The opportunity to enter a plea of guilty or not guilty;
- (c) Fair hearing accorded to all candidates;
- (d) Right of candidates to appear and to defend themselves;
- (e) Staff not to sit in judgement of their own cause, and
- (f) Consistency in punishments.

11.4 Procedure for Hearing Malpractice Cases

- a) The Institute Registrar (IR) shall receive a report from the invigilator on the malpractice committed by a candidate with supporting documents such as; a statement from candidate involved in an examination malpractice, statements from the invigilator and witness, the examination card of offender and the exhibit(s) i.e. unauthorized materials.
- b) The IR shall communicate to the Chairperson of the Senate Sub Committee on Examinations on the case(s) of examination malpractice at the end of every diet of examination.
- c) The Chairperson of the Senate Sub-Committee on Examinations shall in consultation with the IR study the cases. If it is in the opinion of the duo that there is a *prima facie* case, charges shall be framed by the Institute Registrar in consultation with the Institute Lawyers. The Secretary to the Senate Sub-Committee on Examinations shall write to the offender highlighting the alleged offence and request him/her to submit a written statement of defence within 14 days from the date of the letter. If no *prima facie* case is established, the allegations shall be dropped.

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- d) In the interest of natural justice, the Chairperson shall convene a meeting of the Senate Sub-Committee on Examinations to hear from both the candidate(s) and the witness(es). The hearing notice shall not be less than five (5) working days. The Committee may seek the opinion of the Institute Lawyers on the Committee's report.
- e) The Committee shall use its discretion to determine punishment depending on gravity of the offense as provided for in these Regulations.
- f) The Committee shall table its report to Senate for a decision to be taken.
- g) The Secretary to Senate will communicate Senate's decision to the concerned candidate(s).
- h) The candidate may appeal to Council if not satisfied with Senate's decision.
- i) Malpractice cases shall be handled within four (4) months from the time the offence is committed.

11.5 Mitigating and Aggravating Factors

Where there is range of penalties for a given offence, the Committee may take into account the following mitigating and aggravating factors in determining the appropriate penalty.

(a) Mitigations factors

- (i). Remorsefulness on the part of the participant/candidate.
- (ii). Truthfulness
- (iii). Lack of substantial benefit from the malpractice
- (iv). Participant/candidate first offender
- (v). Plea of guilty therefore not wasting the Committee's time.

(b) Aggravating Factors.

- (i). Substantial benefit from the malpractice.
- (ii). Lack of credibility.
- (iii). General misconduct.
- (iv). Frivolous and vexatious denials.

(v). Allegations of misconduct on the part of the Institute staff which are subsequently proved to be false.

(vii). Second conviction.

12.0 EXAMINATION MISCONDUCT & MALPRACTICES RELATING TO STAFF

12.1 Offences Committed by Setters

- a) Disclosure of confidential information to participants
- b) Failure to submit course-work results on time
- c) Refusing or failure to set question papers on time
- d) Setting question papers out-of-syllabus
- e) Leakage of question papers

12.2 Offences Committed by Invigilators.

- a) Allowing impersonation
- b) Helping the candidates to use unfair means in any form and by any one in or outside the examination centre
- c) Favouring candidates who have been reported cheating by their colleagues.
- d) Failure to appear for invigilation without prior communication to IR.
- e) Reporting for invigilation late.
- f) Colluding with a candidate(s) in order to substitute a new prepared answer script as a substitute for the original script after an examination

12.3 Offences Committed by Internal Examiners/Markers

- a) Leaking of examination question(s) to participants
- b) Accepting additional answer booklets after examination time
- c) Manipulating marks through fictitious entries in award list/examination register.
- d) Helping the candidates in viva voce, practical examination
- e) Mass cheating i.e. large scale organized cheating involving setters, candidates and examination officials;
- f) Tampering with marks awarded by external examiners.
- g) Writing of project(s) /proposals and dissertations for participants by a member of staff
- h) Incomplete marking of a script.

- i) Allowing a candidate to submit a new prepared answer script as a substitute for the original script after an examination in order to secure better grades.
- j) Awarding marks without actual marking.
- k) Revealing the views of a particular examiner to a candidate.
- l) Marking outside the marking room without permission.
- m) Failure to submit course-work results on time
- n) Colluding with a candidate(s) in order to substitute a new prepared answer script as a substitute for the original script after an examination.

12.4 Offences Committed by Administrative Staff

- a) Leakage of question papers traceable to the printing press or other persons associated with the custody of the papers;
- b) Forwarding through the **internet** examination questions to participants
- c) Altering marks at entry level
- d) Changing marks without written commitment from the Module Leader.
- e) Allocating an examination venue with intention to commit exam malpractice
- f) Appointment of invigilating staff with prior intention to manipulate them
- g) Wrong packing of question papers.
- h) Colluding with candidates in order to substitute a new prepared answer script as a substitute for the original script after an examination

12.5 Penalties for Staff

This will depend on the type of staff and the magnitude of the misconduct involved

- (a) A written warning reprimanding the concerned member of staff
- (b) Withdrawal from **examination related** activities
- (c) Suspension
- (e) Termination
- (f) Any other penalty as provided by the UMI Human Resource Manual.

13.0 HANDLING ACADEMIC GRIEVANCES

- a) Candidates shall appeal in writing to the Chairperson of Directorate
- b) The Chairperson of Directorate shall refer the matter to the relevant Senate Sub-Committee.

- c) The Chairperson of the relevant Senate Sub-Committee may co-opt any external stakeholder from within or outside the Institute to the Committee in (b) above. And submit to Senate for final approval.

13.1 Conditions of Appeal

- a) Participants can appeal if a staff is not delivering quality higher education;
- b) A staff involved in academic mal-practice; and
- c) General academic complaints.

14.2 Rights of Appeal against examination assessment

- i. A candidate can lodge a complaint of examination assessment to the Institute Registrar within three (3) months after the announcement of provisional results by the Schools. Only in exceptional circumstances may an appeal be received three (3) months after the results of an examination have been available to the appellant. The decision as to whether or no exceptional circumstances exists rests with Directorate Academic Board. The appellant shall make his/her request in writing clearly specifying the grounds upon which the appeal is being made including, but not limited to the following:
 - (a) Miscomputation of marks;
 - (b) Bias on the part of the assessor;
 - (c) Marks generally out of step with one's overall performance;
- ii. IR shall convene a Departmental Meeting to ascertain whether the grounds for appeal are provided for and whether they are within the time limits;
- iii. If the case does not have merit, IR shall write to the appellant explaining the grounds for refusal;
- iv. If the case has merit, IR shall forward the case to the respective training Department to take appropriate action;
- v. The appellant may withdraw in writing an appeal before it is considered by the IR;
- vi. The decision of the training Department shall be forwarded to the School, Directorate Academic Board, Senate Sub-Committee on Examinations and shall be approved by the Senate or the Chairperson of Senate in exceptional circumstances. Senate's decision on appeals shall be communicated to the candidate by the Institute Registrar;
- vii. The candidate shall only pay when the complaint merits remarking; and
- viii. The decision of Senate on any appeal shall be final.
- ix. If the candidate(s) re-sit (s) examinations, the new mark takes precedence

15.0 FAILURE TO COMPLETE A DEGREE, DIPLOMA OR CERTIFICATE EXAMINATION

- a) Candidates who fail to complete a program within timelines as stipulated in the admission letters for reasons of illness or other circumstances beyond their control may be granted study extensions in accordance with UMI Council Guidelines on Study Extensions.
- b) A candidate who fails to complete a programme shall be de-registered from that particular programme and given a Certificate of Competence. Before the decision to de-register the candidate is taken, a letter will be sent to him/her to show cause in writing why the provisions of this clause should not be invoked and applied to him.
- c) **Posthumous degrees, diplomas or certificates:** Senate may authorise the conferment of posthumous degrees, diplomas or certificates in appropriate circumstances. Each such conferment shall require a proposal from the Department concerned.
- d) Normally a posthumous degree, diploma or certificate is conferred only where the candidate was fully qualified to receive the award at the time of death.
- e) A candidate/participant who dies before completing at least 85% of the examinations of the course for which s/he registered shall be automatically de-registered from the Institute otherwise he/she will be entitled to a posthumous qualification.

16.0 REGULATIONS FOR CANDIDATES WITH SPECIAL NEEDS

- a) On a case by case basis the Institute may make possible arrangement for candidates with special needs who will have declared their requirements prior to admission.
- b) The candidates shall have provided information at the time of application, on the nature of the special needs and the assistance required.
- c) In the unlikely event that a participant develops a special need during his/her study period, the Directorate Academic Board shall handle.
- d) During admission, the Admissions Board shall decide the outcome of the applicant taking into consideration the resources available at the Institute.
- e) Once admitted, the Institute shall compensate as much as possible for any disadvantage the candidates with special needs experience in taking an examination, so that their work can be solely assessed on merit.

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- f) If any candidate has any problem attending or taking the exam, they shall write to the Institute Registrar through their module leaders and the lecturer/consultant as soon as possible about the available options.
- g) Candidates with specific special needs may be granted additional writing time, rest breaks, alternative exam rooms, papers in alternative formats such as large font print, timetabling of examinations in the morning or afternoon sessions only Or allowed to use an amanuensis (scribe), braille, reader, PC, coloured overlays, red answer booklets, specialist equipment e.g. chair/ writing slope and specialist software provided the IR is notified at least two weeks before examination commencement.
- h) Where these arrangements do not meet the candidate's special needs, the IR will discuss alternative arrangements with the respective Department.

17.0 RETENTION AND DISPOSAL OF EXAMINATION RECORDS

- a) Examination records shall include examination scripts, examination mark-sheets, minutes of Boards, Senate and its Sub Committees, coursework scripts, academic transcripts and certificates.
- b) The retention and disposal of all documentation relating to examination at Departmental, School, Institute Registrar and Central Registry shall be in accordance with the National Laws, Public Service Guidelines and the Institute's Records Management Policy.
- c) It is the responsibility of the Institute Registrar to ensure that the examinations scripts are kept in safe custody and are disposed of in a secure and appropriate manner.
- d) Document retention will also be handled using Scanning or imaging, a process by which paper documents are copied and saved as digital images. These digital images or electronic records are saved as PDF (Portable Document Format) files only. Scanned records must be compared to the original paper document to ensure accuracy. Once properly scanned, paper records may be destroyed.
- e) The scanned files shall be accessible and readable for their full retention period. This includes finding the file, opening the file, and reading the file regardless of the software used in its creation. The scanned document images shall be inspected visually to ensure they are complete, clear, and easily read.

- f) Document retention shall also be done using backup procedures as stipulated in the UMI ICT policy.

18.0 GLOSSARY

Appeal:

An 'appeal' shall refer to a request for a review of a decision made by/or on behalf of UMI Senate about the performance in an examination of a candidate or group of candidates.

Cancellation

Disregarding any decision relating to the written examination or examination marks earlier awarded including but not limited to coursework marks, proposal defense marks, field work marks and dissertation/thesis marks.

Candidate

A Uganda Management Institute (UMI) registered participant fully meeting prequalification to sit examinations at UMI including; full completion of fees payment as per schedule and attending at least 75% of lectures and or 85% those intending to obtain certificates of competence. For the Distance Learning programmes, a candidate is a registered participant fully meeting prequalification to sit examinations at UMI including; full completion of fees payment as per schedule and participating in 85% of discussion forums on the VLE.

Compensation

The practice of awarding a pass mark in respect of a failed module by reason of a candidate having passed other modules offered in the same program of study.

Caution

This is a reproof or rebuke, either verbal or written by a person in authority.

Dismissal

This is when a participant is not allowed to progress to complete a programme of study for reasons of misconduct.

Module

A standardised and independent study unit that with other such units constitutes training programme.

Programme

Refers to a set of modules prescribed for a recognised award approved by Senate.

Prohibited Material

Any banned or forbidden materials such as offensive weapons such as guns, pistols, grenades, booms, sharp objects, and harmful drugs and chemicals.

Examination:

The term "examination" shall refer to the coursework, internship, test and final written assessment associated with a programme of study or otherwise explicitly defined by Senate. Its form typically involves a written or oral examination, but may involve other forms such as assessment of laboratory exercise, test or take home assignment, project work, field work, internship, dissertation or any such similar activity which may be approved or prescribed by UMI and as approved by the National Council for Higher Educational in respect of any programme of study.

Examination Malpractice:

Examination malpractice is defined as a deliberate wrong doing contrary to official examination rules designed to place a candidate at an unfair advantage or disadvantage. Examination malpractice is any illegal act committed by a candidate single handedly or in collaboration with others like fellow candidates, parents, consultants, lecturers, supervisors, invigilators, typists, printers and any persons or group of persons before, during or after an examination in order to obtain undeserved marks or grades.

Examination Irregularities:

Examination irregularities are the massive and unprecedented abuse of rules and regulations pertaining to internal and public examinations, beginning from the setting of such examinations through to the taking of the examinations, their marking and grading, to the release of the results and the issuance of certificates. It is the act of omission or commission intended to make a

candidate pass examination without relying absolutely on his/her independent ability or resources.

Examination Misconduct:

Misconduct includes knowledge by a candidate of examination questions prior to sitting the examination. This involves candidates receiving information that they know contains actual examination questions in whole or in part, verbatim or redacted. This may also include directly or indirectly assisting others in obtaining knowledge of examination questions prior to examination commencement.

Examination Mercenary:

Examination Mercenary refers to the practice whereby candidates employ external person(s) to sit in and write examinations. It also includes defending a proposal, thesis or dissertation on the candidate's behalf in exchange for monetary incentives, reward or any other form of gratification.

Unauthorised Materials

These are materials in physical, electronic versions or otherwise not allowed into the examination room.

Examination Regulations:

These are rules that govern the conduct of candidates and officers authorized to administer an examination diet in an attempt to ensure quality, reliable and a comparable examination system. They are intended to counteract any act considered dishonest, unfair, corrupt, unpleasant and interruptive to an examination system of a given Institution.

Investigation

Is the officially sanctioned probing conducted to determine if fraud has occurred and if so, to authorise gathering evidence of the offence.

Fraud

This is wrongful or criminal deception intended to result in financial or personal gain.

Mass Cheating:

This is an irregularity where all or most of the candidates have been involved or have accessed tests or examinations before the official time for sitting a test, exercise and or an examination.

Moderation:

The act of ensuring that assessment Items are reliable, valid and fair and may involve other parties considered experts in those areas.

Natural Justice

It's a technical terminology for the rule against bias and right for a fair hearing.

Participant

Someone who is admitted and registered on a UMI training program within a specified period.

Penalty:

This is a disciplinary or punitive measure taken against an examination offender

Plagiarism:

Plagiarism is the use of another person's work, without appropriate acknowledgement, altering reference dates with intention to deceive.

Procedural Defect

This relates to any irregularity in the Institute's conduct of an examination, processing of scripts or assessment of participants, by lectures, consultants and administrators and failure to follow the established guidelines.

Summon

A verbal or written invitation that demands the appearance of either a culprit or a witness before a responsible person or Committee.

Suspension

A temporary removal of a participant from a program for a specific reason for a specified period of time.

Resitting

This refers to repeating a module either failed or wishing to improve the current score above the pass mark when next offered. The participant shall be required to attend classes, pay fresh costs and write final examinations.

Unfair Means:

Includes using unauthorised aids, copying from and communicating with other candidates or putting others in a disadvantaged position.

Termination

This is when an employment contract with employee and employer comes to an end. In this case, when it has been proven beyond reasonable doubt that a member of staff has violated examination regulations may be forced to leave or fired in accordance with the UMI Human Resource Manual.

19.0 References

Universities and Other Tertiary Institutions Act, 2001, as amended

NCHE (2014) Quality Assurance Framework

The Records and Information Management Act, 2001

Ministry of Public Service Guidelines on Retention and Disposal of Public Records, 2003

UMI Records Management Policy, 2018

UMI Safety and Security Guidelines, 2016

UMI Human Resource Manual, 2018

20.0 Appendices

Reporting format for External examination



**UGANDA MANAGEMENT INSTITUTE
UMI/QAD/ EXTERNAL EXAMINERS REPORTING TEMPLATE**

Report from External Examiner

Host School:

Department:

Name of Program externally examined:

Academic Year:

Name and affiliation of external examiner:

Date when external examination took place:

1.0 Introduction

Briefly provide a preamble including the number and names of programs and modules whose examination scripts you are considering, number of scripts received, and any other general relevant information.

2.0. Methodology

Specify sampling strategy and procedure used.

2.1 Documents availed

Give a brief on the external examination process and the support documentation provided. Ensure you have been availed with the following documents:

Document	Tick (✓) and/or remark
Course Handbook	
Module Handbook	
Module Timetable	
Examination paper	
Examination scripts marked by internal examiners	
Mark sheets containing coursework and examination results	
Coursework question papers (entire course)	
Test question papers (entire course)	
Marking Guides (Exam, Test, Coursework)	

3.0 Findings and general observations

The following sample matrix can be used:

Program Name:

Module Name:

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Item	Remarks
No. of scripts provided	
No. of Scripts sampled	
Date of the examination	
Examination standard	<p>E.g..</p> <p>a) Whether it is pitched to the level of the program, e.g. PGD, Masters, etc. i.e. does it tap higher order thinking skills, e.g. analytical, critical and problem solving skills?</p> <p>b) Whether it is aligned to the module learning outcomes.</p> <p>c) Content coverage and practical relevance of case scenarios provided</p> <p>d) The balance between knowledge, skills and attitudes being assessed.</p> <p>e) Clarity of question items.</p> <p>f) The structure of the examination, e.g. block or with subsections</p> <p>g) Clarity of the instructions</p> <p>h) Time allotted to each question and entire exam</p> <p>i) Whether the compulsory question provides a logical overview of the entire module.</p> <p>j) Whether questions have not be recycled across programs.</p> <p>k) Whether the examination paper should be grammatically and typologically error-free to avoid any unintended alternative interpretations.</p>
Candidates' responses to the questions	This should be considered in line with (a) to (k) above
Marking Scheme	Level of clarity and validity, alignment with candidates' responses, award of marks and consistence with candidates' responses,
Internal examiners' assessment	Consistence with the expected answers in the marking guide, consistence in distribution of marks, indication of marks per item, per question and per script, accuracy in computing marks.
Performance	Comment on overall performance on the module
Adjustments made	For example compensation, re-computing, etc., indicating candidate's name, registration number, earlier mark, adjusted mark.
Overall evaluation of the program	What is your overall opinion regarding performance of the candidates, in view of the program content, teaching, setting and marking of the examinations?

3.0 Conclusion

Give an overall conclusion on key issues observed during the examination process and suggestions that could contribute to assuring the quality of the program(s) under examination. This could be in the area of teaching and learning, comparability with similar programs elsewhere, content coverage, etc.

4.0 Recommendations

Give recommendations that could contribute to assuring the quality of the academic program(s). This could be in the area of teaching and learning, comparability with similar programs elsewhere, content coverage, quality of students, quality of the examination process and standard, etc.