

Open University Validation Partnerships

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Guidelines on Provision of Electronic Submission Documents for Institutional Approval or Reapproval Events

Submission documents should be forwarded via ZendTo. This is a secure transfer system where institutions “drop off” their documents. This is to ensure that our inboxes do not fill up with large documents. This system allows you to drop off documents by using the OUVP-events@open.ac.uk email address, and it has a two-week window period meaning that after two weeks everything will be automatically removed.

If you go to their website <http://zend.to/> and click on ‘web-based system’ it demonstrates how the system works. If you have any problems, please email OUVP-events@open.ac.uk for guidance. Documents should be uploaded onto ZendTo as compressed folders.

The final submission should be received no later than no later than **6 weeks** prior to the event. They should be sent following clearly annotated folders. **All documents within the submission should be clearly titled and the below table/s included as a contents document.**

**Please indicate below which documents satisfy each criteria (if a document satisfies more than one criteria, please cross reference, with page numbers, there is no need to submit the same document multiple times).**

**If submissions are not received as required below they may be returned and further guidance given.**

|  | **Contents** | **Institutional Evidence Provided** | |
| --- | --- | --- | --- |
|  | **Self-Evaluation Document (SED)**   * 1. Self-Evaluation Document.   *The following documents should be submitted as appendices to the SED.*  *Within the SED, please cross reference to any relevant appendix using the numbering shown on this template.* | 1.1 |  |
|  | **Appendices to SED:** |  |  |
|  | **Provision of an Appropriate Learning Environment:**   * 1. Student guidance and support.   2. Teaching, Leaning and Assessment strategy & assessment policy.   3. Staff recruitment, training and development. | 2.1  2.2  2.3 |  |
|  | **Independence of Institutional Ownership from the Exercise of Academic Authority:**   * 1. Organogram diagrams for governance and management, organisational structure.   2. Role descriptors for key senior posts.   *Continue on next page* | 3.1  3.2 |  |
|  | **Appropriate Academic Organisational and the administrative Structure to Support it**  4.1 Five-year strategic plan. This should include the mission and strategic vision, goals, measures of success and financial objectives.  4.2 Academic Regulations that align to the Open University template. This should include the following policies:   * + 1. Admissions policy and procedure.     2. Appeals and complaints.     3. Periods of registration.     4. Attendance requirements.     5. Assessment policy.     6. Academic Misconduct policy.     7. Extenuating circumstances policy.     8. Membership of Boards of Examiners.     9. Academic Appeals and Complaints.   1. Ethics policy and procedure   2. Terms of Reference & Organisational Chart for:      1. Governing Body of the Institution      2. Academic Board.      3. Sub-committees e.g. Higher Education Committee      4. Quality committee      5. Course Teams      6. Assessment boards | 4.1  4.2  4.2.1  4.2.24.2.34.2.44.2.54.2.64.2.74.2.84.2.9  4.3  4.4.1  4.4.2  4.4.3  4.4.4  4.4.5  4.4.6 |  |
|  | **Robust and Rigorous Quality Assurance and Enhancement Informed by the UK Quality Code**   * 1. Risk registers   2. Risk policy and procedures   3. Summary of quality processes relating to Higher Educations. To include development, monitoring, approval and review of programmes.   4. Student feedback mechanisms.   5. Proposal for the briefing and induction of external examiners.   6. External examiner reports.   7. Student Protection Plan   8. Access and Participation Plan/Statement (not required for TNE institutions) | 5.1  5.2  5.3  5.4  5.5  5.6  5.7 |  |
|  | **Relations with the Wider Academic Community**   * 1. Quality code mapping.   2. Reports from external agencies. | 6.1  6.2 |  |
|  | **Sample Validation Documents:**   * 1. Details of programmes to be validated.   2. Sample programme handbook.   3. Sample programme specification.   4. Sample programme review documentation.   *Continue on next page* | 7.1  7.2  7.3  7.4 |  |

**During the Institutional Approval event, the Panel should have access to the following documents within the base room:**

|  |  |
| --- | --- |
|  | **Institutional Documents** |
|  | * 1. Examples of student assessed work.   2. Recent annual monitoring reports, if applicable.   3. Minutes and agendas for committee meetings to evidence the working practice of the governance structure. |

**In addition, at an Institutional Reapproval event the following supporting documentation should be included within the submission, if not detailed on the self-evaluation document:**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Contents** | **Institutional Evidence Provided** | |
|  | **Supporting Documentation**   * 1. The Institutional response to issues that arose from examiner examiners’ reports.   2. An evaluation of the outcomes of annual monitoring in the last three years which should include how issues have been addressed.   3. An evaluation of the of the outcomes of all external audits, including accreditation and QAA reviews.   4. An evaluation of the outcomes or impact of all engagements with the Open University. | 9.1  9.2  9.3  9.4 |  |