

# STUDENT DISCIPLINARY PROCEDURE (ACADEMIC CASES)

University of Oxford

## Contents

Section	Title	Page
1	Introduction and overview	1
2	Required standards of behaviour	4
3	General principles and practical considerations	7
4	Initial consideration	8
5	First stage: formal consideration by a Proctor	11
6	Second Stage: the determination	20
7	Third Stage: appeals	28
8	General provisions	31
9	Appendix A – Indicative Penalties	35
10	Appendix B – Glossary	39

## 1. Introduction and overview

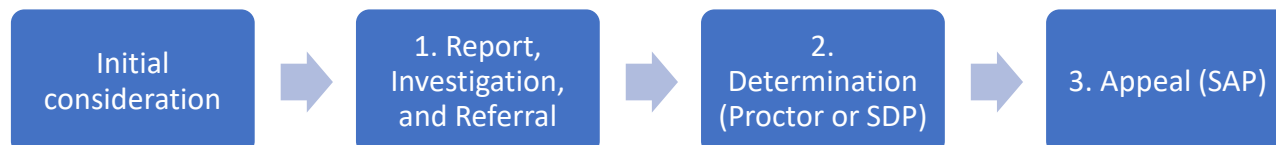
- 1.1 This document describes the University’s disciplinary procedure for students where “**academic misconduct**” is alleged to have been committed.<sup>1</sup> There is a separate procedure for ‘non-academic misconduct’, the [Student Disciplinary Procedure \(Non-Academic Cases\)](#) (the “**Non-Academic Disciplinary Procedure**”). Examination Boards can address concerns relating to “**poor academic practice**” according to procedure set out at 4.4 onwards.
- 1.2 This disciplinary procedure relates to academic matters where a student member is suspected of cheating or otherwise acting dishonestly, or attempting to do so, in any way, whether before, during or after an “**examination**”, in order to obtain or seek to obtain an unfair advantage in an examination, or other form of assessed work.
- 1.3 In this procedure, ‘Student member’ has the meaning set out in Part A of “**Statute XI**” of the University’s statutes, and applies to most students at the University. The word “**student**” is used throughout this procedure to refer to a student member.
- 1.4 The University will usually only take action in respect of academic misconduct where the

---

<sup>1</sup> This procedure applies to reports of breaches of the Code of Discipline set out in Statute XI made on or after 1 September 2025. The provisions of Statute XI which will apply in any particular case will be those in force when the behaviour occurred.

conduct occurred within six months of the allegations being brought to the University's attention.

- 1.5 In this document, a person making a formal report (a **"Report"**) is referred to as the **"Reporter"**. A Reporter will usually be the Chair of Examiners of a University Examination Board, or in some cases will be another member of the University. The person who is alleged to have breached the University's **"Code of Discipline"** is referred to as the **"Subject"**. If formal proceedings are brought against a student for an alleged breach of the Code of Discipline this is called a **"Referral"**.
- 1.6 The **"Proctors"** are senior officers of the University whose role includes upholding the University's statutes and rules. The Proctors have overall responsibility for the conduct of University examinations. They do this by internal scrutiny and oversight within the Proctors' Office and by taking key decisions on individual cases (including deciding whether or not to refer a matter for disciplinary action following an investigation). Caseworkers (**"Caseworker"**) in the Proctors' Office conduct investigations under this procedure from which a Proctor will decide whether a Referral is appropriate. A 'Proctor' includes a 'Pro-Proctor' or an appointed substitute. Decisions under this procedure are made in all cases by a single Proctor rather than by the Proctors collectively.
- 1.7 The diagram below provides an overview of this disciplinary procedure. There is also a GLOSSARY OF TERMS provided at Appendix B.



- 1.8 As shown above, before the formal process commences, there will normally be an initial consideration of a matter, by the Chair of Examiners of an **Examination Board**, or within the student's Department (this is most likely to be the case in the event the matter involves a post-graduate research student). It is possible for an Examination Board to address concerns relating to poor academic practice without making a Report.
- 1.9 The formal stage begins with a Report to the Proctors' Office, as described below, and where appropriate Caseworkers within the Proctors' Office will investigate the Report. If formal proceedings are appropriate following the investigation, a Proctor may offer the student a choice of the matter being determined by themselves or by the **"Student Disciplinary Panel"**, and the matter will only be determined by a Proctor if the student consents. In serious cases, a determination by a Proctor will not be offered and any Referral will be to the Student Disciplinary Panel.
- 1.10 Upon a Referral being made to a Proctor for determination, or the Student Disciplinary Panel, a student may formally admit the alleged breaches described in the Referral and accept the Proctor's proposed penalty without a hearing (with the exception of the most serious penalties, see 5.43). The Referral will otherwise proceed to a determination.

- 1.11 A Proctor's Determination is referred to as a "**PD**" and the Student Disciplinary Panel is referred to as an "**SDP**". If a student is unhappy with the decision of a PD or an SDP, the student may "**appeal**" to the Student Appeal Panel on certain specified grounds. The Student Appeal Panel is referred to as the "**SAP**".
- 1.12 Information, advice and support for students is available from the following sources, and all those involved in this procedure shall where appropriate direct students including Subjects to services and information such as:
- [Student Welfare and Support Services](#);
  - [Oxford SU advice service](#);
  - The college welfare team, for students who are members of a college; and,
  - the Oxford University Student Conduct [webpage](#).
- 1.13 Additionally, any questions about any aspect of this procedure may be directed to the Proctors' Office using the email address [casework@proctors.ox.ac.uk](mailto:casework@proctors.ox.ac.uk).
- 1.14 The following policies and procedures may be relevant either before, during or after this procedure is used:
- Complaints about supervision, teaching or other University services should be pursued under the [University Student Complaints Procedure](#), which may include certain complaints about the handling of cases under this procedure;
  - The [Academic Appeals Procedure](#) in the event that a student wishes to pursue an appeal against an academic decision of an academic body, for example, the Board or Examiners.
  - Fitness to Practise procedures for [Medical Students](#) and Fitness to Teach procedures for [PGCE Students](#); and,
  - If a Proctor, the SDP or SAP in the course of this procedure have reasonable grounds for believing that a Subject is suffering from a serious problem arising from ill health which impedes or is likely to impede their ability to have their conduct fairly considered under this procedure, they shall refer the student under the University's [Fitness to Study procedures](#).
- 1.15 This procedure is formally made under section [8] of Statute XI of the University's statutes. Its status is that of guidance. That means that the University must follow all the provisions of this guidance unless there is a good reason in a particular case not to do so.

## 2. Required standards of behaviour

- 2.1 The University's Code of Discipline sets out the required standards of academic conduct for the purposes of this procedure.

### The Code of Discipline

- 2.2 Students are required to comply with the University's Code of Discipline, which provides as follows (sections [3(1) and 3(2)] of Statute XI):

- (1) *Members of the University and student members shall:*
  - (a) *comply with all requirements, orders and duties imposed upon them by a statute or regulation of the University, or any rules, procedures or policies made thereunder;*
  - (b) *comply with any reasonable instruction given by an officer or an employee or agent of the University or of any college or any person authorised to act on their behalf;*
  - ...
- (2) *No member of the University shall*
  - ...
  - (h) *engage in any academic misconduct; ..."*

- 2.3 The Code of Discipline defines "academic misconduct" as follows (section 3(5) of Statute XI):

*"(5) A student member commits 'academic misconduct' if they fail to comply with the following requirements as regards a candidate for examination:*

- (a) *No candidate shall cheat or act dishonestly, or attempt to do so, in any way, whether before, during or after an examination, so as to obtain or seek to obtain an unfair advantage in an examination. Examples include unauthorised use of artificial intelligence;*
- (b) *Candidates shall submit their own work for examination. No candidate shall plagiarise by presenting work from another source as their own, or by incorporating work or ideas from another source into their own work without full acknowledgement. Examples of this practice include: verbatim quotation, cutting and pasting from the internet, and paraphrasing without clear acknowledgement; collusion; misleading citation; failure to acknowledge assistance; and unacknowledged use of material written by professional agencies or other persons, or material generated by artificial intelligence;*
- (c) *Unless specifically permitted by the Special Subject Regulations for the examination concerned, no candidate shall commit autoplagiarism, ie submit to the examiners any work which they have previously submitted partially or in full for examination at this University or elsewhere. Work published previously in a*

peer-reviewed journal or similar may be cited, provided the candidate references it clearly and ensures that any wording, ideas or other material copied, paraphrased or drawn from it is made clear in the work being examined. However, where that publication includes material already submitted for examination, use of that previously examined material will constitute auto-plagiarism;

- (d) No candidate shall take, or attempt to take, into an examination any unauthorised material (including revision notes), item or device, nor use or attempt to use such material, item or device; and,
- (e) No candidate shall copy from the script of another candidate or in any other way dishonestly receive help from another person in an examination.
- (f) No candidate may communicate with any person other than an invigilator during an examination.
- (g) No candidate may leave or re-enter an “**examination room**” unless permitted by an invigilator.
- (h) No candidate shall enter an examination room more than thirty minutes after an examination has started except with the permission of the Proctors or an invigilator;
- (i) No candidate shall, unless permitted by the Proctors or an invigilator, leave an examination room within thirty minutes of the beginning of an examination; or within thirty minutes of the time at which it is due to end;
- (j) No candidates may use paper in an in-person examination except that which is provided for them; and
- (k) Candidates must hand back to an invigilator all the paper provided for writing their answers, including paper used for rough drafts and paper which has not been used. No paper may be removed from the examination room other than the question-paper for the examination that has just been completed.

### *Guidance on plagiarism*

2.4 The following guidance applies in alleged plagiarism cases. The University’s expanded definition of plagiarism is as follows:

“**Plagiarism** is presenting work or ideas from another source as your own, with or without consent of the original author, by incorporating it into your work without full acknowledgement. All published and unpublished material, whether in manuscript, printed or electronic form, is covered under this definition, as is the use of material generated wholly or in part through use of artificial intelligence (save when use of AI for assessment has received prior authorisation e.g. as a reasonable adjustment for a student’s disability). Plagiarism can also include re-using your own work without citation. Under the regulations for examinations, intentional or reckless plagiarism is a disciplinary offence.”

- 2.5 The following are specific forms of plagiarism which constitute academic misconduct.
- 2.6 **Autoplagiarism or self-plagiarism** is the use of one's own work in summative assessment that has been used towards other summative assessment. Unless specifically allowed in special regulations work that has previously (or simultaneously) been submitted for examination at this University or elsewhere should not be submitted for assessment again (with the exception of reworked resubmissions of failed papers where allowed). Even where acknowledged, any passages which re-use one's own assessed work will be disregarded by examiners, and therefore may lead to reduced marks or failure of the assessment.
- 2.7 **Collusion** is collaboration with someone else on an assessment which is intended to be wholly one's own work, or the act of assisting someone else to commit plagiarism.
- 2.8 **'Contract cheating'** is where a student submits work to a higher education provider for assessment, where they have used one or more of a range of services provided by a third party, and such input is not permitted. The contract with the student can include payment or other favours, but this is not always the case. **'Services'** may include essays or other types of assignments, conducting research, impersonation in exams and other forms of unfair assistance for completing assessed work. **'Third parties'** include web-based companies or auction sites (essay mills), sharing websites (including essay banks), or an individual such as a lecturer, colleague, friend or relative. **'Input'** means that the third party makes a contribution to the work of the student, such that there is reasonable doubt as to whose work the assessment represents.
- 2.9 **Unauthorised use of artificial intelligence** is the presentation of work produced wholly, or in part, by AI as one's own. This could include the use of material produced by translation software, paraphrasing tools, text generation software such as essay bots, and/or tools to generate graphics, artwork, code or any other material. Use of AI in the process of preparing work for summative assessment without authorisation is still academic misconduct, even if the student amends the AI output.

*The relevance of a person's state of mind*

- 2.10 A person's state of mind when committing academic misconduct is a factor which may be taken into account. At each stage of the disciplinary process, the decision-maker in question should form a view based on the evidence available to them as to what the person's state of mind was when the conduct in question was committed.
- 2.11 A student committing academic misconduct may have secured or attempted to secure an academic advantage. Therefore, their state of mind may be less likely to be relevant than (for example) cases of misconduct dealt with by the Non-Academic Disciplinary Procedure. In particular, a lack of intent to deceive should not be considered a mitigating factor as students are expected to follow the guidance available to them. Further, being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for misconduct. However:

- 1 evidence of a deliberate intent to deceive may be considered as an aggravating factor when determining the appropriate penalty from the range available; and,
- 2 in any case in which a student's "**capacity**" for rational judgement has been impaired, a decision-maker may decide that: (a) the student should be permitted to submit a replacement submission in place of the work originally submitted; or (b) that the original attempt at an examination is void and the student be authorised to take the examination at another time and place as a first attempt.

### *The Code of Discipline and this procedure*

2.12 A breach of the Code of Discipline (to be addressed under the [Non-Academic Disciplinary Procedure](#)) may be found where:

- 1 there is non-compliance with a requirement of this procedure, and in particular, a failure to comply with the requirements relating to the confidentiality of this procedure;
- 2 there is any non-compliance with any penalty or measure imposed under this procedure;
- 3 a student is being disruptive in any hearing before the SDP or SAP or in relation to any investigation under this procedure.

## **3. General principles and practical considerations**

- 3.1 In applying and making decisions under this procedure, the University (including the Proctors, SDP and SAP) will in each case have regard to the "**Core Principle**" of this procedure. The Core Principle of this procedure is to deal with concerns, Reports, and Referrals fairly and justly. This includes, so far as practicable: (a) dealing with matters expeditiously; (b) avoiding unnecessary formality; and (c) dealing with cases in ways which are proportionate to the complexity and seriousness of the matter.
- 3.2 Further, where appropriate, the University will apply its procedures flexibly and in accordance with the Core Principle in circumstances in which there are or may be overlapping procedures which apply to the issue in question. In particular, in circumstances in which a person is alleged to have committed both academic misconduct and non-academic misconduct, the University will adopt a flexible approach, adopting the appropriate parts of this procedure and [Non-Academic Disciplinary Procedure](#) as necessary.
- 3.3 The University's aim is to conclude its consideration of any Report under these procedures within 90 calendar days of the receipt of the Report. Generally, an investigation and PD/SDP hearing should conclude within 70 calendar days, and any appeal to the SAP should be concluded within a further 20 calendar days. However, this timescale may not be met in certain cases, such as those which are complex, due to the unavailability of participants, or for other reasons.



- 3.4 Throughout any potential disciplinary matter the Subject must be updated on progress relating to any concern or Referral on a regular basis by the relevant person dealing with the matter, including by setting out realistic estimates for the time that the next step in the procedure will take.
- 3.5 “**Time limits**” should be met by all parties. The University may only extend time limits where it is necessary to do so in order to ensure a fair outcome. It will usually be necessary to  
  
extend time limits for complex cases and/or where external specialists are required.
- 3.6 Any aspect of this procedure may be modified where this is necessary to comply with a legal obligation, including the University’s duty to make reasonable adjustments for disabled persons. Reasonable adjustments may include extensions to time limits or changes to the procedure.
- 3.7 Meetings and hearings may take place via video link (wholly or partly) where this is reasonably necessary, including to avoid undue delay, or because of the location of the individuals involved. Documents provided or considered under this procedure may be provided electronically or in paper form as appropriate, taking into account the preferences of the people involved.
- 3.8 If a Subject completes their course or withdraws from the University during the procedure outlined in this document, a Proctor, the SDP and the SAP have discretion as to whether to continue the procedure, having regard the extent to which the Subject will cooperate (and can be compelled to cooperate) with the procedure, the risk of harm to the University and others, and the available penalties. In such circumstances, the University may: (a) put a Subject’s graduation ceremony on hold pending the outcome of this procedure; (b) refer to the fact that there is an open and unresolved matter in any reference supplied in respect of the Subject; and/or (c) re-open the matter if the Subject subsequently applies to study at the University.
- 3.9 No member of University staff involved in this procedure should have any conflict of interest in the matter, and they should not act if there is any reasonable perception that they are biased. If all of the Proctors and/or the SDP and/or the SAP are unable to act, the Pro-Vice-Chancellor (Education) will appoint (an) appropriate substitute(s).
- 3.10 Records will be kept at all stages of the process in accordance with University policy (see further the University’s [Student Privacy Policy](#) and the [Student Record Retention Policy](#)).

#### 4. Initial Consideration

- 4.1 The University takes any concern about student misconduct seriously and support is available for any student or member of staff raising such issues. The University draws a distinction between a “concern” about poor academic practice and a ‘formal report’ where academic misconduct is suspected:



- 1 A formal report or “**Report**” is a written request to the Proctors’ Office to investigate a matter under these disciplinary procedures, and the person making the Report is a “**Reporter**”.
  - 2 A “**concern**” occurs when a person describes an incident of potential academic misconduct by means other than a Report. This normally occurs when a marker brings a matter to the attention of a Board of Examiners or other senior person.
- 4.2 Concerns are discussed in this part 4. The process for making a Report is discussed in part 5.
- 4.3 For straightforward, minor concerns it may be possible for the matter to be resolved by the Board of Examiners, or by the student’s Department, through the student’s Director of Graduate Studies. This should be attempted where possible and appropriate records kept of the matter.

*Roles in considering concerns relating to Examinations*

- 4.4 Boards of Examiners have a key role in ensuring that examiners are aware of how issues of potential poor academic practice or plagiarism might be present in examined work and what they need to do if they have concerns during the marking process. A Chair of Examiners (a “**Chair**”) is normally responsible for receiving concerns, undertaking an academic analysis of the work and assessing the level and nature of the concerns. If the Chair refers a matter to the Proctors’ Office, they will need to provide a detailed report of their analysis and the sources for potentially plagiarised materials.
- 4.5 The Proctors’ Office and Proctors are responsible for considering the information provided by the Chair and determining whether the information discloses an apparent case of plagiarism, conducting an investigation and then determining an appropriate outcome, including making a referral to the Student Disciplinary Panel where appropriate.

*Chair decides whether poor academic practice or case requires reference to Proctors*

- 4.6 The Chair will compile and retain any evidence and decide whether or not the case is one which may be dealt with by the Examination Board (if poor academic practice) or it requires reference to the Proctors. This should be done as soon as possible after the concern is raised and should not be delayed until a meeting of the Board of Examiners. The Chair may consult the Proctors’ Office for advice in cases where they are uncertain.
- 4.7 When a concern has been raised, the Chair should examine the relevant source(s) referred to; or in the case of suspected collusion or copying between students, examine all pieces of work giving rise to concern.
- 4.8 When considering the characteristics of the passages which have given rise to concerns relating to plagiarism the following table should be used to help determine whether the case should be dealt with by the Board as poor academic practice or referred to the Proctors for investigation:

Poor academic practice	Reference to Proctors
Material under review must be a small proportion of the whole script or submission (as a guide will not exceed 10%)	Extent of the material under review is a more substantial proportion of the whole (as a guide this will normally exceed 10%).
Material is widely available factual information or technical description that could not be paraphrased easily.	Material contains passages of analysis or research data that is clearly the intellectual property of the original author.
Passage(s) draws on a variety of sources, either verbatim or derivative, in patchwork fashion. Likely to indicate poor English/poor understanding rather than an attempt to deceive.	Passage(s) exhibits heavy reliance on one source which may indicate plagiarism of ideas/arguments.
Some attempt made to provide references, however incomplete (e.g. footnotes but no quotation marks, Harvard-style references at the end of a paragraph, inclusion in bibliography).	Evidence that student has copied the development of an argument (which may not be verbatim quotation - it could involve paraphrasing a line of argument or sequence of points).
Passage is 'grey literature', i.e. a web source with no clear owner	Evidence of copying or collusion between students.
Student not known to have previously received a marks deduction for poor academic practice or been referred to the Proctors for suspected plagiarism (only relevant for Honour Schools examined in Parts, or Master's courses with multiple submission deadlines).	Student has previously received a marks deduction for poor academic practice or has been referred to the Proctors for suspected plagiarism in the same or earlier programme of study.
	The submission clearly infringes rules on submission deadlines resubmitting material (auto-plagiarism) for examination.

- 4.9 If the Chair's decision is that the case exceeds the criteria for being dealt with by the Board as poor academic practice, the case must be referred to the Proctors' Office in accordance with the procedure set out below.
- 4.10 Where the Chair finds that the matter can be dealt with by the Board, assessors will mark the work on its academic merits. The Board will then deduct marks for derivative or poorly

referenced work according to a pre-determined scale set out in the marking conventions. Boards are free to operate marks deductions of between 1 and 10% (maximum) of the marks available for that particular piece of work or exam script. Boards should record a reason for their decision to impose a particular penalty.

- 4.11 Where the consequence of the marks deduction would result in failure of the assessment and of the programme (i.e. failure at the second attempt) then this failing mark should be treated as any case of poor quality work. The student can, however, submit an academic appeal under the University's Academic Appeal Procedure, which is referenced above.
- 4.12 For their academic development, students should be informed that marks have been deducted for poor academic practice and an explanation should be given of where and how in their work this was evidenced.
- 4.13 Feedback should be provided via the exams administrator to the student. Students should also be reminded of the disciplinary regulations concerning academic misconduct, and may be advised to take (or re-take) the Plagiarism Awareness online course.
- 4.14 If plagiarism is suspected in a PGR thesis, the matter will be referred to the relevant Director of Graduate Studies (DGS). They will thoroughly investigate the claim and may call the student for interview. As part of the investigation, plagiarism detection software and University endorsed AI detection tools may be used to scan the thesis, but the thesis will not be saved to any plagiarism software databases. If at this point there is no evidence of a breach of the regulations, no further disciplinary action will be taken although the candidate still may be required to make changes to the thesis. However, if it is concluded that a breach of the regulations may have occurred, the DGS will refer the matter to the Proctors.
- 4.15 Concerns will generally be kept confidential except where: (a) the University assesses that the welfare of any person requires that a disclosure cannot be kept in confidence (eg there are welfare concerns that indicate a 'Risk of Serious Harm' in accordance with the University's [Confidentiality Guidance](#)); and/or (b) the disclosure relates to a medical student or a PGCE student and there are Fitness to Teach / Fitness to Practise implications.

## **5. First Stage: Report and Formal Consideration by a Proctor**

- 5.1 The formal consideration of a matter normally commences upon a Report being made to the Proctors' Office. This part has the following sections:
  - 1 Reports;
  - 2 Whether conduct occurs in a 'University Context';
  - 3 Time limits;
  - 4 Precautionary measures;

- 5 Criminal conduct;
- 6 Investigation by the Proctors' Office; and,
- 7 Proctor's Decision and Agreed Determinations.

*(1) Reports*

- 5.2 A 'Report' should be made by submitting a Report Form ([available here](#)) to the Proctors' Office ([casework@proctors.ox.ac.uk](mailto:casework@proctors.ox.ac.uk)). Exceptionally, the Proctors' Office may consider a Report that is made in another format where it is fair to do so. The Proctors' Office will confirm receipt of the Report Form within 2 working days.
- 5.3 The Reporter should submit the Report Form as soon as possible. The Proctor's Office may decline to investigate a matter if it occurred more than six months ago. All Reports will be dealt with promptly. The Report should set out any time-critical factors, including in relation to the Subject's academic progress.
- 5.4 A Report of alleged academic misconduct will normally be prepared by the Chair of the Exam Board, and submitted securely to the Proctors' Office. The Report should include all relevant documents and information, including:
  - 1 a statement of the case for the Proctors including the Turnitin reports (for online exams, the Turnitin reports for all answers in the exam script), relevant sources with an analysis of the extent and seriousness of the issue;
  - 2 a marked-up copy of the assignment or assignments, or exam responses, to show the principal passages of concern;
  - 3 a clean copy of the assignment or assignments;
  - 4 a copy of the declaration of authorship as signed by the student;
  - 5 the course handbook and examination conventions;
  - 6 instructions for the assignment or exam paper;
  - 7 any evidence of previous discussions about poor academic practice or plagiarism with the candidate; and,
  - 8 in cases of students suspected of colluding or copying from each other, the Chair should examine the work of all the students involved, so that the nature of the apparent collusion can be established. In cases where Turnitin reports show exam responses matching to other candidate's exam responses in that or previous examinations, Chairs should provide details of the other candidate.
- 5.5 If a full Report is not provided, it will be returned to the Chair for any additional materials to be collated or for more information before the case is considered.

- 5.6 A Report should be dealt with confidentially by all parties involved. As a general principle, details should not be revealed to third parties by the University unless there is a good reason to do so, including:
- 1 where this is necessary to carry out a fair investigation;
  - 2 to effect a precautionary measure or the outcome of a Referral;
  - 3 to protect members of the University community;
  - 4 for the purpose of taking legal or other specialist advice or to notify insurers;
  - 5 to comply with the University's legal obligations (including in relation to any referral to the Office of the Independent Adjudicator);
  - 6 where the University assesses that the welfare of any person requires that a disclosure cannot be kept in confidence (e.g. there are welfare concerns that indicate a 'Risk of Serious Harm' in accordance with the University's [Confidentiality Guidance](#)); and/or
  - 7 the disclosure concerns a medical student or a PGCE student and there are Fitness to Teach / Fitness to Practise implications arising from the disclosure.
- 5.7 The Subject's "**college**" will be informed that a Report has been made against them and a summary of the allegations will be provided. If appropriate, the same information may be provided to the Subject's Department (in cases where the Department is not the Reporter).
- 5.8 Academic concerns relating to college work, including college collections, should be raised and dealt with by the college.
- 5.9 Where a Report is made by third parties, staff members or anonymously:
- 1 The Proctors' Office may accept Reports made by third parties where there are good reasons to do so; and,
  - 2 Anonymous Reports will only be considered under this procedure in exceptional circumstances where there are compelling reasons to do so. While some investigation may be possible in certain cases, it will usually be very difficult to proceed with disciplinary action because of the need to allow the Subject to respond to the Report.
- 5.10 Reports about medical students and PGCE students may be subject to preliminary consideration by the relevant Department under Fitness to Practise / Fitness to Teach procedures (whether or not a formal referral is made by the Department, and before the outcome of this procedure being finalised). The Department may impose precautionary measures pending the outcome of an investigation.
- 5.11 As soon as possible after a Report is made, the Proctors' Office will write to the Subject:

- 1 explaining that the Report has been made and providing a copy or summary of the Report;
- 2 explaining that the matter will be considered under this procedure and providing a link to it;
- 3 emphasising the need for confidentiality, and specifying who may be spoken to about the Report. This is likely to include:
  - a) any person providing professional support,
  - b) the person's immediate family and/or a close friend in confidence;
- 4 asking who they intend to name as witnesses where relevant. The Proctors' Office will emphasise that any conversations between the Subject and potential witnesses should only be for the purpose of discussing the potential witnesses' involvement and should be careful not to appear to amount to collusion (or fabricating an untrue account). This means that Subjects may discuss what the witness might say and provide them with any necessary background for the questions asked but should not attempt to influence their account in any way. The investigator will gather evidence during the course of the investigation and the Subject does not need to provide this unless requested. All witnesses must be reminded of the confidentiality of this procedure and shown a copy of it. A failure to comply with the requirements relating to confidentiality is likely to be treated seriously and as a breach of the Code of Discipline under the Non-Academic Disciplinary Procedure;
- 5 explaining the support which the University and others will provide, including how adjustments could be made in respect of ongoing academic work where appropriate.

*(2) Whether conduct occurs in a 'University Context'*

- 5.12 In almost all cases of alleged academic misconduct it will be obvious that the alleged misconduct occurred in a 'University Context' because it will relate to summative assessed work. However, in the event of an unclear case, the guidance regarding 'University Context' can be found in the Non-Academic Disciplinary Procedure.

*(3) Time limits*

- 5.13 The University will generally only take action in respect of a breach of the Code of Discipline in circumstances where the conduct complained of occurred within a six-month period before the date of the Report to the Proctors' Office. Where the conduct complained of is a course of conduct or an ongoing act/omission, the question is whether the last relevant act occurred within that six-month period.
- 5.14 However, the University will take action in respect of a Report even if the Report is not made within that six-month period if there are good reasons for the delay in the Report being made or there is a strong interest in the investigation proceeding regardless of the

delay in the Report being made. It is a matter for the discretion of a Caseworker to decide whether there are such good reasons in any given case.

- 5.15 There will be a strong interest in the investigation proceeding even if there is no good reason for the delay in the Report being made where, for example, the nature and details of the alleged breach of the Code of Discipline suggest that e.g. significantly plagiarised material would otherwise have to be accepted by a Board, impacting the integrity of the award for what has to be the candidate's own work.

*(4) Precautionary measures and Criminal conduct*

- 5.16 In the unlikely event a case of academic misconduct requires the consideration or implementation of a precautionary measure, the process set out in the Non-Academic Disciplinary Procedure will apply.
- 5.17 In the unlikely event a case of academic misconduct also involves an allegation of criminal conduct, the University's provisions in respect of allegations of criminal conduct in the Non-Academic Disciplinary Procedure will apply.

*(5) Initial Consideration*

- 5.18 Upon receipt of a Report, a Proctors' Office Caseworker will decide whether or not to investigate. The Caseworker will make preliminary enquiries to determine whether:
- 1 no academic misconduct has occurred and (where appropriate) the work should be referred back as poor academic practice, or to be marked in the normal way; or
  - 2 there is an apparent case of academic misconduct.
- 5.19 If the Caseworker decides to proceed, they will usually contact the Subject in writing and send an interview form, which: (a) identifies the part/s of the Code of Discipline the Subject is alleged to have breached; (b) explains what, factually, the Subject is alleged to have done (i.e. what alleged conduct will be investigated) which may entail that breach of the Code of Discipline; and (c) gives them an opportunity to respond. The Caseworker will also inform the Subject's college and will inform the Department where appropriate.
- 5.20 Concerns that relate to college matters, for example, college collections, should be raised with the student's college. The University will not consider allegations relating to college work. Matters relating to University examinations, including work that is formally submitted for assessment, will be matters for the University. The colleges and University are separate entities and have separate codes of discipline and separate contractual and non-contractual relationships with students. The body the issues are raised with will therefore decide whether or not to proceed to take action under its own procedures. If the other entity is better placed to carry out an investigation, then, where this is agreed between the Proctors' Office and the college, a matter may be referred by the University to a college or by a college to the University. In circumstances in which a Report is made to both the University and a college, the Proctors' Office and the college will decide how to proceed.



- 5.21 The Proctors' Office will not usually investigate a Report where the student has left the University. However, the University retains the discretion to investigate where significant concerns about the integrity of a student's academic award come to light after a student has graduated and which, if determined, may lead to a former student being deprived of their degree.
- 5.22 The Subject will usually be given an opportunity to accept the breaches and receive a clear explanation of the implications of acceptance. That opportunity and explanation should normally be given before the investigation begins, or if that is not appropriate, as soon as possible after the start of the investigation. The Caseworker may if appropriate indicate a proposed penalty, which must be approved by a Proctor, in respect of such alleged conduct.
- 5.23 A Subject may accept both the breaches and the proposed penalty, or accept only the breaches. If the Subject accepts only the breaches, the Caseworker will consider the extent to which the matter requires investigation for the purpose of establishing the appropriate penalty, and once any investigation has taken place, may refer the matter for a PD or to the SDP for consideration of the appropriate penalty. If the Subject accepts both the alleged breaches and proposed penalty, an Agreed Determination may be made at this stage (see paragraph 5.43 below) without a full investigation taking place. The penalties available under an Agreed Determination do not include the Subject being "**expelled**", suspended from the University for a year or more, or deprived of their degree.

*(6) Investigation by the Proctors' Office*

- 5.24 The investigation of the Report will be carried out by a Caseworker or an appointed external investigator. That person will be referred to as the investigator. The investigator will, where appropriate, have relevant qualifications, experience and training for the type of investigation allocated.
- 5.25 The investigation will be carried out as quickly as reasonably possible. The investigator should conduct the investigation in accordance with the general principles set out in part 3 including the 'Core Principle', which includes dealing with Reports fairly and justly (which includes so far as practicable: (a) dealing with matters expeditiously; (b) avoiding unnecessary formality; (c) dealing with cases in ways which are proportionate to the complexity and seriousness of the matter). The cases to be investigated will be very diverse and will include minor matters which can appropriately be dealt with quickly and more informally and much more serious, complex cases which require a much more detailed investigation.
- 5.26 The investigator may take any step to investigate and to assemble relevant evidence. A Proctor and any person designated by a Proctor (which includes all investigators) has the power to summon any member of the University to assist an investigator in their investigation (section 12 of Statute XI). A Subject will usually be asked to respond to the allegations by correspondence, using the interview form described above, rather than by attending an interview.

- 5.27 Where an in-person interview is conducted, the Subject will (except in urgent cases) be given at least two working days' notice of the time and date of the meeting. Written notes will be taken during interviews with any witnesses. The person interviewed will be sent a copy of the notes and will be invited to agree them or to provide comments if they are not agreed.
- 5.28 Before interviewing a Subject the investigator will explain that the Subject does not have to answer any questions, but that any responses or documents provided may be used by the Proctor in evidence against the Subject; and if the Subject refuses to answer questions this may be taken into account at a subsequent disciplinary hearing into disciplinary allegations.
- 5.29 The explanation set out in the previous paragraph should also be provided to any person who, in the investigator's opinion, appears likely to have committed a breach of the Code of Discipline, whether as a result of matters disclosed during the interview or otherwise.
- 5.30 Anyone being interviewed under this procedure may be accompanied for support by another person who is a student, a member of the University or a college, or who is Oxford University Student Union staff, but two working days' notice should be given to the Proctors' Office in advance of such a person attending an interview.
- 5.31 Upon the completion of the investigation, the investigator will present the matter to a Proctor for a PD, or a decision to refer the matter to an SDP.
- 5.32 The investigator will provide the Proctor with a written account of the investigation which, depending on the nature of the case, may be in the form of short case summary (one or two pages long) or a more detailed investigation report (that written account is referred to in this procedure as the **"Investigation Report"**). The Investigation Report will:
- 1 Set out the details of the Report and matters investigated;
  - 2 Summarise the evidence gathered, append all copies of the relevant evidence (including notes of interviews, the student's completed interview form, and any documents), and set out the steps taken by the investigator in the investigation;
  - 3 Provide an analysis of whether there is a case to answer in respect of a breach of the Code of Discipline in the light of the available evidence;
  - 4 Provide an analysis of the potentially appropriate range of penalties which might be issued if a PD or the SDP upheld the allegations in respect of which there is a case to answer; and,
  - 5 Be in a form that is self-contained and may serve as the explanation of the case which the Subject has to address at any PD or SDP hearing.

*(7) Proctor's decision*

- 5.33 The Proctor will review the Investigation Report and decide whether there are reasonable grounds for believing that the Code of Discipline has been breached, and whether it is fair, just and reasonable to proceed with disciplinary action by offering the Subject a PD, or

referring the matter to the SDP. This includes considering whether a referral to a Fitness to Study process is more appropriate if they have reasonable grounds for believing that a Subject is suffering from a serious problem arising from ill health which impedes or is likely to impede their ability to have their conduct fairly considered under this procedure (noting that that Fitness to Study process can also lead to a student being suspended or expelled if they are found not to be fit to study). The University will also consider whether any reasonable adjustments are required if the disciplinary action is related to a Subject's disability.

5.34 The Proctor's decision will be one of the following two options:

- 1 The Report is to be referred for a determination under a PD or by the SDP; or,
- 2 No further action will be taken by the Proctors. In such a case, work may be referred back to a Chair to be dealt with as poor academic practice or for marking in the normal way.

5.35 The Proctor will communicate the decision in a "**Referral Decision Letter**". A Referral Decision Letter will set out the decision, include brief reasons and sources of support and advice and will emphasise that the decision is confidential. The Proctor will also communicate the decision to the Subject's college and where appropriate the Subject's Department. Further details of the contents of the Referral Decision Letter are described below.

5.36 If the Report is to be referred for a PD or to the SDP, the Referral Decision Letter to the Subject will explain what, in the Proctor's view, is the appropriate penalty for the conduct identified by the investigation to date. The Referral Decision Letter will also identify which group of indicative penalties set out in Appendix A the Proctor believes the conduct identified by the Referral Decision Letter should attract. This information will not be shared with the SDP. 5.37 The category of penalty identified in the Referral Decision Letter will determine whether the Subject is offered the choice of having the matter dealt with by way of a PD (where the same Proctor will determine the case). In general terms, cases in which a more severe penalty may be imposed will only be heard by the SDP, but where a less severe penalty may be imposed the Subject will be offered the choice of instead having the matter heard by a PD. Specifically:

- 1 A PD will be offered in a Referral Decision Letter where the Referral Decision Letter identifies the appropriate penalty as being one falling into Category 1 or Category 2 of the penalties described in Appendix A to this procedure;
- 2 A PD will not be offered in a Referral Decision Letter, and the Referral will be heard by the SDP, in cases where the Referral Decision Letter identifies the appropriate penalty as being one falling into Category 3 or Category 4 of the penalties described in Appendix A.

5.38 Where there are concerns in respect of academic misconduct affecting a re-submission and the appropriate penalty would fall into Category 1 or Category 2, a Proctor may require additional work to be submitted, or approve exceptional additional attempts. Such

cases will not therefore result in automatic failure and do not necessarily require a Referral to the SDP (depending on the Subject's decision in respect of a PD).

5.39 If the Subject is offered a PD, the Subject must reply within one week to confirm whether they agree to the Referral being dealt with by way of a PD. The Subject must agree in writing. If the Subject does not provide that written agreement by the deadline the matter will be referred to the SDP.

5.40 The Referral Decision Letter will set out:

- 1 the acts or omissions which are alleged to constitute a breach of the Code of Discipline, including details of the dates on which the breaches occurred, and where relevant the time and/or place of such breach(es);
- 2 the provisions of the Code of Discipline which are alleged to have been breached as a result;
- 3 what, in the Proctor's view, is the appropriate penalty for the conduct identified by the investigation to date and the relevant group of indicative penalties (see Appendix A;
- 4 a link to this procedure and relevant sources of support;
- 5 an explanation of the powers of a Proctor at a PD including the penalties available and the right of appeal;
- 6 an explanation of the alternative procedures of referral to the SDP the penalties available, including information about the possibility of withdrawal of funding (see 6.31), and the right of appeal;
- 7 an offer of an 'Agreed Determination' (if available taking into account the relevant penalty that might be imposed; see below), and explain to the Subject what the Agreed Determination process entails and what its consequences are, including any impact on funding (which the Proctors' Office will confirm with Student Fees and Funding);
- 8 a copy of this procedure and a copy of the Investigation Report;
- 9 a copy of any evidence which the Proctor considers to be relevant to penalty only which may be submitted to the SDP or PD on the question of penalty in due course.

5.41 The Referral will be made within one week (unless there is a good reason for the Referral not to be made immediately) of the first of the following occurring:

- 1 The date of the Referral Decision Letter where the decision was to refer to the SDP; or
- 2 Where a Subject has been offered a choice of having the matter determined by the SDP or by a PD, within two days of the student providing consent in writing for a PD; or

3 Where a Subject has been offered a choice of having the matter heard by a PD but has not consented to a PD, within the one-week timeframe for doing so.

5.42 A Referral to the SDP will enclose the Investigation Report and any other relevant documents (e.g. subsequent correspondence), save where the Proctor and the Subject agree that a document or part of the Investigation Report is irrelevant and should not be provided. The Proctor's proposed penalty should not be included in the Referral. Any information relating to previous college or University disciplinary findings relating to the Subject should usually be redacted from or not included in the Referral documents on the basis that it may be prejudicial in relation to the question of whether the breach(es) alleged in the Referral is well-founded, but should be shared with the Subject in the Referral Decision letter. This information may be shared with the decision-maker for the purposes of a PD or SDP when considering the question of penalty. However, where such information demonstrates a propensity to particular conduct it may be included in the Referral on that basis.

#### *(8) Agreed Determinations*

5.43 The Subject may choose in response to the Referral Decision Letter to admit the facts and breach/es identified in the Report and accept the proposed penalty or penalties, in which case any Referral to a PD or the SDP will cease, and the penalty or penalties will take effect. This is an “**Agreed Determination**”. In such a case, the Proctors' Office will inform the Subject's college about the Agreed Determination and the associated penalty, and where appropriate the Subject's Department. The penalties available under an Agreed Determination do not include the Subject being expelled, suspended from the University, or deprived of their degree: a hearing before the SDP is always required to impose those penalties.

5.44 Following any Agreed Determination, the Proctor will send an “**Agreed Determination Letter**” to the Subject. The Proctor will emphasise that the decision is confidential.

5.45 The Agreed Determination Letter to the Subject will state:

- 1 the Subject's admitted breaches of the Code of Discipline;
- 2 the penalty, including any impact of funding; and
- 3 sources of support and advice, including in relation to any welfare matter or academic adjustments or mitigations that may be relevant.

## **6. Second Stage: The Determination**

### *Overview*

6.1 The determination of a disciplinary case will either be by a Proctor's Determination (“**PD**”) or by the Student Disciplinary Panel (“**SDP**”). A Subject has to agree to the matter

being heard by a PD, otherwise the matter is referred to the SDP. The process for a PD is explained below, before the process relating to the SDP.

#### *Proctors' Determination*

- 6.2 If a Referral is to be addressed through a PD, the Proctors' Office will ask the Subject to confirm, in writing, whether the alleged breach(es) of the Code of Discipline set out in the Referral Decision Letter are accepted or not and whether the Subject wishes to provide further evidence, or comment on any other evidence.
- 6.3 If the Subject accepts the breach(es), the Proctor's consideration will focus on the appropriate penalty, rather than addressing whether or not the breaches have occurred.
- 6.4 If the Subject does not accept they have committed the breach(es), the Proctor will first focus on addressing whether or not the breach(es) have occurred before moving to consider, if appropriate, any penalties.
- 6.5 The Proctor will communicate the decision in writing to the Subject as soon as possible and, in any event, within two weeks of the Referral. The Proctor will emphasise that the decision is confidential. The Proctors' Office will inform the Subject's college and where appropriate the Subject's Department of the decision and associated penalty.
- 6.6 The Proctor's decision will be set out in the **"Outcome Letter"**. The Outcome Letter will include brief reasons and will state:
  - 1 whether the Subject has been found to be in breach of the Code of Discipline, and, if so, the conduct that has been found to have breached identified provisions of the Code;
  - 2 where a breach has been found:
    - a) any penalty imposed, and the reasons why the lesser penalties available were not considered appropriate;
    - b) that the Subject has the right to seek to appeal the Proctor's decision and/or the penalty to the Student Appeal Panel and that this can be done by appealing within two weeks of the Proctor's written decision, and explaining the appropriate procedure for appealing;
    - c) the grounds on which an appeal may be made; and,
    - d) sources of support and advice, as appropriate.

#### *SDP: overview*

- 6.7 The Student Disciplinary Panel ("**SDP**") hearing is an 'inquisitorial' process. This means that the panel appointed to hear the Referral will lead the SDP hearing and decide the case on the basis of the Referral and any additional evidence presented at the hearing. The investigator (or a substitute) will be present at the SDP hearing to answer questions

put to them by the SDP, but their role will not be to present a 'case' on behalf of the University. The Proctor's position on the case will have been set out in the Referral Decision Letter and accompanying Investigation Report (on both the questions of whether the breach of the Code of Conduct was committed and on penalty). The SDP's role is to consider the Referral and reach a determination on the appropriate outcome, having heard the evidence and the Subject's comments on the Referral.

- 6.8 When the Referral to the SDP is made, the day-to-day handling of the matter will be transferred to the Secretary to the SDP (the "**SDP Secretary**"), who may be contacted at [sdp@admin.ox.ac.uk](mailto:sdp@admin.ox.ac.uk).
- 6.9 The SDP will be a panel comprising three members, who will choose a chair for the hearing in question. One of the members of the SDP appointed to hear a Referral may be an external barrister or solicitor, but in such a case that person will not chair the hearing. The SDP may also separately take legal advice at any time before, during, or after a hearing, and it may hear cases with a qualified solicitor or barrister in attendance to advise the SDP.

#### *SDP Hearing Preparation*

- 6.10 Upon receipt of the Referral, the SDP Secretary will as soon as reasonably practicable identify the individuals on the SDP pool who will be appointed. The SDP appointed will not include individuals from the Subject's college or Department will have a gender mix, except where this is impracticable (for example, in cases involving a large number of Subjects). The SDP Secretary will then write to the Subject identifying proposed members of the SDP who will hear the Referral, and provide an opportunity for the Subject to object to those individuals. The SDP Secretary will also request information from the Student Fees and Funding team about any funding received by the Subject.
- 6.11 Any objection will only result in the SDP member being replaced if there is a reasonable perception of bias (or potential bias) on their part, for example due to a preexisting relationship between the Subject and the SDP member. The Subject will be given one week to object. The Pro-Vice-Chancellor (Education) or their delegate will determine the objection. If it is upheld, the SDP Secretary will identify suitable alternative SDP Pool members to hear the Referral, subject to the process identified in this and the previous paragraph. Once this process is completed, the SDP Secretary will confirm to the Subject which individuals on the SDP Pool will hear the Referral.
- 6.12 Within three working days of confirming the identity of the Panel members, the SDP Secretary will send the Subject notice of the SDP proceedings. This notice will:
- 1 state that the matter has been referred to the SDP as a result of the Proctor's decision to make a Referral or because the Subject did not consent to a PD;
  - 2 give an explanation of the SDP process, including the right to bring a Supporter and the limited circumstances in which legal representation may be permitted (as set out below), and enclose a copy of this procedure;



- 3 note that the Subject should have already received the Referral Decision Letter attaching the Investigation Report and enclosures and setting out the provisions of the Code of Discipline alleged to have been breached and the factual basis for the same, but offering to resend this if necessary);
  - 4 explain that the Subject must provide the information listed at paragraph 6.18 within two weeks of the date of the notice or seek permission for an extension for the Chair to the SDP; and
  - 5 provide information on what will happen if the Subject chooses to admit the alleged breaches.
- 6.13 The SDP Secretary shall provide, or ensure that the relevant hearing paperwork has been provided to, the SDP members, the Subject and the investigator who will be attending the hearing and others attending the hearing to the extent that this is necessary and appropriate. Where new documents are added to the case the SDP Secretary will circulate these as soon as possible. The hearing paperwork will include:
- 1 the Referral;
  - 2 the Investigation Report and enclosures; and,
  - 3 any relevant correspondence, evidence or other material to be placed before the SDP.
- 6.14 It will be a matter for the Chair of the SDP to decide whether any witness is provided with a copy of (or any part of) the hearing bundle. That may be appropriate where, for example, a witness should be given prior notice of documents which they will be asked about by the SDP. This may include a copy of, or parts of, the Investigation Report, and may exclude information which is not relevant to the disputed facts and/or which is confidential to the Subject, such as mitigating factors.
- 6.15 The SDP Secretary will notify the Subject, any witnesses and the investigator of the time, date and venue of the hearing, with at least one week's notice. The hearing should be held as soon as practicable after the notice of the SDP proceedings is sent to the Subject (allowing for the other procedural steps that need to take place including the Subject providing the information described in paragraph 6.18 two weeks after receiving notice of the hearing). The Subject should contact the SDP Secretary with reasons as soon as possible if they are unavailable. The date and time of the venue will only be changed if the Subject is unable to attend due to circumstances which are not reasonably within their control.
- 6.16 Legal representation for a Subject at an SDP is generally not permitted except as a reasonable adjustment for a disabled person, where the penalty indicated by the Proctor in the Referral Decision Letter is a category 4 breach (see Appendix A), or where there is another very serious issue at stake for the Subject in question. Witnesses are not permitted legal representation at an SDP. A Subject wishing to have legal representation at an SDP hearing must ask the SDP for permission, and must do so well in advance of

the hearing (and in any event at least two weeks prior to the hearing). The Chair of the SDP will decide whether this request should be allowed.

- 6.17 A Subject is permitted to appoint a supporter (the “**Supporter**”) to attend an SDP hearing with them for moral support. With the Chair’s permission, and where there are good reasons to allow this, the Supporter can be involved in correspondence with the SDP Secretary prior to a hearing to assist a Subject. A Supporter cannot be a qualified barrister or solicitor or otherwise be acting as a legal representative. The Subject and Reporter should inform any Supporter of the confidentiality of this procedure and show them a copy of it.
- 6.18 Within two weeks after receipt of the notice of SDP proceedings (see paragraph 6.15) the Subject should:
- 1 send the SDP Secretary:
    - a) copies of all the evidence the Subject intends to rely on at the SDP hearing. Witnesses will normally have provided evidence during the course of the investigation, which is included in the Investigation Report. Where this was not the case the Subject should provide a written witness statement or statements at this stage setting out their witnesses’ evidence or a description of the evidence and an explanation of why a witness statement is not available, so that the SDP has notice of what each witness will say. It is very unlikely to be appropriate for any witness evidence to be anonymous, but this is a matter for the SDP to consider in each individual case and permission may be sought from the Chair to the SDP;
    - b) any written questions which the Subject would like to ask the SDP to put to a witness. This is because only the SDP may question witnesses, but a Subject may ask the SDP to put particular questions to a witness, and should normally do so in writing. If the Subject would like to make this request in a different format they should seek permission from the Chair to the SDP.
  - 2 inform the SDP Secretary whether anyone will be attending the hearing with the Subject and if so in what capacity (i.e. a Supporter or as a witness). Permission in advance is required to bring a lawyer to the hearing (see paragraph 6.16).
- 6.19 The Secretary to the SDP will share the information provided by the Subject in the previous paragraph with the Panel and the investigator.
- 6.20 Before the hearing the SDP Secretary should ask the investigator to send them any information relating to the Subject’s previous disciplinary record (including criminal offences) which was not included in the Referral on the basis that the Proctor considered it to be potentially prejudicial (see paragraph 5.42). The SDP Secretary shall hold this information for provision to the SDP when it considers any appropriate penalty (see paragraph 6.27 onwards).

- 6.21 Everyone involved in the SDP process is expected to prioritise hearings under this procedure over other commitments, save where there is a very good reason not to. This requirement applies to the Subject, the investigator, the witnesses, and the members of the SDP. The SDP may proceed with a hearing in the absence of the Subject unless the absence is due to circumstances not reasonably within the Subject's control. It should be exceptional for an SDP hearing to be rescheduled, or to decide to hear the case on separate occasions as a two-part hearing. The SDP will use its discretion to decide whether, in accordance with the Core Principle, it is appropriate to permit a person to attend the hearing remotely, or for the Referral to proceed without the presence of a particular witness.
- 6.22 The SDP will normally begin a hearing with an explanation of the process that will apply and by introducing each of the persons present. The Subject will then be invited to indicate whether they admit the alleged breaches (or any part of them). If the Subject admits the breaches in full, the SDP will focus on the question of penalty.
- 6.23 The SDP will consider the question of whether the Code of Discipline has been breached separately to any question of penalty.
- 6.24 The SDP hearing will be in an inquisitorial format, as set out above. It is likely that the order of events for the hearing will be:
- 1 to deal with any preliminary matters, including whether the breaches are admitted by the Subject and any matters that should be addressed prior to questions being asked of witnesses (e.g. a change in the Subject's position as compared to that set out in an interview);
  - 2 for the SDP to ask the witnesses to give evidence, one at a time;
  - 3 for the SDP to ask questions of the Subject and, if appropriate, the investigator;
  - 4 for the SDP to invite the Subject to put their case at the end of the hearing; and,
  - 5 for the SDP to make a decision (which may involve considering breach and penalty separately, as explained below).
- 6.25 It is very unlikely to be appropriate for any witness evidence to be anonymous, but it is a matter for the SDP to consider in each individual case. Only the SDP may question witnesses, but the SDP may ask questions on behalf of a Subject (paragraph 6.18 explains how a Subject may request this).
- 6.26 The SDP will ask everyone else to leave the room while they consider their decision. The SDP will then inform the parties whether or not they have found that there has been a breach of the Code of Discipline.

*SDP: The Penalty stage*

- 6.27 If the SDP finds that there has been a breach of the Code of Discipline they will then invite the Subject back into the hearing to consider the question of penalty.

- 6.28 At this penalty stage, the SDP will ask the SDP Secretary to share with the SDP details of any previous disciplinary record (including any criminal offences) relating to the Subject, which has been withheld during consideration of breach (see paragraphs 5.42 and 6.20 above).
- 6.29 The Subject may ask the SDP to hear from witnesses in relation to the penalty and make a statement in mitigation and the SDP may call further witnesses or ask the investigator back into the hearing to respond to questions. Mitigating factors could include whether:
- 1 the Subject admitted the breach, at an early stage of the process; and/or
  - 2 the Subject has compelling personal circumstances that should be taken into account, such as a disability, bereavement or particular financial circumstances.
- 6.30 The investigator will not be permitted to make submissions on penalty, and their role will be confined to answering any relevant questions. The SDP will then ask everyone else to leave the room again while they consider the appropriate penalty. The penalty or penalties imposed will be proportionate to the breach. The SDP will also take into account any mitigating and aggravating factors. The SDP will then inform the parties of the penalty or penalties. The following are examples of (but not an exhaustive list of) the penalties which the SDP can impose, separately or in any combination, for academic misconduct:
- 1 if practicable, to exclude from assessment any part of the work submitted that the examiners are satisfied is not the Subject's own work;
  - 2 impose one or more of the following penalties specifying the mark or class of degree, as applicable:
    - a) reduce a mark awarded to any piece of work;
    - b) award no mark to or disregard any piece of work;
    - c) substitute an alternative mark for any piece of work;
    - d) reduce by one or more classes any degree classification;
    - e) permit and direct the Subject to re-sit an examination or resubmit a piece of work on such conditions as it thinks fit;
    - f) award a pass degree instead of an honours degree;
    - g) fail the Subject in the examination or part of the examination concerned;
  - 3 a written warning;
  - 4 requiring the Subject to attend an education programme;
  - 5 payment of a fine to the University of such amount as the SDP thinks fit;
  - 6 issuing directions relating to the provision of references for the Subject;

- 7 suspension from the University (which usually also entails suspension from a Subject's college);
  - 8 a ban from access to alumni benefits;
  - 9 recommending to a Subject's college that the college should not grant approval should the Subject supplicate for the Degree of Master of Arts in accordance with the Regulations for the Degree of Master of Arts;
  - 10 asking Council to consider recommending expulsion from Ordinary or Convocation University membership (as defined in Statute II);
  - 11 recommending to Council that the Subject be deprived of the degree which the Subject was studying for at the time of the conduct in question; and/or,
  - 12 expulsion from the University (which usually also entails expulsion from a Subject's college).
- 6.31 A penalty of suspension may (depending on the terms of the funding) result in a student's funding being withdrawn. A penalty of expulsion will result in a student's funding being withdrawn. The SDP will take this into account when determining the appropriate penalty or penalties.
- 6.32 Even if the SDP finds that the Subject is not in breach of the Code of Discipline, if it believes that the Subject would benefit from support or training (for example, in relation to good academic practice), it may direct that the Subject attend such training.
- 6.33 The hearing will normally be audio-recorded and the SDP Secretary will keep a sufficient note of the hearing and of the SDP's decisions.

#### *SDP Written Decision*

- 6.34 The SDP Secretary will send the Subject and the Proctor the SDP's reasoned decision including their finding as to whether the Subject breached the Code of Discipline and details of any penalty, in an "Outcome Letter", as described in the following paragraphs. This will normally be sent within two weeks of the hearing. The SDP Secretary will emphasise that the outcome is confidential. The SDP Secretary will also inform the Subject's college about the decision and any penalty, and where appropriate, the Subject's Department.
- 6.35 The Outcome Letter to the Subject will include reasons and will state:
- 1 whether the Subject has been found to be in breach of the Code of Discipline, and, if so, which conduct has been found to have breached which provisions of the Code;
  - 2 where a breach has been found:
    - a) any penalty or penalties imposed, and the reasons why the lesser penalties available were not considered appropriate;
    - b) any impact on the Subject's funding in light of the penalties imposed;

- c) that the Subject has the right to seek to appeal the SDP's decision and/or the penalty or penalties to the SAP and that this can be done by appealing within two weeks of the SDP's written decision, and the appropriate procedure for appealing;
  - d) the grounds on which an appeal may be made; and
- 3 sources of support and advice, as appropriate.
- 6.36 The relevant decision-maker will also consider whether any referral is appropriate under University Fitness to Practise or Fitness to Teach procedures.
- 6.37 If the Subject does not appeal within the relevant time limit, the SDP Secretary will notify the Subject that the matter has been closed. If a Subject at this stage requests a Completion of Procedures Letter, any such letter will explain that the Subject has not completed the University's internal processes.

## 7. Third Stage: Appeals

### Overview

- 7.1 An appeal against a decision of a PD or the SDP (an "Appeal") must be made within two weeks of the date of Outcome Letter, unless the SAP decides to extend this period of time.
- 7.2 An Appeal must be made in writing to the Secretary to the SAP (the "**SAP Secretary**"), who is responsible for the day to day handling of the appeal and who may be contacted using the email address [sap@admin.ox.ac.uk](mailto:sap@admin.ox.ac.uk). An Appeal must set out the grounds for the appeal. If an Appeal is made after the two-week time limit, the Subject should explain why the Appeal has been made late and the SAP will consider whether it is fair and reasonable to allow an extension.
- 7.3 Upon receipt of an Appeal, the SAP Secretary will identify the individual in the "**SAP Pool**" who will be appointed to consider the Appeal. The SAP Secretary will then write to the Subject identifying the proposed member of the SAP who will consider the Appeal, and provide an opportunity for the Subject to object to the individual considering the Appeal.
- 7.4 Any such objection will only result in the SAP Pool member being replaced if there is a reasonable perception of bias, for example, due to a preexisting relationship between the Subject and the SAP Pool member. The Subject shall be given one week to object. The Pro-Vice-Chancellor (Education) or their delegate will determine the objection, and if upheld, will direct the SAP Secretary to identify a suitable alternative SAP Pool member to consider the Appeal, subject to the process identified in this paragraph and the previous paragraph. Upon this process being completed, the SAP Secretary will confirm to the Subject which individual in the SAP Pool will consider the Appeal.

### Appeals

7.5 An appeal against a decision of a PD or SDP may only be made on the following grounds:

- 1 there was a procedural irregularity in the procedure which undermines the fairness of the decision;
- 2 the Subject was not provided with clear reasons for the decision;
- 3 the decision was unreasonable (i.e. the Subject must explain why they consider the decision to be objectively outside the range of decisions which the PD or SDP was entitled to make, for example, because it was based on a material factual error, or because the impact on them was disproportionate to the breach);
- 4 the Subject has material evidence which the PD or SDP was not provided with, which the Subject has valid reasons for not having provided earlier.

7.6 The Subject may apply to the SAP to suspend part or all of the penalty imposed by the PD / SDP pending the outcome of the Appeal, and the SAP can do so either on such an application or on its own initiative.

7.7 On receipt of the appeal the SAP will review the papers. The SAP may ask written questions of the Subject, the investigator or any witness during their review. Any new information should be shared with the Subject who should be given an opportunity to comment on it.

#### *SAP Decision*

7.8 The SAP will determine Appeals as quickly as possible and will do so having regards to the circumstances of each case and the requirements of justice and fairness.

7.9 The SAP's decision may confirm or reject the PD / SDP's decision (including on any breach and/or penalty) or decide any other outcome which it would have been within the PD / SDP's power (as applicable) to decide.

7.10 The SAP's decision will usually be one of the following:

- 1 That the grounds of appeal are not upheld;
- 2 That one or more of the grounds of appeal is upheld or partly upheld but that that ground or grounds do not have a material impact on the PD or SDP's decision or can be easily remedied (for example by asking the SDP to provide further reasons); or
- 3 That one or more grounds of appeal is upheld or partly upheld and the SAP's view is that the PD / SDP may have reached a different conclusion on whether the Code of Discipline was breached or as to the appropriate penalty but for the position set out in the grounds of appeal. In this case the SAP will determine either:



- a) that they are able to substitute their view for that of the PD/SDP on the papers (for example by imposing a different penalty), in which case the SAP will proceed to issue a decision; or
- b) that the matter or parts of the matter can only fairly be considered by way of a re-hearing, that is, starting the hearing again from the beginning. In this case the SAP will then consider where there is good reason to believe that a reconsideration can successfully take place, having regard (for example) to the availability of witnesses and noting that a case cannot be re-heard more than once. If a re-hearing can fairly take place, the SAP will refer the matter back to the Proctors or the SDP which will be made up of members who have not previously considered the matter. If a re-hearing cannot fairly take place, the SAP must issue a written decision which takes into account the principle that any matters which need to be re-heard and cannot be, must be determined in the Subject's favour.

7.11 The SAP, having regard to the Core Principle, can also:

- 1 require a Proctor / the SDP to reconsider their decision in the light of the SAP's findings (which may be appropriate, for example, where the SAP decides that an alleged aggravating factor on penalty was in fact not an aggravating factor); and/or,
- 2 require that a fresh determination occur to deal with any outstanding matter, whether before a Proctor / the SDP or the SAP.

7.12 The SAP will produce a reasoned decision in writing which will be set out in the “**Appeal Outcome Letter**” within two weeks of receipt of the appeal if the SAP considers the case on the papers or within one week of the hearing. The SAP Secretary will send the Appeal Outcome Letter to the Subject, the Proctor and the SDP Secretary. The Appeal Outcome Letter will state:

- 1 whether each of the grounds of appeal have been upheld, partly upheld or not upheld; and
- 2 where the grounds of appeal have been upheld or not upheld the impact of this, if any, on the original decision, for example:
  - a) if the original decision is confirmed or rejected (wholly or in part);
  - b) whether the SAP has arrived at a different decision (whether in relation to breach or penalty or both); and/or
  - c) whether the SAP is going to require a re-hearing in relation to the whole or part of the case).

7.13 Where the SAP determines that part or all of the matter must be referred for a reconsideration by a PD or an SDP the procedure for that process will be as set out at parts 5 and 6 above. At the outcome of that reconsideration the Subject will have the

option of appealing under this part 7. However, a case cannot be reconsidered more than once.

7.14 The SAP Secretary will, at the same time as sending the SAP's reasoned decision, write to the Subject as follows:

- 1 to the extent that the Appeal was rejected in any respect, the letter will explain that it is a Completion of Procedures letter which marks the end of the University's procedures. It will explain that the Subject has the right to seek review by the Office for the Independent Adjudicator and set out the time limit for doing so;
- 2 to the extent that the Appeal was upheld in any respect, the letter may also offer a remedy where this is considered appropriate, including explaining if the University is going to take any other steps as a result of the appeal (for example, reviewing its procedures); and,
- 3 the letter will refer to sources of support and advice, as appropriate.

7.15 The SAP Secretary will inform the Subject's college and where appropriate the Subject's Department about the outcome of the Appeal and any penalty.

## 8. General provisions

### *The Proctors, SDP and SAP*

- 8.1 The Proctors, the SDP and the SAP each have the power to determine any question concerning the interpretation and application of the University's statutes, regulations, or any other requirement, order, duty or procedure, and may hear evidence.
- 8.2 The standard of proof under this procedure is **"the balance of probabilities"** ie whether it is more likely than not that an action or event occurred. The **"burden of proof"** to show that an action or event occurred will usually be on the University. However, in certain circumstances there may be a burden on the Subject to provide evidence to support a contention or, for example in support of mitigating factors they rely upon.
- 8.3 The Proctors, the SDP, and the SAP each have the power to make **"procedural orders"** concerning a Referral / Appeal at any stage, whether on their own initiative or at the request of a Subject, Proctor/investigator or other person.
- 8.4 The Proctors, the SDP, and the SAP will seek to ensure that there is consistency between all decisions of the Proctors, the SDP, and the SAP, recognising that each case is likely to be unique.
- 8.5 The Subject and the Proctors' Office when writing to the SDP or SAP should do so through the SDP Secretary or SAP Secretary as appropriate. The Proctors' Office should ensure that the Subject is copied into its substantive communications with the relevant Secretary.

- 8.6 The determination of PDs, the SDP and SAP shall be held in private. All evidence or material submitted as part of such a determination/hearing shall be regarded as strictly confidential unless, following consideration of submissions, it is decided otherwise.
- 8.7 The Proctors, the SDP and the SAP may decide that Referrals against more than one Subject should be heard together if that furthers the Core Principle, and a Subject must be given the opportunity to make representations about whether this should occur. When cases are considered or heard together, it will normally be appropriate for all the Subjects to hear the other Subjects' evidence, and to be given an opportunity to address the relevant decision-maker in private (for example, on mitigation). If cases arise from the same facts are considered or heard separately, it is preferable for the same members of the SDP / the same Proctor issuing a PD to consider or hear all such cases, if practicable.
- 8.8 The SDP or the SAP may exclude a person from a hearing if in the opinion of the Proctor/SDP/SAP such exclusion is necessary.
- 8.9 If a Proctor has reasonable grounds to believe that a breach of the Code of Discipline has been committed by a Subject who is also a member of University staff, they shall, before deciding to proceed under this procedure consult with appropriate stakeholders including the University's human resources function in order to decide whether the matter should instead be referred under the appropriate staff process, which will normally be a referral to the relevant Head of Department.
- 8.10 If a Proctor has reasonable grounds for believing that a breach of the Code of Discipline has been committed by a member of the University who is not a student they shall, if they consider it appropriate to proceed, refer the matter to the Registrar.
- 8.11 The Proctors, the SDP and the SAP have the power to correct any accidental errors in their decisions and to re-issue such decisions with the error corrected.

#### *The SDP and SAP Pools*

- 8.12 There are two 'Pools' of individuals who are approved by the University to serve on the SDP and the SAP, namely the '**SDP Pool**' and the '**SAP Pool**'. There is no 'pool' for PDs; these are heard by the Proctors, which includes Pro-Proctors or appointed substitutes, who are appointed by separate processes.
- 8.13 The qualification required to be approved by the University to serve on the SDP Pool is that they are a member of the University's Congregation, or that they are an external solicitor or barrister who has been appointed to hear a particular case by the Pro-Vice-Chancellor (Education) or their delegate. Certain members of the SDP Pool shall be required to undertake specialist training to hear particular types of cases.
- 8.14 The SDP Pool will be composed of at least 14 or more members, who shall each serve for three years and may be reappointed. The members of the SDP Pool will be appointed by Education Committee from among the members of Congregation.
- 8.15 Members of the SAP Pool shall be members of the University's Congregation and shall have experience which makes them suitable for appointment. Certain members of the

SAP Pool shall be required to undertake specialist training to hear particular types of cases. A person may not be appointed to the SAP Pool if they are also a member of the SDP Pool. Where an SAP sits with three members, one member may be a qualified solicitor or barrister appointed by the Pro-Vice-Chancellor (Education) or their delegate to hear a particular Appeal without being appointed to the SAP Pool.

- 8.16 The SAP Pool will be composed of three or more individuals, who shall each serve for three years and may be reappointed. The members of the SAP Pool will be appointed by Education Committee from among the members of Congregation.
- 8.17 Education Committee may decide to remove a person from the SDP Pool or SAP Pool for any reason. If any member of the SDP Pool or SAP Pool retires or is otherwise no longer able to sit, Education Committee will replace that member in accordance with the qualification requirements set out above.

#### *The SDP Secretary and the SAP Secretary*

- 8.18 The Head of the Proctors' Office shall appoint: (a) the SDP Secretary; and (b) the SAP Secretary.
- 8.19 The SDP Secretary shall be responsible for making such arrangements as are necessary for the SDP to deal with Referrals to it and any other related matters. The SAP Secretary shall be responsible for making such arrangements as are necessary for the SAP to deal with Referrals to it and any other related matters.

#### *The effect of college proceedings*

- 8.20 Expulsion of a student by a college results in automatic expulsion from the University. Similarly, suspension of a student by a college as a penalty or as a precautionary measure results in automatic suspension from the University for the same period.

#### *Guidance on penalties*

- 8.21 Any fine or order requiring compensation to be paid shall be paid within one week of the order requiring it to be paid, save where a Proctor, the SDP or the SAP has decided that a fine is to be paid in instalments. The only exception to this is if an appeal to the SAP has been made and the SAP orders that payment be suspended or deferred. Any fine or compensation imposed by any Panel or by a Proctor shall be paid in accordance with instructions provided by the Head of the Proctors' Office.
- 8.22 A non-financial penalty comes into effect either:
- (a) on the date on which a written decision containing the order is issued to the Subject;
  - or
  - (b) on the date specified in such a written decision. A Proctor, the SDP and the SAP may suspend or postpone the effect of any such order.

- 8.23 A failure to pay an immediate fine in accordance with the terms on which it was imposed shall have the result that the person shall be liable to pay the original fine or compensation ordered together with:
- 1 an additional fine of £50 for the first seven calendar days or part of that period during which the payment is outstanding;
  - 2 a further additional fine of £50 for the subsequent seven calendar days or part of that period during which the payment is outstanding; and
  - 3 after two weeks days, a further additional fine of £100 for the subsequent seven calendar days or part of that period during which the payment is outstanding.
- 8.24 Any failure to comply with an order of or penalty imposed by the SDP or SAP may be investigated and action under the Non-Academic Disciplinary Procedure may be initiated in respect of that failure.

## APPENDIX A

### INDICATIVE PENALTIES

The table below gives examples of academic misconduct and the possible penalty associated with such conduct. Penalties may be imposed on their own or in combination. The penalties set out below will serve as a benchmark, or starting point, for the PD, SDP, and SAP but they are not bound to the penalties set out below. Each case will be determined on its own facts and where there is reason to do so the penalties indicated below may be departed from. In particular, mitigating or aggravating factors may result in a breach being considered as a lower or higher category breach as appropriate.

For the avoidance of doubt, the list of examples set out below is not exhaustive of the conduct which may constitute academic misconduct. Where the conduct in question does not fall into any of the categories below, the possible penalties identified may nevertheless serve as points of comparison.

As set out above, the relevant penalties are grouped into the following categories:

**Category 1 Breach:** conduct which is considered sufficiently serious to require disciplinary proceedings, but at the lowest end of the spectrum, including matters where an appropriate penalty or penalties is/are likely to be a written warning and/or a reduction in marks for the piece of work.

**Category 2 Breach:** conduct where an appropriate penalty or penalties is/are likely to be:

- a submission or exam response awarded 0% where resubmission or a re-sit is required to conclude the examination (either with a mark capped or not capped);
- setting conditions on any re-sit or resubmission;
- a formal warning (but only alongside other measures);
- a requirement to complete an education programme;
- payment of a fine £300-£1000.

**Category 3 Breach:** a matter where an appropriate penalty or penalties is/are likely to be:

- reducing by one or more classes any degree classification;
- a period of suspension up to 12 months;
- removal of alumni benefits;
- a recommendation that a College do not approve supplication for the MA;
- payment of a fine exceeding £1000.

**Category 4 Breach:** "the most serious matters, including conduct where the likely penalty is suspension for a year or more, expulsion, a recommendation that a College do not approve supplication for the MA, asking Council to recommend expulsion from Ordinary or Convocation membership, or removal of a degree.

Summary of Code of Discipline provision	Examples	Possible Penalty	Category
Poor academic practice	Poor or inconsistent use of referencing conventions but all sources acknowledged in some way even if weakly	Deduction of marks up to 10% of the marks available (for the whole assignment or exam response)	0 – not disciplinary (Exam Board determines outcome)
Minor plagiarism	Collusion where there is no evidence of intent to deceive and where the shared material is minor in extent or importance Plagiarism which is minor in extent or importance, given the context of the piece of assessed work and how central the plagiarised passages are to the purpose of the assessment	Reduction in marks for the piece of work  Submission awarded 0% (resubmission without marks cap)	1
Significant Plagiarism	Collusion where there is no or only weak evidence of intent to deceive, but the shared material is significant in extent or importance Plagiarism which is significant in extent or importance, given the context of the piece of assessed work and how central the plagiarised passages are to the purpose of the assessment Plagiarism which involves some re-use of contextual data without acknowledgement.	Submission awarded 0% (resubmission with or without marks cap)	2



Major plagiarism	<p>Minor or significant plagiarism in more than one paper taken at the same time</p> <p>A second incident of minor or significant plagiarism</p> <p>Plagiarism which is major in extent or importance, given the context of the piece of assessed work and how central the plagiarised passages are to the purpose of the assessment</p> <p>Plagiarism which involves substantial re-use of contextual data without acknowledgement</p>	<p>Reduction in marks for the piece of work:</p> <p>Submission awarded 0% (resubmission without resubmission cap)</p> <p>Submission awarded 0% (resubmission mark capped at pass)</p> <p>Reduction of degree classification (for original examination or re-examination)</p>	3
------------------	---	--	---

Gross plagiarism	<p>Any form of 'contract cheating'</p> <p>A second incident of major (or gross) plagiarism</p> <p>Major or gross plagiarism in more than one paper taken at the same time</p> <p>Plagiarism which involves misrepresentation of key data as the candidates own work (e.g. where it is relied upon in drawing research conclusions)</p> <p>Collusion where there is strong evidence of intent to deceive</p> <p>Plagiarism which is very substantial in extend or importance, given the context of the piece of work and how central the plagiarised passages are</p>	<p>Submission awarded 0% (resubmission mark capped at pass)</p> <p>Reduction of degree classification (for original examination or re-examination)</p> <p>Failure of the whole Examination (re-examination mark for one or more papers capped at pass)</p> <p>Expulsion</p> <p>Recommendation that the degree is removed</p>	4
------------------	--	--	---

## APPENDIX B

### GLOSSARY OF TERMS

Term	Meaning	Paragraph References
Academic misconduct	Conduct which is in breach of the Code of Discipline, and which is defined in section 2.3 of this procedure.	2.3, Appendix A
Agreed Determination	An agreement between the Proctor and Subject as to the outcome of disciplinary proceedings either before a Proctor's investigation or following a Referral Decision Letter being sent.	5.43-5.45
Agreed Determination Letter	A letter setting out the outcome of an Agreed Determination.	5.44-5.45 Appendix A
Appeal	An appeal against a precautionary measure, an immediate fine or a decision of a PD or the SDP which is made to the SAP.	1.11, 7.1-7.15
Balance of probabilities	The standard of proof applied under this procedure, which is whether it is more likely than not that an action or event occurred.	8.2
Burden of proof	Who has to show that an action or event occurred: see 8.2.	8.2
Caseworker	A person responsible for reviewing Reports and conducting or having control of investigations by the Proctors' Office.	5.18-5.32
Capacity	Capacity means the ability to make a decision and communicate that decision, and it includes the ability to use and understand information in making decisions	2.11, 6.18
Code of Discipline	The University's requirements as to student conduct.	1.5, 2.1-2.3
College	As defined in Statute XI, this includes any college, Permanent Private Hall or Society (ie Reuben, St Cross or Kellogg)	5.7
Core Principle	The Core Principle is to deal with disclosures, Reports, and Referrals fairly and justly. This includes so far as practicable: (a) dealing with matters expeditiously; (b) avoiding unnecessary formality; (c) dealing with cases in ways which are proportionate to the complexity and seriousness of the matter.	3.1-3.2

Examination	Examination includes formal assessments whether written oral or other and includes the submission and assessment of a thesis, dissertation, essay, practical work or other coursework and any other exercise, including in the case of graduate student members transfer and confirmation of status exercises, which is not undertaken in formal examination conditions that counts towards or constitutes the work for a degree or other academic award.	1.2
Examination Room	Examination Room means any room designated by the Registrar or his or her deputy or approved by the Proctors as a place for one or more candidates to take an examination.	2.3
Expel	A penalty which is defined in Statute XI. It involves a student being permanently withdrawn from their course and, where relevant, permanently losing their membership of the University.	5.23
Investigation Report	The written account of the investigation which, depending on the nature of the case, may be in the form of short case summary (one or two pages long) or a more detailed investigation report.	5.32
Outcome letter	A letter communicating the decision of a PD or SDP, sent to a Subject or a Reporter.	6.6, 6.34-6.35
PD	A determination of the case by a Proctor	1.11, 6.1-6.6
Poor academic practice	Poor or inconsistent use of referencing conventions but all sources acknowledged in some way even if weakly.	1.11, 4.8
Procedural order	Orders made by the SDP or SAP as to the management of Referrals and Appeals.	8.3
Proctors	Senior officers of the University whose role includes upholding the University's statutes and rules. The Proctors have overall responsibility for assessing and investigating Reports of potential misconduct by students, and for formulating Referrals where appropriate. A 'Proctor' includes a 'Pro-Proctor' or an appointed substitute. Decisions under this procedure are made in all cases by a single Proctor.	1.6
Referral	A referral to the SDP (following a Report) for a disciplinary hearing which alleges a breach of the Code of Discipline.	1.5, 5.35

Referral Decision Letter	A letter in which a Proctor informs a Subject or Report of their decision as to whether a Report should be referred to the SDP.	5.35-5.42
Report	A written request to the Proctors to investigate a matter under these disciplinary procedures, usually set out in the appropriate form.	1.5, 5.1-5.12
SAP	The Student Appeal Panel.	1.11, 7.1-7.15
SAP Pool	The group of individuals who serve on the Student Appeal Panel.	7.3, 8.12-8.17
SAP Secretary	The person responsible for making arrangements for sittings of the SAP.	7.2
SDP	The Student Disciplinary Panel.	1.11, 6.1, 6.7-6.37
SDP Pool	The group of individuals who serve on the Student Disciplinary Panel.	8.12-8.17
SDP Secretary	The person responsible for making arrangements for sittings of the Student Disciplinary Panel.	6.8, 6.10-6.20, 8.18
Student / Student member	“Student member” is defined in Statute XI and includes any student at the University who has a contract with the University requiring them to comply with Statute XI (which will be most students at the University) In this procedure “student” means a “student member” as defined in Statute XI.	1.3
Statute XI	The Statute of the University which contains the Code of Discipline and other provisions relating to this procedure.	1.3
Student Appeal Panel	The body which determines the outcome of Appeals.	1.11, 7.1-7.15
Student Disciplinary Panel	The body which determines the outcome of Referrals which are not determined by a PD.	1.11, 6.1, 6.7-6.37
Subject	The person who is alleged to have breached the University’s Code of Discipline.	1.5
Supporter	Any person who accompanies a Subject or Report to a hearing of the SDP or SAP to support them.	6.17
Time limits	There are a number of the time limits within the procedure and an explanation of how these can be extended in certain circumstances. Key time limits include that Reports should be made within six months of the matters complained of and that Appeals should be made within two weeks of the decision being appealed.	3.5-3.6